

UNIVERSITY OF DUNDEE

UNIVERSITY COURT

A meeting of the University Court was held on 6 June 2016.

Present: Mr E Sanderson (in the Chair), Principal Professor Sir Pete Downes, Ms J Aitken, Mr R Bint, Professor SM Black, Mr RS Bowie, Mr K Burns, Ms S Campbell, Professor S Cross, Lord Provost Mr R Duncan, Mr J Elliot, Mr I Howie, Mr T Hustler, Professor T Kelly, Ms B Malone, Ms J Marshall, Dr AD Reeves, Ms K Reid, Mr D Ritchie, Mr KA Richmond and Professor M Scott

In Attendance: Mr M Beaumont (Rector); University Secretary; Vice-Principal (International); Vice-Principal (Academic Planning & Performance); Vice-Principal (Learning & Teaching); Vice-Principal (Research, Knowledge Exchange & Wider Impact); Director of Finance; Director of External Relations; Director of Academic & Corporate Governance; Director of Organisational Change; Director of Strategic Planning; Ms S Esplin; Head of Press; Mr S O'Connor; Ms I Urbanavičiūtė; and Clerk to Court.

Apologies: Dr WGC Boyd and Mr D Taylor.

The Chair welcomed Ms Indrė Urbanavičiūtė and Mr Sean O'Connor to the meeting. Members noted that they were attending in a shadow capacity following their election as DUSA President and Independent Student member of Court respectively. Members also noted that Ms S Esplin was in attendance as part of her participation in the Developing Leaders Programme within the University.

60. MINUTES

The Court decided: to approve the minutes of the meeting on 18 April 2016.

61. MATTERS ARISING

(1) Chairman's Report (Minute 49)

The Court received an update from the Directors of Academic & Corporate Governance and Organisational Change with regard to industrial action by the University & College Union (DUCU). Members noted the measures which had been taken to mitigate any potential disruption to exams and exam boards as a result of the strike action on 25 and 26 May. The Director of Organisational Change also provided an update on the level of engagement with the strike, and members noted that the effect on the ability of the institution to carry out its normal activity had been minimal.

The Court decided: to note the update.

(2) Financial Sustainability Report and Plan (Minute 50)

The Court noted that the Chairman had replied to the letter from the DUCU Branch Secretary and had offered to meet with them, but that no response had been received at the time of the meeting.

The Court decided: to note the update.

(3) Credit Facility (Minute 51(2))

The Court noted that the University Secretary and Director of Finance had formally completed and entered into the documentation required to finalise arrangements for the £40m borrowing facility with the Bank of Scotland on 30 May 2016.

The Court decided: to note the signing of the agreement with the Bank of Scotland.

62. **CHAIRMAN'S REPORT**

The Chairman presented his regular report to the Court. In doing so, he highlighted his recent meetings with members of the Court and members noted that the Chair and the Chair-Elect, Mr Ronnie Bowie, would be available to meet with any member over the summer should they so wish. He also encouraged members to attend the summer graduation ceremonies wherever possible.

The Chairman also presented his annual report to Court, in which he reflected on changes to the University and the Court since he joined the Court in 2005. In particular, he highlighted improvements to governance practices, the impact of the restructuring of the University and a number of key appointments made during his period of office. The Chairman took the opportunity to thank Court members past and present for their support during his term as Chair of Court and to wish the University and members of the Court well for the future.

The Court decided: to note the report.

63. **PRINCIPAL'S REPORT**

The Court received a report from the Principal (**Appendix 1**). In presenting his report the Principal gave thanks to the Chairman for his dedication and contribution to the University during his time on Court. He also thanked the Court for its guidance and support over the course of the academic year, noting in particular the challenging nature of some of the discussions and decisions over this period.

The Principal went on to highlight the recent appointment of John Swinney as Cabinet Secretary for Education and Skills, and members noted the importance of engaging with Mr Swinney in advance of discussions around the three-year spending review between the HE sector and the Scottish Government. In this respect the Principal drew

members' attention to the assumption within the University's three-year projections for submission to the Scottish Funding Council (SFC) (Minute 64(3)) that core governmental funding would return in cash terms to the level of 2015/16 by 2018/19.

Turning to the student recruitment update contained within the report, members were particularly pleased to note the further increase in acceptances from MD40 students, which was seen to be illustrative of the University's continued commitment to the widening access agenda. In response to questions the Vice-Principal (Learning & Teaching) confirmed that as a result of the Scottish Funding Council (SFC) allocation of funded places for Scottish/EU students the University was highly unlikely to be entering into clearing for this category as all available places would be filled prior to clearing. Members noted the challenges and potential for negative publicity that the current system created within the Scottish context, but accepted that this was a matter for political debate.

The Principal also drew members' attention to the updates from the Vice-Principals within the appendices to his report. In particular members noted the potential implications for the Scottish HE sector resulting from the White Paper on Higher Education in England - including proposals to introduce a Teaching Excellence Framework, and the restructuring of bodies that distribute research funding. The Vice-Principal (Learning & Teaching) and Vice-Principal (Research) highlighted their participation in discussions at a Scottish sectoral level with regard to the White Paper, and members noted that further updates would be provided in future reports. Finally, the Principal highlighted the dates for the summer 2016 graduation ceremonies, and encouraged all members to attend wherever possible.

The Court decided: to note the report.

64. STRATEGY AND SUSTAINABILITY MATTERS

(1) Academic and Financial Sustainability Update

The Court received an update paper from the University Executive Group (UEG) which outlined progress made in relation to the various projects being taken forward through the planning and budgeting cycle, as previously discussed by the Court at its meeting on 18 April 2016. Members noted that the paper included updates on (i) Schools and Directorates savings projects, (ii) efficiency and growth projects in: Humanities and the development of Liberal Arts; Biomedical Sciences; and Social Sciences and the development of a University of Dundee Business School, (iii) income growth projects in the areas of: Science, Engineering and Mathematics; CPD & clinical taught postgraduate programmes in Medicine and Dentistry; research postgraduates; and professional doctorates, (iv) a range of University-wide projects including: Business Transformation, and International College Dundee (ICD), and (iv) teaching efficiency and research efficiency projects. Executive overviews, financial projections and risks had been provided for each of the income growth projects.

The Court noted the extraordinary financial circumstances impacting on the University, including increased salaries, pension costs, national insurance costs

and declining income from the SFC which had led to the current financial position. In particular members noted that if the University were to achieve the growth and savings targets set out, and therefore reach a £4.8m surplus in 5 years' time this would, at 2% of turn-over, still only be around one third of the level deemed by the Scottish Funding Council (SFC) to be sustainable, and would not see the University add to its reserves during that time.

The Court discussed in depth the savings element of the Humanities efficiency and growth project. Members noted that the purpose of the project was to deliver savings of £250k, while enabling the School to orient towards a Liberal Arts model of teaching and research and deliver both an outstanding student experience and high quality research. In introducing the item, the Principal first drew members' attention to the discussions at Senate relating to this project, the minute of which had been provided to the Court in full along with the minutes of the Humanities School Board meetings (Minute 73). In particular, the Principal highlighted his undertaking at Senate to draw to the Court's attention a request from Professor Willson and Dr van Ittersum that the level of savings required by the School of Humanities be reduced. He also outlined minor amendments which would be made to the Senate minute to clarify the respective roles of the Dean and School Executive in the approval of the level of savings required by the School.

Members of the Court considered the impact of proposed staffing reductions, including any potential redundancies, on the student experience within the School and the President of the Dundee University Students' Association (DUSA) drew members' attention to the protests which had taken place outside the meetings of the Senate and the Court. He also read out a statement on behalf of the School President for the School of Humanities. The Court noted the concerns raised and agreed that it was important that communications to staff and students following the meeting were sensitive to, and addressed, these concerns.

Noting that the number of potential redundancies was small and focused in the History and Languages disciplines, members asked if the savings could be achieved in other ways. Through discussion it was recognised that the savings in Humanities were one element of a larger process of savings across the University, and that meeting the target was an essential part of remaining within the financial parameters previously agreed by the Court. The Principal highlighted the evidence-based approach taken to identify and agree savings targets with Schools and Directorates, and the culture of support between the Schools to collectively deliver the savings required to ensure the future financial sustainability of the University. Members noted that as part of the process a number of Schools had already committed to, or already delivered, savings above the level suggested, but that failure to achieve savings targets in the Humanities would mean that further savings would be required elsewhere, and would also hamper the School's ability to rebalance its activities in a way which would enable it to build upon its strengths and deliver teaching and research in a sustainable manner.

The Vice-Principal (Learning & Teaching) responded to questions regarding student recruitment levels in humanities subjects for 2016/17 entry. Members

noted that the University did not anticipate large increases in student numbers as Humanities income was mostly attributable to Scottish/EU students where numbers were subject to close control during confirmation to avoid breaching the caps set by the SFC. Members noted that the SFC did not provide funding for students enrolled above the caps, and indeed the University could suffer a financial penalty if too many students were recruited.

The Court explored the process by which the decision to request the establishment of a Redundancy Committee had been reached. Members noted that the University had engaged in fortnightly collective consultation meetings with the unions, and a series of meetings had been held with staff at a collective and individual level in an attempt to ensure that all viable alternative options were explored. The Court noted that the University would continue to seek other means to achieve the required savings, but that at this point it appeared unlikely that the savings would be found through other means before the next meeting of the Court in September, and that delaying the decision would mean that the University would not meet its savings targets for 2016/17.

In response to questions regarding the potential impact of redundancies on the University's reputation, growth plans and NSS scores, the Principal told the Court that these were risks that had been considered, but that there were greater risks to the institution in not achieving the financial savings previously approved. Officers highlighted the University's ongoing commitment to avoiding redundancies wherever possible, and while recognising the concerns of staff and students in the Humanities, the Court reiterated the need to adhere to the financial targets set. In response to questions officers confirmed that if approval was granted for the formation of a Redundancy Committee, criteria for the selection process would be developed.

The Court also discussed in detail the income growth proposal to establish an embedded college, International College Dundee (ICD), at the University to provide pathways to undergraduate and postgraduate education for overseas students who could not currently gain access to the University's degree programmes. Members noted the business plan included a proposal to engage Oxford International Education Group (OIEG) as an external partner in the project, and the University Secretary highlighted the key financial projections within the business plan. In response to questions, the Director of External Relations outlined the process by which OIEG had been selected as the preferred partner, and members noted that particular attention had been paid to ensuring a match with the University's values, to enabling a bespoke approach, to ensuring a high quality student experience, and also to the extent of the company's global network. The Court highlighted areas for consideration in taking forward due diligence and contractual discussions and the Director confirmed that the areas raised by Court would be reflected in those negotiations and in the project/Institutional Risk Registers. In response to questions the Director pointed out that the use of a private provider had been proposed on the basis that the cost of replicating the level of expertise, timeframe and investment internally using University resources, particularly in terms of the global network of recruitment agents/regional offices, would be prohibitive.

Members noted that the University Executive Group (UEG) proposed to provide a review of progress in all areas of the savings and growth projects to each meeting of the Finance & Policy Committee in 2016/17. Members highlighted a number of risk factors and suggested that the Finance & Policy Committee be asked to provide a steer as to the nature and content of reports it wished to see.

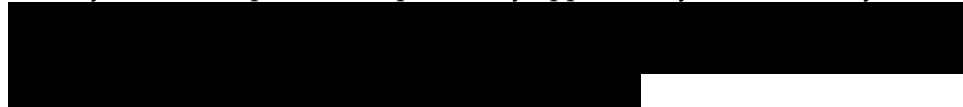
- The Court decided:**
- (i) to note the position with respect to achievement of the savings targets previously agreed, and the level of savings which had been incorporated into the budget and financial projections;
 - (ii) following a vote, to approve by a majority of 15 votes to 5 the establishment of a Redundancy Committee under the terms of Statute 16 paragraph 10 and on the basis that it had decided that it was desirable that there should be a reduction in the academic staff as provided for in paragraphs 10 (2) (a) and (b) of Part II of that Statute. The Court noted that the University would continue to seek to avoid the need for redundancies wherever possible, and that the following members requested that their dissent be recorded: DUSA President, Ms Janice Aitken, Mr Kevin Burns, Mr Stuart Cross, and Mr David Ritchie;
 - (iii) to approve the draft remit for a Redundancy Committee subject to minor amendment, noting that in terms of Part II of Statute 16 paragraph 11 (3)(a) the Redundancy Committee should be chaired by a lay member of the Court not being a person employed by the University;
 - (iv) to delegate to the Chair of Court the authority to confirm membership of the Redundancy Committee and ask that members willing to serve on the Committee contact the University Secretary;
 - (v) to note that work was ongoing in relation to the need to reduce academic staffing levels in the Schools of Medicine and Life Sciences associated with the Biomedical Sciences project;
 - (vi) to note from a governance perspective the business plans associated with the various projects, and their inclusion within the budget and financial projections;

- (vii) to note the business plan for the International College Dundee project and approve its progression to the contracting stage with OIEG. Ms Janice Aitken asked that her dissent be formally recorded in relation to the Court's decision, while Mr Kevin Burns asked that his abstention be noted; and
- (vii) to note reporting arrangements in relation to the projects.

(2) Business Transformation

The Court received a paper from the Director of Business Transformation which updated members on the outcome of the procurement process undertaken in relation to the replacement of the core finance, payroll and human resources systems as approved by the Court in February 2015. Members noted that following an extensive procurement exercise a preferred vendor had been identified who could deliver a fully integrated business solution with embedded reporting and analytics capabilities that fully met the University's current and future business requirements, and that the Finance & Policy Committee had considered the proposal in detail and had endorsed it for approval by the Court.

In response to questions the Director highlighted the proposed timeframes for the phased implementation of the business systems, and provided an overview of key financial aspects of the proposal. Members noted that the vendor was confident of being able to deliver the project within the timetable set out. Members also noted that the financial details of the programme remained broadly within the parameters previously approved by the University Court,



The Director also outlined the approach to addressing organisational and cultural challenges in implementing the project and associated data strategy, and members noted that project assurance and risk management would be reviewed by the University's internal auditors and reported to the Court via the Audit Committee.

In approving the proposal the Court noted the substantial work that had already been undertaken and thanked the Director of Business Transformation and his team for their work in relation to this project to date.

- The Court decided:**
- (i) to approve that a contract be issued to the selected vendor;
 - (ii) to note that progress against key milestones and delivery of the required financial benefits and business outcomes would be closely monitored and reported through the business

transformation steering & governance Committees, UEG and to Court via the Finance & Policy Committee; and

- (iii) to note that project assurance and risk management would be reviewed by the University's internal auditors and reported to the Court via the Audit Committee.

(3) Budget 2016/17 and 2016 Strategic Plan Forecast for the SFC

The Director of Finance set out the proposed budget for 2016/17, which had previously been discussed in detail and endorsed by the Finance & Policy Committee at its meeting on 9 May 2016. Members noted that the proposed budget met the high-level objectives previously set by the Court to achieve a deficit of no more than £5.0m in 2016/17 with a cumulative deficit of no more than £10m before returning to a sustainable surplus within three years. Members were pleased to note that the budget was focused upon income growth rather than savings expectations, and the Director went on to highlight key risks and contingencies in this respect. He also outlined a number of expected one-off transactions which would be factored into the budget when confirmed.

Turning to the strategic plan forecast for the Scottish Funding Council (SFC), members noted that further to the three-year plan which had been developed for submission to the SFC as per its guidelines, a five-year plan had been provided for the Court such that members could see the full projected impact of growth and savings projects and the business transformation project on the University's financial outlook. Members noted that the projected £4.8m surplus in 2020/2021 was low relative to the sector and that the University would need to remain diligent in its approach if it were to achieve this level given the range of funding uncertainties on the horizon.

In response to questions the University Secretary confirmed that the University would continue to encourage further income generation projects, and that officers would work with the Finance & Policy Committee to ensure the Court received appropriate assurances regarding the reporting of progress in relation to projects already within the budget.

Members welcomed the inclusion of additional funding to enable capital investment in the University estate to maintain its standard and quality, and the Director confirmed that the Finance & Policy Committee would consider proposals for the use of that funding in due course.

- The Court decided:**
- (i) to approve the proposed budget for 2016/17; and
 - (ii) to approve the Strategic Plan Forecast for submission to the SFC.

65. **UNIVERSITY STRATEGY TO 2017: LEARNING AND TEACHING KEY PERFORMANCE INDICATORS**

The Vice-Principal (Learning & Teaching) introduced the annual Key Performance Indicator (KPI) report relating to the Learning & Teaching Strategy. In doing so he highlighted progress in each of the KPIs relative to targets and members were pleased to note progress in relation to the majority of targets. Members noted the commentary provided in relation to National Student Survey Results, Student Satisfaction and Retention Rates, and the Vice-Principal outlined a number of steps taken in relation to challenges identified within the retention and progression agenda.

The Court decided: to note the report.

66. **UNIVERSITY STRATEGY TO 2017: PEOPLE KEY PERFORMANCE INDICATORS**

The Court received a report from the Directors of Human Resources and Strategic Planning outlining performance relative to the People Strategy Key Performance Indicator (KPI) and Performance Indicators (PIs). Members noted the drop in the Staff Satisfaction KPI and considered the extent to which institutional responses to the financial challenges had had an impact on this measure. Members also noted that in addition to the Staff Survey action plan referenced within minute 67(4), the University Executive Group (UEG) would meet shortly to discuss in detail actions for ownership by the UEG.

In response to questions the University Secretary and Vice-Principal (Academic Planning & Performance) provided clarification in relation to School specific issues identified within the data, and updated the Court on the approach of specific schools to issues relating to staff satisfaction and Objective Setting and Review (OSaR) completion rates. Noting that the Human Resources Committee was to consider in greater detail how equality and diversity matters could be advanced at a University level, members expressed disappointment at the completion rates for equality and diversity training modules reported in some areas, and the Court reiterated the expectation that from a corporate and cultural perspective 100% completion was required.

The Director of Human Resources explained that the Trend Analysis of Outcomes of Academic Annual Review as a component of the University's equality and diversity monitoring activity was focussed only on academic promotion.

The Court decided: to note the report.

67. **COMMITTEES**

(1) Report of the Finance & Policy Committee (Meeting on 9 May 2016)

The Court received a report from the meeting of the Finance & Policy Committee on 9 May 2016 (**Appendix 2**). Members noted the Committee's discussions in relation to the draft budget 2016/17, the three year strategic plan

for the Scottish Funding Council (SFC), and business transformation as discussed earlier on the agenda (minute 64). The Director of Finance told the Court that the Period 9 accounts showed further improvement from the Period 8 accounts considered by the Committee, and that a break-even or better position was now forecast for the end of 2015/16 academic year.

The Convener drew members' attention to discussions relating to the investment required in the University estate and members noted that the Director of Campus Services had been asked to develop proposals for consideration by the Committee and the Court toward the end of 2016. In this respect, members also noted that the SFC capital budget had been substantially reduced in recent years to a minimal level required to qualify for match-funding by external organisations.

The Court decided: to approve the report.

(2) Report of the Governance & Nominations Committee (Meeting on 9 May 2016)

The Court received a report from the meeting of the Governance and Nominations Committee on 9 May 2016 (**Appendix 3**). The Court approved proposals from the Governance & Nominations Committee relating to the memberships of individual Court Committees, and to the convenership of Court Committees for 2016/17. Members also noted the Committee's recommendations in relation to the annual review of the effectiveness and performance of the Chair of Court and the Court as covered in detail elsewhere on the agenda (minute 78). In particular the Court agreed that as the current Chair, Mr Eric Sanderson, would retire from Court on 31 July 2016, the review of the performance and effectiveness of the Chair should not take place this year but be undertaken again in June 2017 at which time the new Chair would have been in post for 10 months.

The Court decided:

- (i) to approve the proposed memberships of the Court Committees (Appendix 3 refers);
- (ii) to approve the continuation of Mr Jo Elliot as the Convener of the Audit Committee;
- (iii) to approve the continuation of Mr Andrew Richmond as Convener of the Finance & Policy Committee and the Endowments Sub-Committee;
- (iv) to approve the appointment of Mr Ronald Bowie as Convener of the Governance & Nominations Committee from 1 August 2016;
- (v) to approve the continuation of Ms Shirley Campbell as Convener of the Human Resources Committee;

- (vi) to approve the appointment of Ms Bernadette Malone as the Convener of the Remuneration Committee from 1 August 2016;
- (vii) to approve the recommendation that the review of the performance and effectiveness of the Chair of Court next take place in June 2017;
- (viii) to approve the suggested questions and focal areas for use in the discussion of the review of the performance and effectiveness of the Court (Appendix 3 refers); and
- (ix) otherwise, to approve the report.

(3) Report of the Audit Committee (Meeting on 18 May 2016)

The Court received a report from the meeting of the Audit Committee on 18 May 2016 (**Appendix 4**). In introducing the report the Convener highlighted the Committee's engagement with senior officers, including the recent presentations by the Director of UoD IT and the Vice-Principal (Academic Planning & Performance), as an example of how risks were explored beyond the activity of the auditors. He also drew members' attention to the revised whistleblowing policy, three-year internal audit plan, and updated Institutional Risk Register. Members asked that officers consider how the whistleblowing policy could be made suitably accessible, including the creation of a guidance document/webpage. In response to questions the Convener confirmed that the policy focussed on areas covered by legal protection, and that it would be kept under regular review.

Turning to the Institutional Risk Register the Convener outlined the Committee's plans for detailed exploration of individual areas within the risk register and members suggested that the Court take time over the coming academic year to explore its appetite for risk.

- The Court decided:**
- (i) to approve the Whistleblowing policy (Appendix 4 refers);
 - (ii) to approve the Institutional Risk Register;
 - (iii) to note the three-year internal audit plan; and
 - (iv) otherwise, to approve the report.

(4) Report of the Human Resources Committee (Meeting on 16 May 2016)

The Court received a report from the meeting of the Human Resources Committee on 16 May 2016 (**Appendix 5**). The Convener highlighted proposed changes to the purpose and remit of the Committee. Members also noted the Committee's discussion of the process for development of the Staff Survey action plan, and that the specific actions within the plan would be considered

further at its next meeting. Members suggested that the results from the staff survey could be a useful topic for the Court Retreat.

The Court decided:

- (i) to approve the revised remit for the Committee (Appendix 5 refers);
- (ii) to approve the staff survey action plan; and
- (iii) otherwise, to approve the report.

68. ANNUAL REPORT OF THE SPORTS UNION

The Sports Union President, Mr Dominic Marshall, presented the Union's annual report. In doing so, he highlighted the major strengths, successes and challenges of the Sports' Union in 2015/16 and the relationship between the Sports Union, DUSA and the University's Institute of Sport and Exercise (ISE).

In response to questions, the President highlighted the performance of Sports Union members in terms of team and individual rankings. Members were also interested to hear that the University's facilities compared favourably with those of other universities.

The Court decided: to note the report.

69. DUNDEE UNIVERSITY STUDENTS' ASSOCIATION - ANNUAL REPORT

The Court received a report from Mr Tim Hustler, the President of the Students' Association (DUSA). The report set out the achievements of DUSA relative to its 2015/16 manifesto along with other key highlights including: the DUSA Executive's commitment to engaging the local community and the wider public through debate; changes to representation structures following the restructuring of the University at the end of the previous academic year; engagement with elections; societies activities; the development jointly with the University of a zero tolerance policy in relation to sexual misconduct; and welfare engagement activities. The President also drew members' attention to an overview of the financial position for DUSA.

The Court was particularly interested to hear of the Executive's efforts to ensure engagement with students on all campuses, in particular its engagement strategy for the Kirkcaldy campus which included regular drop-in sessions by the Executive. Members congratulated the President on a successful year for DUSA, and highlighted the role of DUSA in Scottish Parliamentary Election debates as an example of the ways in which DUSA had contributed to the enhancement of the student experience at the University and enhanced the University's reputation as well as its own. Officers also commended the President for his approach to matters arising during the year.

In response to questions regarding the financial outlook for DUSA, the President confirmed that the Association was exploring sources of additional revenue to seek to secure its finances and enable it to continue to deliver a full range of services to

students. Members noted that commercial opportunities on campus were being taken forward by DUSA in a joint working group with University management.

The Court decided: to note the report.

70. COURT RETREAT

The Court noted that the annual Court Retreat would be held at the Westpark Conference Centre from 4.00pm on 8 September 2016, finishing at 4.30pm on 9 September 2016. Members were asked to indicate topics of particular interest to the University Secretary or Chair of Court as soon as possible.

The Court decided: to note the update.

71. EMERGENCY COMMITTEE

The Court decided: in accordance with accepted precedent, to remit the transaction of any urgent Court business over the summer, with the exception of any urgent items that relate to the operation of the Redundancy Committee, to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairman of Court and the Convener of the Finance & Policy Committee) and one other staff member; noting that the precise composition would be subject to availability. A report on any action taken would be submitted to the first business meeting of 2016/17.

72. GOVERNANCE MATTERS

The Court received a paper from the Director of Academic & Corporate Governance (**Appendix 6**) which set out three governance matters which had arisen since the last meetings of both the Governance & Nominations Committee and the Court.

The Court decided:

- (i) to endorse changes to regulations for the Graduates' Association relating to the appointment of the Graduates' Association Member of Court as approved by the Graduates' Association Business Committee (Appendix 6 refers);
- (ii) to note the reappointment by the Graduates' Association of Mr William Boyd as the Graduates' Association Member of Court for the period 1 August 2017- 31 July 2021; and
- (iii) to approve the propose amendments to Ordinance 57 with immediate effect in accordance with the provision set out in Article 16.2 of the Charter (Appendix 6 refers).

73. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senatus Academicus on 25 May 2016 (**Appendix 7**). The Court noted the discussions of the Senate in relation to investment and growth projects, in particular in relation to the School of Humanities where the full minutes from the Humanities School Board had been provided to the Court as discussed in minute 64(1). Members also noted the minor clarifications to the minute as outlined by the Principal, and proposals from Professor Willson and Dr van Ittersum with regard to savings targets for the School of Humanities.

The Court decided:

- (i) to approve the recommendations concerning the conferment of the title of Professor Emeritus upon Professors Robin Churchill and Jean Kerr;
- (ii) to approve changes to Ordinance 39 as outlined in Appendix 7, subject to ratification at a subsequent meeting; and
- (iii) otherwise, to note the report.

74. 2016/17 OUTCOME AGREEMENT WITH THE SFC

The Court received and approved a copy of the Outcome Agreement with the Scottish Funding Council (SFC) which had been updated for 2016/17. The Court noted that the agreement had been submitted to the SFC on 19 April 2016 and was aligned to the University's strategy.

The Court decided: to endorse the agreement.

75. WELFARE AND ETHICAL USE OF ANIMALS COMMITTEE

The Court received a report from the meeting of the Welfare and Ethical Use of Animals Committee on 13 April 2016 (**Appendix 8**).

The Court decided: to approve the report

76. STAFF COUNCIL/ACADEMIC COUNCIL

The Court received reports from the meeting of the Council on 2 March (**Appendix 9**) and 25 April 2016 (**Appendix 10**). The Court noted that it had been agreed that the existing Academic Council would be replaced with a more inclusive Staff Council which would comprise all staff. While changes to Charter, Statute and Ordinances in support of this change were still to be finalised, members noted that the existing Council had begun to operate as a Staff Council, with all staff invited to attend.

The Court noted that discussions largely focussed on issues relating to the University's financial sustainability, the Staff Survey, and workload allocation model.

The Court decided: for its part, to note the report.

77. **STAFF**(1) Statute 16 and Grievance matters

The Court decided: to approve the appointment of Mr David Hossack LLB, in accordance with Statute 16 paragraph 28(2) as ‘a person not employed by the University holding, or having held, judicial office or being advocates or solicitors of at least ten years’ standing’ to hear an appeal from a member of staff under part V of Statute 16.

[Secretary’s note: Following further discussion it was decided that the case should instead be considered in accordance with grievance procedures set out in Statute 16 part VI, with approval for the formation of a grievance panel being sought in accordance with the Emergency Powers agreed in Minute 71 above and reported to the Court at its meeting on 8 September 2016].

(2) Professorial and Grade 10 Appointments

The Court received a report outlining Professorial and Grade 10 appointments made during the 2015/16 academic year.

The Court decided: to note the report.

78. **ANNUAL REVIEW OF THE PERFORMANCE AND EFFECTIVENESS OF COURT**

The Court undertook an annual review of its performance and effectiveness. Members noted that the Governance & Nominations Committee had proposed that the Court focus its discussion on the following areas: effective governance, strategic role, conduct and spread of business, quality of communication and information, opportunities for participation and support for members. The Court also noted a summary of responses to a questionnaire developed by members of the Governance & Nominations Committee which focussed on the areas of: setting strategy, implementation of strategy/business plan/budget, effectiveness, personal effectiveness and forward planning for Court and each of its Committees. The Chair-elect of Court, Mr Ronnie Bowie, also circulated his draft objectives for 2016/17 and invited members to comment.

With regard to the operation of the Court and its Committees discussions focussed on the following areas: provision of a forward agenda for Court for 2016/17; the operational relationship between the Court and UEG; the role of the Conveners of Committees; consideration of the composition of Court (skills, diversity and effectiveness); matters relating to the Court agenda including prioritisation and grouping of items; proposal that minutes be circulated along with an action log as soon as approved by the Chair; and the proposal to introduce a ‘free-seat’ approach at Committee meetings to enable members to occasionally observe the meetings of Committees beyond those on which they serve, and in doing so broaden their own knowledge and understanding of Court business.

Members noted that the Chair-Elect had discussed with the Director of Academic & Corporate Governance ways in which the formatting, summarisation and provision of documentation for discussion at Court could be enhanced to further support the Court's effectiveness and decision making processes. Members also considered how the effectiveness of the Court itself could be measured in terms of a reflection on the approach to previous decisions, although it was noted that this may be something which required external facilitation.

Members also considered issues relating to the communication of Court business with the wider University community and the Chair-Elect undertook to consider further how this aspect may be enhanced.

The Court decided: to note the discussions and ask officers to develop the programme for the Court Retreat in a manner which would enable further exploration of actions in relation to the topics highlighted.

79. RETIREMENTS

The Court noted that Mr Tim Hustler, Mr Kevin Burns, and Mr David Ritchie would reach the end of their term of office following the meeting, although Mr Ritchie would remain a member of the Court until such time as a successor had been identified. The Court thanked them for their contributions over the last year and wished them well in their future endeavours.

The Principal and the Chair-Elect of Court also thanked the current Chair, Mr Eric Sanderson, for his contributions to the Court since he first became a member in 2005. Members highlighted Mr Sanderson's outstanding contributions to the enhancement of governance practice at an institutional and national level, and the cultivation of a positive environment at Court as having been amongst his significant achievements during his tenure. For his part the Chair wished the University, the Court, and its individual members success for the future.

APPENDIX 1

PRINCIPAL'S REPORT (Minute 63)

Thanks

I would like to start by offering my own, and the University's thanks to the Chair of Court, Mr Eric Sanderson, who will retire from the Court on 1 August 2016 having served as the Chair of Court for 6 years, and prior to that as a co-opted member of Court from 2005-2010. The contribution and dedication of Mr Sanderson to the work of the Court, and in particular the enhancement of governance practices at the University, has been invaluable and forms a lasting legacy for his 11 years of service. As a graduate of the University, and a former DUSA President (1972/3), I am quite sure that his departure from the Court will not mark the end of his engagement with the University, however I am sure that the Court would want to join me in thanking him for his tireless efforts.

Overview

As the last meeting of the Court falls close to the end of the academic year, my report typically takes on the function of summarising key activities throughout the year, sign-posting activities in the lead up to graduation, and alerting members to sectoral changes on the horizon. This year there is a great deal to look back on, with the last 11 months seeing the implementation of significant strategic and organisational change across the University. It is difficult for any organisation to undergo this scale and depth of change in such a short period of time, however the staff and students have risen to the challenge and we are already seeing the benefits in terms of culture, performance and engagement.

League Tables

Following on from the league table successes highlighted in my last report, I am pleased to report here the excellent results of the 2017 Guardian University Rankings released last week, where the University has risen 10 places from last year to be placed 28th – a rise of 19 places from the 2015 edition. The University also topped the UK table in forensic science and archaeology and is in the top ten in Social Work (3rd), Dentistry (4th), Medicine (5th), Fashion & Textiles (7th) Law (8th), Art (9th), Economics (9th) and Physics (9th). The ranking reflects strong student satisfaction scores at the University, which has been consistently rated as offering the best student experience in Scotland, and an excellent performance in 'Career after six months' which reflects the employability of our graduates. These results are a testimony to the dedication and hard work of our academic and support staff.

Finance

I am pleased to be in a position to report that, after a rigorous but constructive round of planning and budget setting, and considerable scrutiny of the resulting proposals, the budget presented in the budget and strategic plan forecast achieves the financial parameters agreed previously with the Court. The finalised budget presented is testament to the strong engagement of the Deans and their executive teams with the Planning and Finance teams, and has been built on the joint understanding that the ambitions of the academic community could not be supported unless the University, as a whole, operates from a secure and sustainable financial base. The budget includes a number of challenging, but achievable, plans which are the product of the work and wider agreement of a great number of individuals and groups, and it is apparent that the revised University structure with clearer lines of authority and responsibility has been crucial in helping to develop these growth and investment projects which are integral to our financial plans. I would therefore like to take this opportunity to thank those who have contributed to the development of the budget for their hard work and collaborative approach at every level. Achieving the budget outlined will require continued focus and determination throughout the year, and I am confident that the same commitment will be applied to achieving this goal as has been seen so far in the development process.

Sectoral Matters

Members will have noted the outcome of the recent elections, and in particular the appointment of Mr John Swinney as Cabinet Secretary for Education and Skills. This is a welcome appointment, which reflects the commitment made by the First Minister to education as an area of particular importance to the government. Negotiations for the three-year spending review will commence shortly between the sector and the government, and will ultimately determine the level of support for Higher Education in Scotland. While I believe that the sector is starting from a good position, it is worth remembering that the three year projections for the University outlined in the budget and strategic plan forecast are based upon three critical factors: our continued attention to our cost

base and improving efficiency; income growth – primarily through unregulated fee income; and the outcome of the three-year spending review. With regard to the latter, our calculations have been based on the assumption that core governmental funding to the sector will return in cash terms to the level of 2015/16 by 2018/19. The success of negotiations with the government will therefore play a vital role in determining our core income base for years 2 and 3 of the plans put before Court today and the ensuing years.

Student Recruitment Update

As is typical for my June report, I have included for members' information, a short update on student recruitment for the current cycle. The Finance & Policy Committee will continue to receive detailed reports, and a full summary will be provided following matriculation in the autumn.

The undergraduate student recruitment position is looking strong in all cohorts. Uncontrolled Overseas undergraduate firm acceptances are up by 36% and uncontrolled undergraduate RUK firm acceptances are up by 32%. If this trend continues, and if clearing performance matches or exceeds that of last year, we should expect to see increased overseas and RUK undergraduate matriculating numbers. Plans are in place for a further enhanced clearing operation this year, with increased investment in more targeted RUK and overseas clearing marketing and increased capacity to handle clearing calls and process applications. Work continues in External Relations and in academic Schools to ensure the maximum number of firm acceptances by the June UCAS deadline. Home/EU UG performance has also been strong, with an 18.2% increase in MD40 firm acceptances and a 15.2% increase in uncontrolled Non-MD40 firm acceptances, demonstrating our improving position as a destination of choice for Scottish applicants. We expect to meet controlled and uncontrolled caps and numbers will be carefully controlled in Confirmation.

Semester 1 Taught Postgraduate Performance is close to that of last cycle. Home Taught Postgraduate unconditional firm acceptances are up by 37%, matching increases in applications and offers. Overseas Taught Postgraduate unconditional firm acceptances are down by 6%, largely reflecting a decline in firm acceptances to the School of Social Sciences and CEPMLP in particular, which will be most affected by market trends in Africa and the global fall in oil prices. Overseas Taught Postgraduate unconditional firm acceptances are up by 45% across all other areas. Much increased conversion activity is taking place this year, with a strong push at present for contact with applicants to the School of Social Sciences from key markets (e.g. China).

Graduations

I have been pleased, as always, to note the strong level of support and planned attendance of members of the Court at graduation ceremonies later this month. The participation of members of the Court is always greatly appreciated. Annex e provides a summary of the ceremonies and honorary graduands.

Retirements

Finally, I would like to take the opportunity to pay tribute to Professors John Connell and Georgina Follett who are retiring from the University. John Connell retired from his position as Vice-Principal in the spring after successfully leading the Medical School and the former College as well as leading the University's research activities, in particular through the most recent Research Excellence Framework. He continues to supervise ongoing research projects on a partial re-engagement basis. Georgina Follett, herself a former member of the Court and Deputy Principal will retire in the autumn. She will leave a lasting impact on the University through her leadership of Duncan of Jordanstone College, her success in securing the £5m Design in Action project and more recently through her pivotal role in helping to make the V&A Dundee a reality.

Professor Sir Pete Downes
Principal and Vice-Chancellor

University Executive Group Meetings (UEG)

Since the last report to the Court, the University Executive Group met on 20th April, 4th and 18th May when the following matters were considered:

Corporate Issues

- Updates from the Programme Board regarding strategic growth and savings projects
- Communications with the SFC regarding the financial position of the University
- Management Accounts
- Budget 2016/17
- Culture and Communications approach
- Environmental Task Group minutes
- Business Transformation Proposals
- International College procurement considerations
- Institutional Risk Register
- CURE/Perceptive
- DDU review
- Recruitment and Marketing investment proposal
- Medtronics

Academic Management Issues

- Uod Non-SELTS English Language Qualifications Process
- Humanitarian Scholarships proposal
- International Scholarships proposal
- Approval processes for Research Grant Applications
- FutureLearn

Human Resources Issues

- Updates on industrial action
- Staff Survey results
- Collective Consultation meetings updates
- Advice on protected conversations
- Severance matters
- Failure to agree notice from UCU in relation to School of Humanities Project
- Proposal for management of the Equality and Diversity Agenda

News from Vice-Principals

Professor Nic Beech (Vice Principal, Academic Planning and Performance)

Since the last report to Court, the Deans Group has been implementing the ideas set out at that time. The all-School savings of £3.5million have been delivered and are incorporated into School budgets. As a percentage of School income, the savings undertaken in this project range between 0.7% and 3.3%. It is worth noting that some Schools volunteered to take higher savings targets as would be required by a simple application of the savings formula, and this has helped to minimise job losses.

The planning process has involved presentations and dialogue within Schools, with Senate and the Audit Committee. As a result of feedback received through these routes there has been increased student representation in the programme management board, greater specification and clarity of risk and mitigating actions and a further prioritisation such that 4 projects are proceeding with immediate action (MA Liberal Arts, UDBS, STEM-X, and ICD), 2 are planned for full development in September (Clinical TPG/CPD and Professional/Clinical Doctorates) and others (such as the teaching and research efficiency reviews) will proceed during the 2016-17 academic session.

The planning and budgeting process can be regarded as successful in delivering the required outcomes on time and in a truly collaborative manner. We will now conduct a review of the processes to learn and improve the system. Initial feedback indicates that we will be seeking to have closer ties between organisational KPIs, School and individual objectives, continuous improvement in the rigour of business plans, clear and regular project review on the delivery of plans, and there may be potential for further streamlining of some systems.

These systemic changes are enabled by the continuing work of the Deans and School Executives to lead the culture change across the University and the developmental programme, including School Executive conferences, is being initiated in June.

Wendy Alexander (Vice-Principal International)

Intensive conversion activity is underway operationalising the plan developed by the new cross-University Conversion Working group at the end of last year. The conversion strategy is just one of a suite of new initiatives designed to ensure sustained academic involvement in recruitment, admissions and conversion activity (RAC). The formal recognition of 'RAC time' in the new workload model will both recognise, and augment, academic engagement these activities. We are also developing new organisational development programmes to support academic colleagues build expertise in these fields.

Recent weeks have also seen the launch of number of new initiatives to support unregulated income growth.

New international fees and International Scholarships package (for 2017 entry)

This package discontinues the existing international scholarship structure and introduces:

- Targeted Regional Scholarships: These will be subject/region specific linking to the key messages that resonate most with applicants e.g. rankings in China, student experience in North America
- Global Excellence Scholarships to attract the "brightest and best" globally
- Progression Scholarships for students who have previously studied at UoD
- **Humanitarian Scholarships.** A new development creating a simplified and sustainable mechanism for humanitarian scholarships, including 5 Scholarships pa for Postgraduate taught programme, covering all costs fees, accommodation and assistance with living costs.

This package will be supported by the creation of centralised scholarship budget valued at 10% of the previous year's overseas tuition fee income (equating to £1.5 million in 2015/6). This package significantly reduces the overall spend on fee waivers for UG and TPG.

Inaugural International Agent Conference

Our inaugural International Agent Conference was held 24th – 26th May 2016 to coincide with Design Festival and DJCAD show. The participating agents were selected on basis of their potential to offer the biggest impact to income growth for the University.

Launch of International Student Ambassador programme

To support the University's recruitment and conversion activities a new International Student Ambassador programme has been launched by the recently appointed International Conversion Team. Over 40 international student ambassadors are now engaged in providing "peer to peer" recommendations to prospective students which adds another dimension to the recruitment and conversion process, which academic and professional services staff cannot provide, introducing candidates to the Dundee student experience and tailored to their regional cultures.

All of these important initiatives have been introduced mid cycle this year and so their full impact is likely to be first seen in 17/18 cycle.

On the international partnership side, there has been intensive dialogue with schools in recent months to agree priority partnership opportunities and this is an area of activity which Court may want hear more about during 17/18 cycle.

Professor Karl Leydecker (Vice-Principal Learning & Teaching)

A major sector level issue at the moment is the implications for Scotland (and what the Scottish response should be) to the White Paper in England setting out proposals to introduce a Teaching Excellence Framework. I am liaising closely with fellow Vice-Principals in Scotland as we seek to shape a sector level approach in Scotland. The parallel planned changes to QAA arrangements in England also have implications for future QAA arrangements in Scotland, with the next review cycle needing to be put in place in the course of 2017. Other sector level issues include the future role in Scotland of the HEA and what level of subscription the universities in Scotland will be required to pay beyond 2016/17, and I am part of a small group of Vice-Principals liaising closely with the HEA on this matter on behalf of all the Scottish universities.

Within the University, a key area of focus at present is retention and progression. Last week's Learning and Teaching Development Forum showcased developments in Schools and Professional Services to improve retention, and at the Forum Duncan Brown, SITs Data Manager and Returns Officer from Registry demonstrated a superb interactive tool he has developed to analyse and visualise retention and progression by School, programme, year of study, type of student, different characteristics, point in academic year of departure, reason for departure etc. This is now with Schools who will be interrogating it to establish areas to prioritise for action. This is the first time we have had this quality of data, and it is high quality data which will allow us to make real progress in this area, as in many others.

The NSS survey closed at the end of April, with once again a new record response rate of over 81% (up from 77% last year). The results will be published in August. Efforts are now underway to improve the response rate for the Postgraduate Taught Experience Survey (PTES) which runs until late June.

The Destination of Leavers from Higher Education Survey was also completed in the last month. While the results are still subject to verification by HESA and will not be published until later in the summer, we are confident that the results will demonstrate that the strong improvements in graduate employability seen in last year's survey have been consolidated and improved still further.

Considerable work is going on in the University to consider the pedagogical and infrastructural implications of the rapid expansion of online assessment. Taken together with the University's involvement in delivering MOOCs on the FutureLearn platform, the time is now right to take forward over the summer a wider review of the University's future digital strategy for learning, teaching and assessment that will then feed into the next Learning and Teaching Strategy which will be drawn up over the coming year.

Finally a number of pilots are taking place around the University of learning and teaching activities that bring together students from different disciplines to work collaboratively together in teams on real world problems where they can make a difference. As an example, I have today just come from the truly inspiring final presentations of one such pilot, a design challenge bringing together teams of students from the Schools of Art and Design and Medicine to generate ideas to redesign the main concourse and outdoor spaces at Ninewells Hospital.

Professor Tim Newman (Research, Knowledge Exchange and Wider Impact)

There are major shifts occurring that will significantly affect UK Government research funding, and an update was deemed appropriate for Court even though the impact on Scottish institutions is yet to be determined. First, some background: Government funding for research is structured in terms of “dual support”, which comprises two channels. The first is a block grant, the size of which is determined on institutional research excellence as measured through the Research Excellence Framework (REF) (formerly known as the Research Assessment Exercise). This block grant is currently distributed in England from HEFCE as QR (Quality-Related Research) funding and in Scotland as REG (Research Excellence Grant) funding. The second channel of funding is through Research Council (RC) grants, awarded for individual projects. The University of Dundee currently receives about £20m annually through REG and approximately £20m annually through RC grants. A UK Government White Paper on Higher Education, published in mid-May, sets out a restructuring of the bodies that distribute research funding. A new umbrella body called UK Research and Innovation (UKRI) will be formed, and will bring together the seven Research Councils, Innovate UK and the QR wing of HEFCE, the last of these to be renamed Research England. This reorganisation creates significant uncertainty as to how the dual-support system will operate in future and appears to place HEIs in devolved nations at a distinct disadvantage in influencing funding priorities. In addition, the seven Research Councils will have their budgets increasingly top-sliced over the coming years to create the Global Challenges Research Fund, which will be earmarked for large competitive projects on major challenges. And, finally, the format of the next REF (which was scheduled for 2020, but is likely to be postponed to 2021 or later) is currently the subject of the Stern Review, which is due to report this summer. In summary, a time of great uncertainty for the whole of the UK in how research funding through dual-support will operate moving forward, with additional uncertainty for Scottish HEIs due to the constitution of UKRI. The VP (Research) is ensuring that the research strategy for the University is sufficiently agile to navigate these major shifts. Our emphases on quality and sustainability will remain core to the strategy.

On a brighter note, the University of Dundee RKEC has noted significantly improved grant overhead rates in this FY, and the University recently celebrated the ten-year anniversary of the Drug Discovery Unit, with an outstanding three-day symposium of international speakers from both academia and industry.

People and Prizes

Professor Tony Martin, Centre for Remote Environments has been named as Conservationist of the Year by the Zoological Society of London in recognition of his leadership of the South Georgia Heritage Trust's Habitat Restoration Project.

Professor David Lilley, School of Life Sciences, was announced as the Royal Society of Chemistry Khorana Prizewinner for 2016. The Khorana Prize recognises outstanding achievement award for research at the chemistry and life science interface.

Dr Alessio Ciulli School of Life Sciences, has been recognised as one of Europe's rising stars of science with the award of the 2016 MedChemComm Emerging Investigator Lectureship.

Undergraduate student **Jai NicAllen**, School of Medicine, was named as the winner of the Diversity award at the Sunday Mail Young Scot Awards 2016 in recognition of work to raise awareness of transgender issues.

4th year medical student **Theron Ng** won the National Undergraduate Neuroanatomy Competition, which tests students on their knowledge of neuroscience, neurosurgery and neurology.

Professor Niamh Nic Daeid has been recognised for her internationally leading work to reduce the number of lives lost in fires. The UK Association of Fire Investigators (UKAFI) has presented Professor Nic Daeid with the Pete J. Ganci Jr Memorial Award 2016.

University of Dundee student **Sharandeep Singh** has been awarded the first elective bursary from the Scottish Cancer Prevention Network (SCPN) recognising his efforts to help reduce rates of cervical cancer in Punjab, India.

Major Grants and Awards

The following represents a selection of the grants and awards that have been awarded by funders in open competition since my last report. The awards have been selected to celebrate the achievements of the staff involved, the breadth of our success, and the value of collaboration across the University. Any joint awards with other institutions state the University of Dundee value only. Where an award is overhead bearing the level of overhead is indicated.

Professor C Halpin (Plant Sciences) £1,251,186 including £574,755.00 overhead, from Biotechnology and Biological Sciences Research Council for MaxBio - Maximising Conversion Yields in Biorefining (Joint with Universities of York and Nottingham).

Dr H Walden (Molecular Microbiology) £1,409,094.00 including £281,819.00 overhead from EC Horizon 2020 - European Research Council (ERC) for Regulation of DNA Interstrand Crosslink Repaired by Ubiquitin (ICLUB) (ERC Consolidator).

Professor T Palmer (Molecular Microbiology) £475,149.00 including £240,162.00 overhead from Biotechnology and Biological Sciences Research Council for Characterisation of the Assembled State of the Tat Protein Transport System.

Dr D Hemment (Social Digital) £699,021.00 including £181,814.00 overhead from EC Horizon 2020 – Societies for The GROW Observatory (Joint with 17 other Institutions).

Professor E Pearson (Cardiovascular and Diabetes Medicine) £336,074.00 including £162,988.00 overhead from Medical Research Council for MASTERMIND - MRC ABPI Stratification and Extreme Response Mechanisms in Type 2 Diabetes (Extension) (Joint with Peninsula Medical School Exeter).

Professor DR Alessi (MRC Protein Phosphorylation & Ubiquitylation Unit) £240,758.00 including £97,548.00 overhead from Medical Research Council for Towards a Unifying Theory of Parkinson's Disease - Investigation of the Biochemical and Genetic Role of Rab GTPases (joint with German Centre for Neurodegenerative Diseases).

Professor JWS Brown (Plant Sciences) £113,642.00 including £62,371.00 of overhead from Biotechnology and Biological Sciences Research Council for Development of SUPPA for Alternative Splicing Analysis from RNA-Seq Data in Plants Across Multiple Conditions.

Dr AL Leung (Civil Engineering) £99,642.00 including £55,031.00 overhead from Engineering and Physical Sciences Research Council for Climate-Change Effects On The Performance of Bioengineered Clay Fill Embankments.

Dr MEJ Culter (Geography) £159,097.00 including £43,306.00 of overhead from Natural Environment Research Council for Spatio-Temporal Dynamics of Forest Response to ENSO Drought (STEED) (Joint with Universities of Aberdeen and Nottingham).

Professor JR Swedlow (Gene Regulation and Expression) £112,702.00 including £34,138.00 overhead from EC Horizon 2020 - Excellent Science for Developing New World-Class Research Infrastructures (INFRADEV-2) (Joint with 20 other partners).

Professor SM Parkes (Computing) £54,994.00 including £32,796.00 overhead from Centre for Earth Observation Instrumentation and Space Technology (CEOI-ST) for SUNRISE: SpaceFibre Universal Network Router for the Interconnection of Spacecraft Electronics (Joint with STAR Dundee).

Summer Graduations

Date and Time	Schools	Honorary Graduates
10am Wed 22 June	School of Education and Social Work School of Humanities	
2:30pm Wed 22 June	School of Nursing and Health Sciences School of Art and Design	Dr Charles Alexander Jencks Mrs Amanda Guiditta Kopel
10am Thur 23 June	School of Social Sciences (undergraduate awards)	
2:30pm Thur 23 June	School of Life Sciences School of Social Sciences (PG)	Sir William Castell Sir William Charters Patey
10am Fri 24 June	School of Dentistry School of Science and Engineering	Prof Harindra Joseph Fernando
2:30pm Fri 24 June	School of Medicine	Prof Hilal Musaed Al Sayer Mr Gary Lightbody

APPENDIX 2

FINANCE & POLICY COMMITTEE (Minute 67(1))

A meeting of the Committee was held on 9 May 2016.

Present: Mr KA Richmond (Convener), Principal Professor Sir Pete Downes, Mr R Bowie, Mr IC Howie, Mr T Hustler, Ms J Marshall, and Mr EF Sanderson.

In Attendance: Mr J Elliot; University Secretary; Vice Principal (Academic Planning & Performance); Director of Academic & Corporate Governance; Director of Campus Services; Director of Finance; Director of Strategic Planning; Deputy Director of Finance; and Policy Officer (Corporate Governance)

Apologies: Professor SM Black; Professor M Scott; Vice-Principal (Learning & Teaching).

1. MINUTES

Resolved: to approve the minutes of the meeting of 21 March 2016 subject to minor amendment.

2. MATTERS ARISING

(1) Credit Facility Update (Minute 2 (1))

The Committee noted that the Court had, at its meeting on 18 April 2016, confirmed that the proposed borrowing facility and associated terms represented an appropriate part of the University's financial strategy and that it had delegated authority to the University Secretary and Director of Finance to complete all documentation required to finalise arrangements. In response to questions the Director confirmed that he expected the relevant documentation to be completed by the end of May 2016.

Resolved: to note the update.

(2) Drug Discovery Unit (DDU)/CURE update (Minute 7)

The University Secretary provided an update to the Committee in relation to CURE. Members noted that a proposal was being developed for the initialisation of the project, and that appropriate steps were being taken to mitigate risks associated with any early draw-down of funding.

The Committee noted that a business plan would be provided in due course, and that estates options were currently being evaluated. In response to questions, the Director of Finance confirmed that the project was structured in a way which would not impact negatively on the University budget.

Resolved: to note the update.

(3) Potential Changes to UODSS (Minute 9)

[Secretary's note: Mr Iain Howie and Dr Neale Laker declared an interest in the item as members of the Board of Trustees for the University of Dundee Superannuation Scheme (UoDSS).]

The Committee noted that the Pensions Sub-Group had met immediately preceding the meeting of the Finance & Policy Committee and that following a presentation from MERCER, the Sub-Group had invited them to model a range of options for further consideration.

Resolved: to note the update.

3. MANAGEMENT ACCOUNTS PERIOD 8

The Deputy Director of Finance presented the management accounts for the period to the end of March 2016. In doing so he highlighted a net improvement in the forecast outturn, with the deficit on continuing operations reducing by £267k to £502k. Members noted the improvement over the course of the year from the deficit projected in September as a result of a £3m shortfall in student fee income arising from lower than expected recruitment. Members also noted that a further £5m decrease in research income had been managed by the respective Schools.

Noting that the phasing of the budget projected significant expenditure in the final four months of the year, the Deputy Director advised members that there should be no further unexpected variations on income and that the focus was now on managing costs with the aim of achieving the budgeted surplus for the year. Members also noted that restructuring costs would be reflected in next year's accounts, and that costs for the business transformation programme which had been allocated to 2015/16 had been reallocated to 2016/17 to better reflect when they are expected to be incurred.

Resolved: to note the report.

4. DRAFT BUDGET 2016/17, 3 YEAR PROJECTIONS FOR SFC AND CAPITAL PLAN

The Committee considered a provisional budget for 2016/17 including plans for capital expenditure and the three year projections for submission to the Scottish Funding Council (SFC). Members noted that the forecast was within the parameters previously agreed by the Court, with a deficit of no more than £5m in 2016/17, a cumulative deficit of no more than £10m by 2018/19, and a return to a sustainable surplus within three years. In response to questions, the Director informed the Committee that the main grant letter had not yet been received from the SFC and he confirmed that it would be circulated to members when received. It was also confirmed that it was expected that the Scottish Government would commence a three-year spending review shortly. Members discussed the balance of savings and growth within the budget and noted that this would be kept under review relative to the growth in income achieved.

The Director of Finance went on to outline the process followed during the development of the budget, and members noted that the University's new structure had provided a platform for greater visibility and engagement throughout the process. In particular, he highlighted the significant savings identified by Schools and Directorates relative to the first budget round and members commended the transparent and collaborative approach taken in achieving this level of savings. Members noted that the student recruitment targets within the budget had been carefully scrutinised before any increases to income had been included in the projections, and that the justification for these increases were detailed within the budget proposal. In response to questions, the University Secretary highlighted the ongoing investments being made in the staffing and other infrastructure required to recruit and support the levels of student recruitment outlined.

The Director went on to confirm that the budget was, at the time of the meeting, subject to further refinement and therefore included a number of contingencies to cover risks and costs associated with the range of savings and growth projects which were to be considered by the Court in June. Members noted that the University's cash position was strong as a result of a number of one-off gains, however it was also noted that the condition of the University estate would require future consideration given the low levels of investment in this area at the current time.

Turning to expectations for Court, members made a range of suggestions around presentation of the final budget and the various savings and growth projects.

Resolved: (i) to endorse the budget and three year plan to Court for approval; and
(ii) to note that the main grant letter would be circulated to members when received.

5. **RESERVED BUSINESS: STRICTLY CONFIDENTIAL
BUSINESS TRANSFORMATION UPDATE**

[Secretary's note: members noted that in announcing the successful supplier following a public sector procurement exercise care must be taken with regard to the timing and content of the communication and commercial confidentiality. Members were therefore asked to note that the information on the selection process and financial terms offered by the Business Transformation bidders remained confidential and commercially sensitive as the University was still to formally complete the evaluation process and therefore remained within an internal governance process, the details of which must not be disclosed until a decision is reached by University Court on 6 June 2016, when all bidders would be formally notified of the outcome. At that time a legal standstill period would commence. Furthermore, members noted that at this stage of the procurement process, should this information be requested, the University would normally expect to withhold information on the basis of S.30(b)(ii), S.30(c), S.33(1)(b), and/or S.36(2)(b) of the Freedom of Information (Scotland) Act 2002.].

The Committee received a proposal from the Director of Business Transformation which outlined a recommended vendor solution for the business transformation programme approved by the University Court in February 2015. In presenting the proposal, the Director highlighted the vendor selection process and methodology followed, vendor pricing summaries, financial benefits and a budget profile. Members noted that the efficiency savings and additional unregulated income remained within the parameters set within the original business plan,

The Director went on to outline programme management arrangements and he also highlighted the most significant risks to the project at this stage along with actions which had been designed to mitigate these risks.

The Committee considered in detail the scoring process for vendor selection along with the cost breakdown, including the on-going process to identify solutions to 'Dundee specific' requirements, such as the integration of a number of existing systems and provision of timetable, workload and student recruitment solutions. Members also noted the assumptions within the budget presented relating to staff reductions and possible severance costs.

Members agreed that it was prudent to ensure a reasonable contingency, in terms of both financial and timescale parameters, was built into projections. In response to questions the Director of Finance confirmed that the return on investment (at five years) remained the same and that, with the exception of the contingency, all of the costs were included in the 2016/17 budget detailed elsewhere on the agenda. The Committee noted the diligence with which proposals to date had been developed and commended those involved with the project for the comprehensive approach taken.

Turning to the planning and phasing information presented, members noted that key milestones and deliverables would be agreed with the vendor once approval had been granted and the Director highlighted plans for stakeholder engagement and communications. The Committee also noted the planned involvement of internal audit provision and the role of the Audit Committee relative to the project and members highlighted the value of a post-implementation review.

Resolved: to endorse to Court for approval the proposal as set out.

6. **STUDENT RECRUITMENT UPDATE**

The Committee received its regular report from the Director of Student Recruitment & Admissions detailing emerging patterns in recruitment for entry in 2016/17. Members noted an increase in undergraduate applications, offers and firm acceptances relative to the same point last year, indicating a likelihood of growth on last year in main cycle matriculations. Members also noted that the University did not expect to meet Taught Postgraduate (TPG) targets as set in October 2015 for entry in September 2016, largely as the growth achieved in most areas would be balanced against static or declining matriculations in the School of Social Sciences. In response to questions the Vice-Principal (Academic Planning & Performance) confirmed that the decrease was linked to the dependency of some programmes on recruitment from oil and gas industries or countries where these industries were an important economic factor. The Vice-

Principal also confirmed that Research Postgraduate (RPG) applications had decreased relative to the same point in the cycle last year, and that a decrease in RPG matriculations now seemed likely. Members noted that RPG recruitment was often strongly linked to project/programme-related awards and that this may have been a contributing factor.

Resolved: to note the report and ask that future reports detail numbers relative to targets as well as relative to the previous cycle.

7. **CAMPUS SERVICES**

The Director of Campus Services provided an update of projects currently under consideration including accommodation solutions for the Leverhulme Centre, CURE and the University of Dundee Business School project. The Director went on to present an estates overview, and members noted the low level of investment in estate relative to the sector, maintenance costs and the current estimated value of backlog maintenance. Noting that a number of possible options to ensure the quality of the estate was maintained over the coming 5 year period would be explored in the new estates strategy, members encouraged the Director to present investment proposals to a future meeting of the Committee which were aligned to priority projects and balanced stewardship/compliance work with the future business growth requirements of the University.

Resolved: to note the report

8. **ANNUAL PROCUREMENT REPORT**

The Committee noted the annual procurement report. In response to questions the Director of Finance confirmed that the Head of Procurement was developing a revised procurement strategy and members suggested that the annual procurement report be considered alongside the revised strategy at the next meeting of the Committee.

Resolved: to note the report would be considered by the Committee at its next meeting.

9. **USE OF DELEGATED AUTHORITY**

The Director of Academic & Corporate Governance informed the Committee that he was not aware of any instances of the use of Delegated Authority other than the imminent signing of the credit agreement with the Bank of Scotland as approved by the Court on 18 April 2016.

Resolved: to note the update

APPENDIX 3

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 67(2))

A meeting of the Committee was held on Monday 9 May 2016

Present: Mr EF Sanderson (Convener), Mr R Bint, Ms B Malone Ms J Marshall and Professor M Scott

In Attendance: Mr R Bowie; University Secretary; Vice-Principal (Research, Knowledge Exchange & Wider Impact); Director of Academic & Corporate Governance; Policy Officer (Corporate Governance)

Apologies: Ms J Aitken, Mr K Burns, Principal Professor Sir Pete Downes.

1. MINUTES

Resolved: to approve the minutes of the meeting of 21 March 2016.

2. MATTERS ARISING

(1) Register of Interests (Minute 2(2))

The Director of Academic & Corporate Governance provided the Committee with an update on progress with regard to completion of the annual review of the register of interests for officers in positions of significant influence within the University. Members noted that at the time of the meeting 65% of returns had been processed and that all outstanding returns were being followed up.

The University Secretary informed the Committee that a lay member of Court had declared an interest by virtue of a 'one-off' commercial contract which had been awarded to him to design and deliver a module for the School of Medicine. Members highlighted the need for the member to recuse himself from future discussion items with a link to the School of Medicine.

Members also indicated that in due course it would be helpful for further policy guidance on the process for making declarations of interest to be considered by the Committee and included in the Court handbook.

Resolved: (i) to ask the University Secretary to brief the member on arrangements relating to his declaration; and

(ii) to ask that further guidance on declarations of interest be included in revisions to the Court Handbook; and

(iii) otherwise, to note the update.

(2) Higher Education Governance (Scotland) Act 2016 (Minute 3)

The Committee noted that the first meeting of the Working Group established to consider the implications of the Higher Education Governance (Scotland) Act would be held on 9 June 2016.

Resolved: to note the update.

(3) Update on Appointment of Chairperson of Court (Minute 2(3))

The Committee received a report from the University Secretary reviewing the process for the recruitment and appointment of the Chair of Court. Feedback from the search consultants (Saxton Bampfylde), officers and members of the interview panel had been used to evaluate factors including the effectiveness of advertising, efforts to ensure diversity amongst applicants, the level of interest shown in the vacancy and how the University was perceived externally. Consideration was also given to the appointment process itself, with a view to identifying potential improvements.

Noting that, as a result of the implementation of the Higher Education Governance (Scotland) Act, the Chair of Court would in future be elected, members nevertheless felt that there were important lessons which could be learned from the process undertaken on this occasion. In particular, members noted the value of 'visit days' for candidates and that it would have been preferable for there to have been a longer period between such visits and the interviews themselves (although on this occasion it had not been possible due to the compression of timescales associated with obtaining Privy Council approval for changes to Statute 9).

Members remained somewhat ambivalent in relation to the utility or otherwise of using search recruitment agents to identify applicants, and highlighted the need to make better use of the existing network of contacts available to the University through senior officers, Court members, staff and students. Members also expressed disappointment at the lack of gender diversity in the pool of potential candidates.

Turning to the future, the Committee noted that the working group set up to consider implications of the implementation of the Higher Education Governance (Scotland) Act would make recommendations to the Committee in due course regarding the future process for the election of the Chair of Court. Members discussed the issues which this change would present and the need to engage with staff, students and campus unions at an early stage. In particular, members noted the challenge of identifying suitable candidates with both the relevant experience to carry out the role and the time available to do so.

- Resolved:**
- (i) to note the update and await the recommendations from the working group considering the implications of the Higher Education Governance (Scotland) Act.
 - (ii) to ask officers to seek data and information from colleagues across the Scottish sector on Court diversity.

3. **COURT MEMBERSHIP**(1) Court Membership and the Higher Education Governance (Scotland) Act

The Committee considered a paper from the Director of Academic & Corporate Governance which provided an overview of potential implications of the Higher Education Governance (Scotland) Act with respect to the membership of the Court. In particular the paper highlighted that the Act made provision for membership of the Court by two union nominees, and members expressed a preference that the working group should consider options to deliver this outcome in ways that did not lead to an increase in the overall size of Court. Members noted that one option would involve the realignment of the existing categories of staff membership on Court to accommodate nominees from the unions. The Director told the Committee that an agreement had been reached with the Academic Council to formalise a change in its composition to create a Staff Council, and that this in itself may present options for the realignment of the staff membership. Members also noted that it was anticipated that the Scottish Government would issue guidance on implementation and transition arrangements associated with the Act after the forthcoming election, but that it was likely that there would be pressure to address the matter of union membership of Courts at an early stage.

The Director indicated that the term of office of Mr David Ritchie, the current member of Court elected by the non-teaching staff would expire on 31 July 2016. Members noted that in accordance with Ordinance 45 and *Regulations for the Election of a Member of Court by the non-Teaching Staff*, an election would be held to identify a successor for Mr Ritchie at the earliest possible time in semester 1 of the 2016/17 academic year. Members noted that by this time it may be feasible to use transition arrangements relating to the implementation of the Act and recommendations from the working group to inform the process undertaken. Members also noted that, following consultation with Mr Ritchie and the campus unions, Mr Ritchie would remain a member of Court under sub-paragraph 3(2) of Ordinance 45 until such time as a successor had been identified.

- Resolved:**
- (i) to note that an election would be held in semester 1 to identify a successor for Mr Ritchie as the member of Court elected by the non-teaching staff; and
 - (ii) otherwise, to note that the working group would propose recommendations in due course in relation to membership of the Court.

(2) Membership of Court and its Committees 2016/17

Noting earlier discussions relating to the term of office of Mr David Ritchie as the member of Court elected by the non-teaching staff, members also noted that the terms of office of Professor Sue Black, Ms Janice Aitken, Mr Stuart Cross, and Mr Denis Taylor would expire during or at the end of the 2016/17 academic year – with all being eligible for reappointment/re-election.

The Committee also noted that the Conveners of both the Finance & Policy and the Audit Committee would reach the end of their maximum terms of office by 31 July 2018, and members highlighted the need to consider succession planning with respect to these positions at an early stage.

Turning to the Convenership of the Committees of the Court for 2016/17, members noted that Mr Andrew Richmond, Mr Jo Elliot, and Ms Shirley Campbell had indicated that they would be willing to remain as conveners respectively of the Finance & Policy, Audit, and Human Resources Committees for the coming year. Members also noted that as a result of the appointment of Mr Ronnie Bowie as the Chair of Court, he would assume the role of Convener of the Governance & Nominations Committee for 2016/17 and would, in line with the Committee's terms of reference (and consistent with the UK Corporate Governance Code) step down as Convener of the Remuneration Committee. The Committee recommended that Ms Bernadette Malone be considered for the role of Convener of the Remuneration Committee, and members noted that she had indicated to the Chair elect that she would be willing to serve as such.

The Committee also considered the general membership of its Committees for the 2016/17 academic year. In doing so, the preferences communicated by individual members were noted and the Committee was careful to ensure an appropriate balance of skills, diversity and membership groups on Committees - as well as to balance the number of Committees on which any single member was serving.

The Committee received annual reports on: the attendance of members of the Court during the academic year at meetings of the Court and its Committees, and statistics for elections to Court held during the 2016/17 academic year. Members expressed concern at the low level of engagement with the election of the Independent Student Member on Court and suggested that this matter be discussed with student representatives by the Governance Working Group in the context of the Act.

- Resolved:**
- (i) to recommend to Court the following Convenerships:
 - Audit Committee: Mr Jo Elliot;
 - Finance & Policy Committee and Endowments Sub-Committee: Mr Andrew Richmond;
 - Governance & Nominations Committee: Mr Ronnie Bowie
 - Human Resources Committee: Ms Shirley Campbell; and

- Remuneration Committee: Ms Bernadette Malone.
- (ii) to recommend to Court the memberships of its Committees for 2016/17 as set out in annex a; and
- (iii) to note that the Governance Working Group would consult with DUSA regarding the position of Independent Student Member on Court;
- (iv) otherwise, to note the report.

4. CORPORATE GOVERNANCE

(1) Annual Review

The Committee considered arrangements for the annual review of the performance of the Court and the Chair of Court. Noting that the review was normally held at the June meeting of the Court and that the meeting on 6 June 2016 would be the last meeting for the current Chairman, the Committee recommended that the review of the performance of the Chair be postponed until June 2017. Members noted that the Deputy Chair of Court had consulted with members in this respect and that the Court had been supportive of this approach. The Chair elect, Mr Ronnie Bowie, proposed to use the opportunity instead to outline for discussion his objectives for the coming academic year.

Turning to the review of the performance and effectiveness of the Court, members noted the focal areas and questions used in previous reviews and proposed that these be used to facilitate discussions at the meeting on 6 June 2016. The Committee also proposed that a questionnaire be circulated to members in advance of the meeting, and Mr Bowie and Mr Bint undertook to provide suggestions for the questionnaire to the Policy Officer (Corporate Governance) for circulation. The Committee also proposed that members of the University Executive Group (UEG) be asked to complete a similar questionnaire to provide their perspective on Court's work and interface with senior management.

- Resolved:**
- (i) to note that the annual review of the performance and effectiveness of the Chair of Court would be postponed until June 2017 and endorse the proposal that the new Chairman use the opportunity to discuss his objectives for the coming academic year; and
 - (ii) to note the focal areas and questions for use in the annual review of the performance and effectiveness of the Court and ask that a questionnaire be circulated to all members of the Court and UEG for completion.

(2) Meetings with Court Members

The Chair of Court updated the Committee on his meetings with members of the Court. The Committee noted that the Chair had met with a significant number of members to provide them with feedback, and that he aimed to complete his cycle of meetings shortly.

Resolved: to note the update.

5. LAY VACANCY

The Committee noted that a vacancy would arise on the Court as a result of the appointment of Mr Ronnie Bowie as the Chair. Following consideration of previous processes for the appointment of lay members of the Court, the Committee proposed that the position be advertised in the Sunday Times, Scotsman, Herald and Courier, that it be brought to the attention of members of Court, staff, students, and previous strong applicants, and also be placed on the range of websites used in relation to previous vacancies. Members also proposed that the GlobalScot network might be a useful resource.

The Committee gave consideration to how greater diversity could be achieved amongst applicants. Members also suggested that knowledge and/or experience of business development, international business, marketing and communications would be particularly desirable skills for applicants to bring to the Court membership.

The Committee approved the proposal that in the interests of time, and given that the next meeting of the Committee was not until October 2016, a shortlisting and appointing panel be convened, and that authority to agree the mechanics of the appointing process (including the refinement of advertising and the development of selection criteria) be devolved to the panel. Noting that it was usual practice for the panel to consist of two lay, one staff and one student member of the Committee, or where this was not possible, members of Court from equivalent categories, the Committee proposed the following membership for the panel: Mr Richard Bint, Mr Kevin Burns, Ms Bernadette Malone, and Professor Mairi Scott.

Resolved: to propose that an appointing panel with the following membership be convened to take forward the advertising, interview and selection process: Mr Richard Bint, Mr Kevin Burns, Ms Bernadette Malone, and Professor Mairi Scott, noting that, in the event that any of the proposed members becomes unable to participate, officers will agree appropriate alternates with the Chair of Court.

[Secretary's note: due to availability issues the panel was subsequently confirmed as Mr Richard Bint, Ms Bernadette Malone and Ms Janice Aitken, with Mr Kevin Burns as a member for the shortlisting panel and Ms Indrė Urbanavičiūtė (in coming DUSA President) as a member of the interview panel].

6. QUALITY ASSURANCE

Noting that the annual return to the SFC on academic quality was signed by the Court, and therefore the responsibility of the Court, the Committee asked that officers consider how the understanding of the Court could be improved in relation to this aspect of its responsibilities.

Resolved: to ask the Director of Academic & Corporate Governance to consider arrangements.

Proposed Committee Membership 2016/17**1. Audit Committee (AC)**Members

Mr Jo Elliot (Convener)
Ms Sandra Morrison-Low
Mr Allan Murray
Mr Richard Bint
Dr William Boyd
Mr Neil Menzies

Normally in attendance

Convener of Finance & Policy Committee
University Secretary
Vice-Principal (International)
Director of Finance
Director of Academic & Corporate Governance
Policy Officer (Risk & Audit) (Secretary)
Other officers at the discretion of the Director of Finance

[Secretary's note: Mr Allan Murray was subsequently appointed to the Court and consequently the Audit Committee on 8 September 2016.]

2. Finance & Policy Committee (F&PC)Members

Mr Andrew Richmond (Convener)
Principal
Professor Mairi Scott
Professor Sue Black
Mr Ronald Bowie
Ms Bernadette Malone
Mr Iain Howie
Ms Jane Marshall
President of the Students' Association

Normally in attendance

Convener of Audit Committee
University Secretary
Vice-Principal (Learning & Teaching)
Vice-Principal (Academic Planning & Performance)
Director of Finance
Director of Academic & Corporate Governance
Director of Campus Services
Director of Strategic Planning
Policy Officer (Corporate Governance) (Secretary)

3. **Endowments Sub-Committee**

Mr Andrew Richmond (Convener)
 Ronnie Bowie
 President of the Students' Association
 Mr Alan Young (lay Endowment Committee member)

4. **Governance & Nominations Committee (G&NC)**

Members

Mr Ronnie Bowie (Convener)
 Principal
 Ms Jane Marshall
 Professor Mairi Scott
 Mr Richard Bint
 Ms Bernadette Malone
 Ms Janice Aitken
 Mr Sean O'Connor

Officers normally in attendance

University Secretary
 Vice-Principal (Research, Knowledge Exchange & Wider Impact)
 Director of Academic & Corporate Governance
 Policy Officer (Corporate Governance) (Secretary)

5. **Human Resources Committee (HRC)**

Members

Ms Shirley Campbell (Convener)
 Dr William Boyd
 Mr Denis Taylor
 Mr David Ritchie
 Dr Alison Reeves
 Professor Tim Kelly
 Ms Karen Reid
 Professor Stuart Cross

Officers normally in attendance

University Secretary
 Vice-Principal (Academic Planning & Performance)
 Director of Human Resources
 Deputy Director of Human Resources
 Policy Officer (Risk & Audit) (Secretary)
 Other officers at the discretion of the Director of Human Resources

6. **Remuneration Committee (RemC)**

Members

Ms Bernadette Malone (Convener)
 Mr Ronald Bowie
 Ms Shirley Campbell
 Mr Iain Howie

Officers normally in attendance

Principal (as required)
 University Secretary (as required)
 Director of Human Resources (as required)

7. **Internationalisation**

Mr Denis Taylor

8. **Welfare and Ethical Use of Animals Committee**

Dr William Boyd

9. **TAHScN (Tayside Academic Health Science Network)**

Arrangements to be discussed given the establishment of the Academic Health Partnership.

10. **University of Dundee Superannuation Scheme Employer-Nominated Trustees**

Mr Keith Swinley (Convener)

Mr Ian Ball

Dr Neale Laker

Mr Graham McKee

Mr Iain Howie

11. **Pensions Sub-Group**

Mr Ronnie Bowie

Mr Jo Elliot

Mr Andrew Richmond

Ms Jane Marshall

Officers normally in attendance

University Secretary

Director of Human Resources

Director of Finance

Policy Officer (Corporate Governance) (Secretary)

APPENDIX 4

AUDIT COMMITTEE (Minute 67(3))

A meeting of the Committee was held on 18 May 2016.

Present: Mr J Elliot (Convener), Ms W Alexander, Mr R Bint, Mr N Menzies, Mr K A Richmond

Apologies: Dr WGC Boyd, Ms B Malone, Ms SS Morrison-Low, Director of Academic & Corporate Governance

In Attendance: University Secretary; Director of Finance; Deputy Director of Finance; Mr C Brown (Scott-Moncrieff); Mr P Kelly (Scott-Moncrieff); Mr M Smith (Scott-Moncrieff), Mr J Boyd (EY), Mr K MacPherson (EY), Mr S Reid (EY) and Policy Officer (Risk & Audit).

1. MINUTES

Resolved: to approve the minutes of the meeting on 1 March 2016.

2. MATTERS ARISING

(1) Whistleblowing Policy (Minute 2 (2))

The Director of Academic & Corporate Governance presented an updated version of the Whistleblowing (Public Interest Disclosure) Policy (annex). The Committee reviewed the Policy and requested further clarification on the question of claims made in bad faith, and the level of protection afforded to people who have made a claim. In discussion it was agreed that an updated version be circulated to the Committee before it was submitted to Court on 6 June 2016.

Resolved: (i) to amend the Whistleblowing Policy and circulate to Committee members prior to submission to Court on 6 June 2016; and

(ii) otherwise, to note the policy.

(2) Procurement Procedures for Appointing New Auditors (Minute 5)

The Director of Finance informed the Committee that as a result of the mini-tendering process, Ernst & Young had been appointed as the University's external auditors.

Resolved: to formally note the appointment of Ernst & Young as external auditor.

(3) International Partnerships (Minute 6)

The Committee considered the risk management matrix for the Educational Partnership Development Unit (EPDU), and in doing so suggested that Item 4, Negative Change in External Operating Context, be reflected as a more substantial risk and to include changes in the geopolitical environment as a factor.

Resolved: (i) to ask the Director of EPDU to reassess the risk level for Item 4; and

(ii) otherwise, to note the report.

(4) Improvements in Value for Money (VFM)

The Director of Finance presented a report on value for money, and in doing so advised that there is no longer a requirement from the Scottish Funding Council (SFC) to provide a report on the value of efficiency savings. However, for analysis the data continued to be captured and showed that the University had consistently overachieved the required 3% savings target originally set by the Scottish Government.

Turning to the recent project on IT procurement the Director reported that policies were now in place and that savings from this project should be able to realise in excess of £100k a year. In response to questions, the Director advised that the Head of Procurement had identified further pieces of work around network printing across the University and general procurement processes.

The Convener suggested that the review of procurement activity, which had been submitted to the recent Finance & Policy Committee, be circulated to members for information.

Resolved: (i) to circulate the Review of Procurement Activity to the Audit Committee; and

(ii) otherwise, to note the report.

3. **CONVENER'S REPORT**

The Convener reported that he had met with the internal and external auditors since the last meeting; and had attended the usual pre-meeting with the University Secretary, Director of Academic & Corporate Governance, Director of Finance and Policy Officer directly before the meeting. Matters discussed at these meetings would be covered in the rest of the agenda.

Resolved: to note the update.

4. **INTERNAL AUDIT**(1) Scott Moncrieff: Draft Internal Audit Plan 2016/17 to 2018/19

The Auditor provided the Committee with the provisional internal audit plan for 2016/17 to 2018/19.

Members considered a number of areas within the plan which could be brought forward or deferred and new areas where internal audit work could add value and proposed a number of revisions to the draft plan. In particular members highlighted the importance of reviewing workforce planning, DUSA and student satisfaction. The Committee also proposed that the following studies be advanced: A5 (VAT), B7 (Workforce planning), C7 (Student Experience), D3 (Business transformation) and C1 (DUSA, with a particular focus on sustainability).

Members also suggested: A2 (General Ledger) and B1 (Strategic planning), be deferred to enable the other areas to be advanced and that a study on TRAC methodology be included for 2017/18.

Following discussion members requested that the rationale in A1 (Income Generation & Debtors) be amended as the University had identified income generating activities which would need to be operationalised.

In response to questions, the Auditor informed members that the plan would be revised to reflect the discussions which had taken place and would be circulated to the Committee and submitted to Court in June.

- Resolved:** (i) to note that the internal audit plan would be refined and circulated to the Committee prior to submission to Court in June.
- (ii) otherwise, to note the report.

(2) Internal Audit Progress Report

The Committee considered a report from the internal auditors Scott-Moncrieff detailing progress to date on the 2015/16 Internal Audit Plan. The Auditors highlighted that the plan was on track to be delivered in accordance with the programme.

Members noted that: five audits had been completed, the School Review remained in progress with further fieldwork being conducted in June; and detailed planning meetings had been held regarding the business transformation work.

Resolved: to note the report

(3) Student Recruitment

The Auditors provided an overview of their report into Student Recruitment. In doing so, they highlighted that they had found no high-risk or fundamental failures of key controls. The report made three moderate and one limited risk recommendations in which the auditors identified scope for improvement and all had been accepted by management. These included: ensuring every objective in the recruitment plan is supported by SMART targets; better recording of student recruitment/communication undertaken by academics; clearly identifying roles and responsibilities of School colleagues; and ensuring annual student recruitment targets are broken down into interim targets and profiled across the year.

Resolved: to note the report.

(4) Research Internal Audit

The Vice-Principal (Research, Knowledge Exchange and Wider Impact) provided an update on research management projects. In doing so he informed members that there were eight projects covering three categories: management, recovery and vision. He went on to highlight the summaries and timelines for the management projects which covered: annual research reviews, grant application approvals, research efficiency and coherence of research support.

In response to questions, the Vice-Principal provided assurance that the post awards finance team provided strong financial tracking of grants awarded.

Resolved: to note the update

(5) Management update on actions from previous reports

The Policy Officer (Risk & Audit) provided a full summary of all audit recommendations from Scott-Moncrieff from September 2014 to May 2016.

The Convener thanked the Policy Officer for providing the report and members were pleased to note that the format and structure of the report provided assurance that the implementation of recommendations was being effectively monitored and followed up internally.

Resolved: to note the report

(6) IT Asset Procurement

The Director of UoDIT informed the Committee that the next focus of work on IT procurement would be on mobile devices and would be submitted to the Information Management Committee for consideration in due course.

Resolved: to note the update.

5. **BUSINESS TRANSFORMATION PROJECT**(1) Business Transformation Update

The University Secretary presented the report from Business Transformation. In doing so, he informed the Committee that Finance & Policy Committee had scrutinised the document and would be endorsing proposals in relation to vendor selection and implementation to the Court in June.

Resolved: to note the update.

(2) Scott Moncrieff: Plan for business transformation process

The Committee received a report from the internal auditors, Scott-Moncrieff, which outlined the proposed approach, coverage and timing for the Business Transformation Assurance Reviews. In response to questions, the audit manager confirmed that strategic outcomes were a key focus and that a business transformation specialist had been engaged to cover organisational readiness / cultural issues.

Members discussed the plan in detail and requested that some training be provided to them to support a more comprehensive understanding of the project on their part.

Members questioned if the Committee would receive regular progress reports and financial tracking to ensure the project was on time and on budget. In response the University Secretary advised members that the steering group for the business transformation project would be providing these directly to the Finance & Policy Committee, and they could be circulated to the Audit Committee for information.

The Convener suggested that the Director of Business Transformation and the Director of UoDIT attend the Audit Committee in November to speak to the outcome of reviews undertaken in October.

- Resolved:**
- (i) to organise training for Committee members on the Business Transformation process/project;
 - (ii) to invite the Director of Business Transformation and the Director of UoDIT to the November Audit Committee; and
 - (iii) otherwise, to note the report.

6. **THREE YEAR EXTERNAL AUDIT PLAN**

The Committee received a paper from the University's external auditor outlining the approach to be taken in carrying out the audit for the year ending 31 July 2016. In it the auditors set out the scope, fee, and materiality thresholds for the audit. The auditors also formally confirmed their independence as external auditors.

The Convener requested that the Director of Finance and the external auditors provide a training session for Committee members on the transition to FRS102.

- Resolved:**
- (i) to arrange training for Committee members on FRS102; and

- (ii) to note the report.

7. RISK MANAGEMENT

The University Secretary presented the Institutional Risk Register (IRR), and highlighted changes which included: additional control actions, new scorings and changes in the risks identified as priorities. The Committee was pleased to note that the register had been reviewed by the Professional Services Group (PSG) and by the University Executive Group (UEG).

Members noted that papers received by the Committee often did not reflect any risk analysis and that future papers should do so to enable a more detailed scrutiny.

Turning to the scoring, members agreed that the scoring be reviewed on a regular basis to reflect the work being undertaken to reduce the identified risk. It was also noted that an extra column could be added to reflect the outcome of the actions, which would enable a reassessment of the residual risk remaining.

Members recognised that quantifying an appetite for risk could be difficult and recommended that key risks be scrutinised on a cyclical basis by a 'deep dive' discussion.

- Resolved:**
- (i) to ask officers to identify a cycle of 'deep dive' reviews of key risks;
 - (ii) to endorse to the Court the updated Institutional Risk Register; and
 - (iii) otherwise, to note the report.

8. MEASURES TO ADDRESS THE FINANCIAL POSITION OF THE UNIVERSITY

The Vice-Principal (Academic Planning and Performance) gave a presentation on the measures currently being undertaken to address the financial position of the University.

In doing so, he reminded members that a series of strategic projects had been developed which focussed on: savings & efficiencies, investment & growth and that each project's progress was monitored by a programme board which provided support and reviewed risk to ensure intended outcomes were achieved.

The Vice-Principal then presented each of the main investment and growth projects, and advised that each one would be individually presented to Court in June along with a robust business plan, risk assessment and explanatory comments from the project leads and sponsors.

In response to questions the Vice-Principal highlighted that collaborative decision making and shared leadership across all areas of the University had contributed to the process of devising and delivering the projects which would be critical to the financial sustainability of the institution.

- Resolved:** to note the update

9. IT SECURITY AND CONTROLS

The Committee received an update from the Director of UoDIT, which outlined the considerable progress made since 2014. In particular, the Director highlighted: the implementation of BOX as a crypto-locked data storing and sharing solution; the introduction of security awareness training for staff; modified password management; and the installation of a new network which would bring greater security improvements.

Turning to the new Integrated Business System (IBS) the Director advised that a cloud based solution would be implemented and that Business Transformation had been diligent in ensuring that rigorous information security and controls were deliverable by all bidders.

In response to questions the Director informed the Committee that key areas of risk had not been benchmarked against national standards, but that external penetration testing had been undertaken and Gartner's Maturity Model for IT had produced a score of 1.4 on the 5 point scale with the Higher Education sector recommendation being 2.1. The Committee requested that it be kept informed of progress in this area.

The University Secretary commended the work which had been undertaken by the Director of UoDIT and his team since the initial internal audit and informed the Committee that the team had been shortlisted for an HE award and had attracted national attention for being the first HE institution to have implemented the BOX solution.

Resolved: to welcome the update and the progress made.

10. HEALTH AND SAFETY

Health and Safety Sub Committee

Resolved: to approve the minutes of the meeting on 3 May 2016.

11. COMPLIANCE WITH INFORMATION LEGISLATION: STATISTICAL SUMMARY REPORT

The Committee received a statistical summary report for 2015 from the Head of Information Governance. Members recognised the efficiency of the Culture & Information section in dealing with requests and also noted that 318 requests had been received in 2015, which was the largest number of requests received since the Freedom of Information (Scotland) Act (FOI) came into force in 2005.

Resolved: to note the report.

12. RESERVED BUSINESS: EU INVESTIGATION UPDATE

The University Secretary provided an update on the EU Investigation.

Resolved: to note the update.

13. SUMMARY OF INVESTIGATION INTO INCIDENT OF FRAUD

The University Secretary provided a report on a recent incident of fraud. In doing so he informed members that the incident had been dealt with internally and that the member of staff had resigned prior to completion of the investigation.

In particular it was noted that the incident had been identified through the appropriate segregation of duties in purchasing. Nevertheless, members approved a proposal from the Secretary that the internal auditors, Scott-Moncrieff would meet with the Estates and Buildings Practice Manager to identify any further enhancements that could be made to processes and controls by way of lessons learned.

Resolved: (i) to request that Scott-Moncrieff meet with the Practice Manager to identify any process/control enhancements; and

(ii) to note they report.

14. ANNUAL REPORT ON INCIDENTS OF FRAUD

The Director of Finance presented the annual report on incidents of fraud. In doing so, he informed the Committee that no fraud, other than the one previously identified, had been discovered over the last 12 months.

Resolved: to note the report

15. **LEGAL MATTERS**

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

Resolved: to note the update.

16. **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 the relationship with the internal auditors continued to be positive as were early interactions with the new external auditors.

17. **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.

The internal auditors noted that there continued to be a good level of engagement and feedback in relation to the Business Transformation project. The external auditors noted the challenging amount of work to be undertaken by the Finance team.

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.

18. **NEXT MEETING**

Resolved: the next meeting will be held on 20 September 2016.

Whistleblowing (Public Interest Disclosure) Policy

Overview

This document outlines the policy and approach to whistleblowing at the University of Dundee.

Whistleblowing is the term used to describe a disclosure alleging corruption, malpractice or wrongdoing on the part of another person within an organisation. A 'whistle-blower' is a person who exposes this.

The difference between whistleblowing and complaints can sometimes appear confusing. A complaint is generally made by an individual who feels they have been wronged in some way. A person making a complaint will likely have a vested interest in the outcome. Whistleblowing, however, tends to relate to matters concerning the organisation, such as:

- A criminal offence
- An individual is failing to comply with their legal obligations
- A miscarriage of justice is likely to occur
- A departure from agreed procedures relating to statutory or other requirements
- The health or safety of an individual has been, is being, or is likely to be endangered
- The environment has been, is being, or is likely to be damaged
- Any of the above has been, is being, or is likely to be deliberately concealed.

For more information on complaints, please go here: [University of Dundee - Complaints](#)

Who this policy applies to

This policy applies to all staff and students at the University of Dundee.

The Policy

The University of Dundee is committed to high standards of openness and accountability and the due regard to probity in conducting its affairs. It is committed to tackling any malpractice or wrongdoing, to promoting a culture of openness and accountability to prevent such situations occurring, and to addressing them when they do occur. This policy outlines how individuals in the University community (for example, staff, students and members of Court) may raise concerns about such matters.

The University, like other public bodies, also has a duty to conduct its affairs in a responsible and transparent way and to take into account both the requirements of funding bodies (including the Scottish Funding Council) and the standards set out in the reports of the Committee on Standards in Public Life ([University of Dundee - the committee on standards in public life](#)). In addition, it is committed to the principles of academic freedom embodied in its Charter and Statutes and enshrined in the Further & Higher Education (Scotland) Acts 1992 and 2005 and the Higher Education Governance (Scotland) Act 2016.

Members of staff are often the first to know when things are going wrong in an institution, and the University has established official channels through which such concerns can be raised, for example through Deans of School, at official committees, or through staff representatives, including the accredited campus trades unions.

In the normal course of events, concerns should be raised through the channels outlined in Section 4 below. However, members of staff often feel that their own position in an institution may be jeopardised if they raise a particular concern in this way, and sometimes the usual channels may be inappropriate.

The Public Interest Disclosure Act 1998, as amended (PIDA) gives protection to workers who disclose information about malpractice in the workplace, whether by the University as the Employer or by its other workers. These disclosures are commonly referred to as "whistleblowing". PIDA specifically covers workers in the UK and certain defined types of concerns (see section 3). However, to promote a general culture of shared responsibility and

openness, the University is committed under this policy to considering concerns from its wider community including students and members of the University Court as well as to hearing concerns of any kind that such individuals may have. This Policy outlines:

- **who can make a disclosure under this Policy**
- **to whom a disclosure should be made**
- **what kind of concerns should be reported and**
- **what happens when a concern is raised and how it is handled**

1. Who can make a disclosure under this Policy?

Any members of the University community, including:

- employees and associate staff working for the University;
- those working under a contract for services and agency workers;
- students; and
- members of the University Court and other Committees.

You can raise your concerns orally or in writing. When doing so, it is helpful to state that you are making a disclosure under the Whistleblowing Policy.

Individuals who are not a member of one of the above groups (for example members of the general public) but who wish to raise a concern of the type set out in this policy should do so by using the University's complaints handling policy which is available online at: [University of Dundee - Complaints](#).

2. To whom should a disclosure be made?

A disclosure under this policy should normally be made to the University Secretary.

A disclosure should be made to the Chair of the University Court (or to the Chair of the Audit Committee) in the event that:

- a. the concern relates to the University Secretary;
- b. a disclosure to the University Secretary is not deemed appropriate for some other good reason; or
- c. the concern relates to one or more members of the University Executive Group.¹

A disclosure should be made to the Chair of the Audit Committee If the concern relates to the Chair of Court.

Concerns could for example be about the behaviour of a member of staff or senior officer of the University, a lay/independent member of the University Court, or the propriety of a Committee or other collective decision.

The aim of this Policy is to provide an internal mechanism for reporting, investigating and remedying any wrongdoing in the University as a workplace. In most cases, you should not find it necessary to alert anyone externally. However a contact list of Prescribed Regulators for reporting certain types of concerns is detailed at the end of this Policy.

3. What kind of concerns should be reported?

Whistleblowing is the disclosure of information which relates to suspected wrongdoing or dangers at work. You should use this Policy if you have a genuine concern that there are reasonable grounds for believing that one or more of the categories of wrongdoing listed below has occurred or may occur, and that it would be in the public interest to disclose it.

¹The University Executive Group (UEG) comprises: the Principal, the Vice-Principals, the University Secretary, the Director of Finance, the Director of Human Resources & Organisational Development and the Director of External Relations.

These categories may include where:

- a criminal offence (including, for instance, fraud, the misuse of funds or bribery) has been committed, is being committed, or is likely to be committed; or
- a person or body has failed, is failing, or is likely to fail to comply with their legal obligations (except for matters falling within 4.a below); or
- a miscarriage of justice has occurred, is occurring, or is likely to occur; or
- an evading or departure from appropriate and agreed procedures relating to statutory or other requirements for good governance, including in relation to the welfare of animals²; or
- the health and safety of any individual has been, is being, or is likely to be endangered; or
- the environment has been, is being or is likely to be damaged; or
- any of the above is being, or is likely to be, deliberately concealed.

4. What concerns should not be reported under this Policy?

a. This Policy should not be used for complaints relating to your own personal circumstances, such as the way you have been treated at work. Whenever possible these concerns should be addressed by existing University policy. Matters which relate to your employment contract with the University should be raised with your immediate manager, Professional Service Director or Dean of School as appropriate and with reference as appropriate, to the University's Dignity at Work and Study Policy ([University of Dundee - dignity at work and study](#)) or Grievance Procedures ([University of Dundee - grievance procedure](#)). You may, however, use this policy in the event that you are explicitly instructed to carry out a task which would entail your breaking the law or would otherwise fall into the categories set out at 3 above.

b. In the case of students, concerns other than those falling under the categories set out above should be raised through the Complaints Handling Procedure ([University of Dundee - Complaints](#)).

c. This policy should not be used for matters which relate to workplaces other than the University, for example hospitals, businesses or other places where students or staff may be based or on placement/secondment. In such cases it is expected that the University School or Directorate will have ensured that students and staff are made aware of the relevant whistleblowing procedures in force at those workplaces and, should it be necessary, will provide appropriate support to those seeking to follow other organisations' whistleblowing procedures.

d. If your concern does not relate to a suspected wrongdoing or danger at work then you should use the policies under a. b. or c. above. If you are uncertain whether something is within the scope of this Policy you should seek advice from the University Secretary.

5. What about confidentiality?

a. We hope that you will feel able to voice your concern openly under this Policy. If you want to raise your concern confidentially, we will make every effort to enable you to do so. If it is necessary for anyone investigating your concern to know your identity, or for your identity to be made known for good reason, we will discuss this with you beforehand.

b. We do not encourage you to make a disclosure anonymously as proper investigation may be more difficult or impossible if we cannot obtain further information from you. Where insufficient information is provided, it may not be possible to conclude from an anonymous disclosure whether it is a public interest disclosure and/or ensure the effectiveness of any subsequent investigation.

c. If you are in any doubt about revealing your identity you can seek advice from the University Secretary.

6. What happens when a concern is raised?

a. If on initial review, there is an indication of malpractice or wrongdoing, the University Secretary (as 'Responsible Officer') will arrange for an investigation and appoint an Investigator(s) to carry out the necessary enquiries and report back to him/her.

²See also the University's Code of Practice for the Use of Animals in Teaching and Research available online at: [Download - UoD Code of Practice for the Use of Animals in Teaching and Research](#)

If the malpractice or wrongdoing relates to one or more members of the University Executive Group, the Chair of Court will perform the functions of the Responsible Officer under this Section, and if it relates to the Chair of Court the Chair of the Audit Committee will perform those functions.

The Responsible Officer may, if appropriate, refer that matter:

- (i) to the Audit Committee, which may itself then engage the internal or external auditors to investigate the matter;
- (ii) to be considered under another policy (such as the Fraud Policy or Grievance Procedure); or
- (iii) to an external agency, as circumstances warrant.

b. The appointed Investigator(s) will arrange a meeting with you as soon as possible to discuss your concern. You may bring a colleague or union representative to any meetings under this Policy. Your companion must respect the confidentiality of your disclosure and any subsequent investigation.

c. The Investigator will take down a written summary of your concern and provide you with a copy after the meeting. The Investigator will also aim to give you an indication of how it is proposed to deal with the matter.

d. The Investigator will carry out an initial assessment to determine the scope of any investigation. You will be informed of the outcome of that assessment and you may be asked to attend additional meetings to provide further information.

e. The Investigator will aim to keep you informed of progress and timescale. However, sometimes the need for confidentiality may prevent you being given specific details or indeed any details of any disciplinary or other action taken consequently as a result of you raising your concern.

f. The Investigator will report findings to the Responsible Officer who may:

- take no further action save to inform the discloser of the decision and reasons for it; or
- refer the matter to the police in the case of alleged criminal activities; or
- refer the matter for appropriate action within existing University procedures.

g. It should be noted that a report on the outcome of the investigation may then lead separately to the matter being referred to the relevant disciplinary, harassment, complaint or grievance procedure.

h. It is possible, depending on the seriousness of the allegations and the outcomes of the investigation, that a report may need to be made to the Scottish Funding Council (SFC) or to the Office of the Scottish Charity Regulator (OSCR), or indeed another external agency.

7. What happens after all matters are completed?

Your concern will be fairly and appropriately handled at all times under this Policy. If you are not happy with the way in which your concern has been handled, you can discuss with the Responsible Officer or ultimately with the Chair of Court. Contact details are set out at the end of this Policy.

Individuals who raise concerns under this Policy will not be subjected to detriment of any kind as a result of such action, provided the concerns are raised lawfully. Detriment includes, for example, unwarranted disciplinary action, harassment and victimisation. If you believe that you are being subjected to a detriment as a result of raising concerns under this Policy, you should raise the matter immediately with the Responsible Officer who will advise you further. Any staff member or student who victimises or retaliates against someone who has raised a concern under this policy may be subject to disciplinary action.

An anonymised annual report shall be made by the University Secretary to the Audit Committee and University Court of disclosures made under this procedure.

This Policy does not form part of any employee's contract of employment and it may be amended at any time in accordance with local procedures.

The University Court has overall responsibility for this Policy and for reviewing the effectiveness of actions in response to concerns raised.

The University Secretary has responsibility for ensuring investigations are properly taken forward and that Investigators receive regular and appropriate training.

This Policy will be reviewed from a legal and an operational perspective annually and the outcome of the review reported to the Audit Committee and to University Court.

Each employee has an individual responsibility for the success of this Policy and should ensure they use it to disclose any suspected danger or wrongdoing.

Further Information

If you have any queries about whistleblowing, please do email the University Secretary, Jim McGeorge at: j.mcgeorge@dundee.ac.uk

‘The Public Interest Disclosure Act’ is the legislation which relates to ‘whistleblowing’. The law states that disclosures must be in the public interest. This legislation is designed to protect employees from dismissal or victimisation in the event that they disclose some sort of wrongdoing either to the University or to an appropriate external body: [External - Public Interest Disclosure Act](#)

References

[University of Dundee - Code of practice for the use of animals in teaching and research](#)

[University of Dundee - Committee on Standards in Public Life](#)

[University of Dundee - Complaints](#)

[University of Dundee - Dignity at Work and Study Policy](#)

[University of Dundee - Grievance Procedure](#)

Document Information

Document Name	Whistleblowing Policy
Status	Approved by Court 06.06.2016
Responsible officer/department/school	ACG
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Date last approved	06.06.2016
Due for renewal	2019
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Approval route and history	Court 16.06.2016
	Audit Committee 18.05.2016
Code	CRT_160606_WB_v002

APPENDIX 5

HUMAN RESOURCES COMMITTEE (Minute 67(4))

A meeting of the Committee was held on 16 May 2016

Present: Ms S Campbell (Convener), Professor T Kelly, Dr A Reeves, Ms K Reid, Mr D Ritchie.

Apologies: Dr WG Boyd, Mr S Cross, Mr D Taylor,

In Attendance: University Secretary, Vice-Principal (Academic Planning & Performance), Director of Human Resources & Organisational Development, Deputy Director of Human Resources & Organisational Development, Policy Officer (Risk & Audit)

1. MINUTES

Resolved: to approve the minutes of the meeting held 26 January 2016.

2. MATTERS ARISING

(1) Post approvals documentation (Minute 2 (2)(i))

The Director of Human Resources & Organisational Development presented the post approvals documentation as previously requested by the Committee.

Resolved: to note the post approvals documentation.

(2) Report on staff who have been re-employed since taking VS (Minute 2 (2)(ii))

The Director of Human Resources & Organisational Development presented an overview of data relating to the re-employment of individuals who had accepted voluntary severance packages. In doing so she advised members that the report had been presented orally to Court in April. Members agreed that the report confirmed that the level of staff FTE re-employed in this way was very small indeed and did not represent an issue of concern.

Members noted the fact there had not been a Human Resources Committee (HRC) before April Court, which meant the report had not been able to be considered by the Committee prior to it going to Court; and suggested that such reports might in future be circulated by email to the Committee beforehand for comment. The University Secretary suggested if there was no HRC scheduled between the February and April Court dates, an email might be circulated to the Committee, highlighting any HR-related matters to be presented to Court, which would give HRC the opportunity for feedback and discussion.

Resolved: (i) to circulate an email at the end of March each year to the Human Resources Committee highlighting any relevant HR-related business to be presented to April Court; and

(ii) to note the update.

(3) Equality and Diversity (Minute 2 (4))

The Director of Human Resources & Organisational Development informed members that a paper would shortly be considered by the University Executive Group (UEG) and would set out proposals that would enable a more strategic view to be taken regarding Equality & Diversity matters across

the University. Members recognised the potential to consider the broader theme of diversity and inclusion.

The Director also advised the Committee that Deans and Directors would receive quarterly completion reports to identify staff who had not yet completed the equality and diversity training; and that a working group had been established to analyse the recent pay gap report.

Resolved: to note the update

(4) Purpose & Remit of Human Resources Committee (Minute 3 (1)(i))

In reviewing the Purpose & Remit of Human Resources Committee, the Committee suggested several additions including: organisational development, leadership development and organisational culture; and in doing so agreed that an updated document should be provided for Court approval in June.

In discussion, members noted the potential to rename the Committee to more appropriately reflect its business.

Resolved: (i) to further update the Purpose & Remit of Human Resources Committee for approval at Court in June 2016 (annex); and

(ii) to note update.

(5) Local Joint Consultative Arrangements (Minute 4 (4))

The Director of Human Resources & Organisational Development reported that two meetings of the Local Joint Committee (LJC) had taken place with all three Unions in attendance; and although there remained some reluctance from DUCU to continue this arrangement, it was hoped that a single-table approach would continue in the next academic session.

The Director advised the Committee that during the last LJC it had been agreed that the procedural agreement for all three unions needed be reviewed and that this review would take place over the summer and be implemented for the start of the new academic session.

Resolved: (i) to review the union procedural agreements for implementation in September 2016; and

(ii) to note the update

3. **HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT**

(1) Update on Strategic Projects

The Director of Human Resources & Organisational Development provided an update on several strategic projects. In doing so she reported that although some discussions had taken place with staff regarding possible severance, moving to part-time contracts and other mechanisms for redundancy avoidance, the School of Humanities had to date not yet achieved the required savings target. As such, the Director advised it was likely that a request to establish a Redundancy Committee in the event one proved necessary would be submitted to Court in June. It was also reported that DUCU had issued a 'failure to agree' notice at the recent Local Joint Committee (LJC) in relation to these proposals, which suggested that the union might go out to ballot for industrial action in early course.

Turning to the strategic growth projects, the Director reported that an update on these projects would be submitted to Court in June.

Resolved: to note the update.

(2) Staff Survey

The Director of Human Resources & Organisational Development reported that each School and Directorate had provided three key themes emerging from the staff survey results. The results had been reviewed by the steering group and consequently three overarching key themes had been identified: managing change, communication and the Objective Setting & Review (OSaR) process.

The Director informed members that an action plan would be produced and circulated to the Committee to enable submission to Court in June.

Resolved: (i) to circulate an action plan to HRC before submission to Court in June; and

(ii) to note the update.

(3) University Strategy to 2017: Report on People Strategy

The Director of Human Resources & Organisational Development introduced the report on people strategy which provided an analysis of progress made across various performance indicators. In doing so she highlighted that as the 2017 strategy period was nearing its end, members would have the opportunity over the next academic session to participate fully in the development of the next iteration.

Resolved: to note the report

(4) Industrial Action

The Director of Human Resources & Organisational Development reported that UCU had given notice of industrial action in the form of a two-day strike on 25 and 26 May 2016, as well as action short of a strike in the form of working to contract from the 25 May 2016; in response to questions, members were advised that, as on previous occasions when strike action had taken place, it was anticipated that there would be minimal impact on the University during this time but that contingency arrangements were being put in place as required, particularly in relation to the potential for disruption of examinations and examination boards.

The Committee was further advised that the other unions had triggered the dispute resolution process with UCEA at the national level but were not currently taking strike action.

Resolved: to note the update.

4. HR REPORTS

(1) Recruitment Report July 2010 – July 2015

The Committee considered the recruitment report and in doing so held extensive discussion around the data and analysis provided, particularly highlighting a favourable trend in the proportion of female applicants at short-listing and appointment stage and the relatively small number of applicants from the 16 -19 age group who were short-listed and appointed.

It was noted that post-implementation of the framework agreement, which saw the removal of training grades, employment opportunities for school leavers within the University had reduced, although use of the Modern Apprenticeship schemes was addressing this issue in part.

In discussion members expressed the importance of gathering follow-up information from applicants to enable review of the process.

Resolved: to note the report.

(2) Equal Pay

The Committee considered the equal pay report and noted that further detailed analysis would be undertaken for grades 3, 4 and 10 and submitted for discussion at the next meeting.

In response to questions the Director of Human Resources & Organisational Development advised that there would be no HERA round taking place this year.

Resolved: to note the report.

5. **MINUTES**

(1) Union Local Joint Committee

Resolved: to approve the minutes of the meeting held 16 March 2016.

(2) Health, Safety and Welfare Committee

Resolved: to approve the minutes of the meeting held 3 May 2016.

6. **NEXT MEETING**

Resolved: to note the next meeting will be Tuesday 27 September 2016 at 10am in the Executive Meeting Room, 5th floor, Tower Building

Remit of the Human Resources Committee

At the meeting of the Human Resources Committee on 29 September 2015 it was agreed that the remit of the Committee and the current terms of reference should be reviewed and updated.

The current remit of the Human Resources Committee is:

To maintain and review a human resources strategy for the University in support of the institution's wider objectives and to promote staff welfare.

- *To develop, implement and review principles, policies and procedures on all personnel-related matters for all staff employed by the University, and to ensure that these comply with the requirements of relevant employment legislation;*
- *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;*
- *to monitor and evaluate the University's staff development policies and to promote relevant developmental opportunities for staff;*
- *to sustain and evaluate an equal opportunities policy for the University and to sponsor programmes of action in support of the policy;*
- *to oversee the staff consultative process with the recognised trade unions and to advise the Court accordingly.*

Proposed purpose and remit of the Human Resources Committee:

Purpose

On behalf of Court, to maintain an overview of the effectiveness of the University's People Strategy and policy framework, ensuring that the People Strategy is consistent with and supports the University's mission, vision, values and strategy;

Remit

- to review the progress and impact of the People strategy in helping to deliver the University's strategic objectives;
- through agreed performance indicators, monitor the implementation, effectiveness and relevance of the People Strategy;
- to evaluate planned strategic interventions to support organisational development and cultural change*
- to consider strategies to promote, champion and support transformational leadership and management*
- to consider and evaluate the implications of significant workforce trends within the sector and more widely to ensure that the People strategy continues to be fit for purpose and reflects best practice;
- to review on a regular basis the staffing profile of the University, report on trends and monitor against key HR metrics/analytics both internal and external;
- to review and evaluate identified risks relating to staff and ensure that mitigation is in place against these risks;
- to approve the development and implementation of key HR policies and procedures including those relating to Equality & Diversity, Health and Safety, Staff Development, Promotion/Grading and performance;
- to monitor compliance with the legal and regulatory framework for HR, Equality & Diversity and Health & Safety, consider and assess associated risks and to endorse the arrangements in place to ensure compliance;
- to ensure that the University's joint consultative arrangements are appropriate and effective and consider reports as appropriate;
- to keep under review arrangements for monitoring staff attitudes, opinions and well-being; oversee the implementation of actions arising to ensure delivery and the monitoring of outcomes.
- to monitor and review a staff risk retention register

**at the meeting of HR Committee on 16 May 2016 a number of additions to the remit were proposed relating to culture, organisational and leadership development. It was also suggested that the name "HR Committee" be reviewed to reflect these important aspects and this will be considered further.*

APPENDIX 6

GOVERNANCE MATTERS (Minute 72)

- 1) **Graduates' Association Regulations**
- 2) **Re-appointment of Dr William Boyd as Graduates' Association Member of Court**
- 3) **Ordinance 57 – Schools of Study**

Three governance issues have arisen since the last meetings of both the Governance & Nominations Committee and the Court:

1) Graduates' Association Regulations

The Annual Meeting of the Graduates' Association took place on 14 May 2016. The meeting was inquorate, but the Business Committee of the Graduates' Association has the authority to deal with any matters on behalf of the Association (Regulation 17). In that context, the Business Committee has approved changes to the Regulations of the Graduates' Association which will provide for a process whereby the Business Committee can consider the re-appointment of Graduates' Association Members of Court for a second term of office of four years, and make a recommendation to the annual meeting of the association to re-appoint or to begin a new appointment process. The text of the new regulation is as follows:

22. The process for considering the re-appointment of a Graduates' Association Member, appointed in terms of regulation 19, shall include an appraisal of the performance and attendance of the Member concerned at meetings of the Court and its Committees and such other criteria as the Business Committee shall from time to time determine. Following such appraisal, the Business Committee shall recommend to the Annual General Meeting that it either re-appoint that member or that it decline to do so and that a recruitment process be commenced in terms of regulation 19.

[Existing Regulation 22 to be re-numbered as 23.]

Action: The Court is invited to endorse the changes to the regulations as set out above. (The Regulations themselves are made under Ordinance 20 – Graduates' Association.)

2) Re-appointment of Dr William Boyd as Graduates' Association Member of Court

At the same Annual Meeting, the Business Committee of the Graduates' Association reported on its earlier consideration of the re-appointment of Dr Boyd as one of the two Graduates' Association Members of Court and subsequently recommended that Dr Boyd be re-appointed. The Annual Meeting welcomed the re-appointment which the Business Committee has subsequently approved under the same regulation 17. Dr Boyd is therefore duly appointed to serve a second term of office on Court from 1 August 2017 to 31 July 2021.

Action: The Court is invited to note the re-appointment of Dr Boyd.

3) Ordinance 57 – Schools of Study

Court members may recall that as part of the preparation for the University's restructuring, the Court, at its meeting on 8 June 2015, approved a series of changes to Ordinances. These changes removed reference, *inter alia*, to Colleges and Heads of College and also set out how Schools were to be led and governed.

At that time, the Senate had had a long debate about how School Boards should be constituted, with some Schools preferring all members of academic staff to be members of School Boards and others preferring a smaller representative membership. At the end of the debate, the Senate decided that the standard model should comprise all members of academic staff, noting however that it was for the Senate, in recommendations to the Court, to amend the Ordinances to allow for alternative compositions for School Boards.

Over the course of the year, this has led to confusion among Schools about what is an appropriate composition for School Boards, and among members of the Senate about what was approved by the Senate as the final text of Ordinance 57 and what was subsequently formally approved by Court.

At its meeting on 25 May 2016, the Senate re-affirmed its stance on this matter when it permitted the School of Art & Design to operate a representative School Board; noting also that the School of Social Sciences wished to do the same.

In light of this, Court is invited to endorse and formally approve the following change to paragraph 5.1 of Ordinance 57, which is in line with the position of the Senate on this matter as agreed on 27 May 2015 and reaffirmed on 25 May 2016:

5.1 For each School there shall be constituted a School Board as follows:

- (a) The Dean, who shall be the Convener;
- (b) The members of the School Executive Group;
- (c) One senior member of academic staff from another school, as determined by the University Executive Group on the recommendation of the Dean;
- (d) The School President and any Vice-Presidents;
- (e) An elected officer of the executive of the Students' Association, as determined by the President of the Students' Association in consultation with the Dean;
- (f) ~~All professors, readers, senior lecturers, and lecturers of the School;~~
 Either: All other members of the academic staff of the school;
 Or: members elected from the academic staff of the School, whose number, manner of election and period of office shall be agreed with the Senatus;
- (g) A representative from each of the remaining ~~academic and non-academic~~ staff groups within the School;
- (h) Other persons at the invitation of the Dean and with the approval of the School Board.

Ordinarily amendments to the Ordinances must be approved at one meeting of the Court and confirmed at a subsequent meeting. Under Article 16.2 of the Charter, however, cases specified to be urgent can be passed at a single meeting, provided not less than $\frac{3}{4}$ of the members of Court present and voting are in agreement. It is proposed that this case should be considered as urgent under this provision.

Action: The Court is invited to approve the proposed amendments to Ordinance 57 in accordance with the provision set out in Article 16.2 of the Charter for matters deemed to be urgent.

APPENDIX 7

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 73)

Meeting of 25 May 2016.

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).

Financial Sustainability

The Principal introduced his report by thanking those staff members who had been involved in the preparation of School and Professional Services budgets for the next financial year and reported that thanks to the hard work of those involved, the University Court would, at its meeting in June, be asked to approve a budget set within the previously-agreed deficit limit.

The Principal also reflected on the University's continuing improvement in league table performance and welcomed the ten place improvement in the recent Guardian League Table as a deserved reflection of the institution's reputation for high quality teaching and an excellent student experience.

Redundancy Avoidance Policy

The Principal explained that the University Court, at its meeting on 18 April 2016, had agreed that there was a case for reducing staffing levels and that therefore the University was formally contemplating the possibility of academic staff redundancies in relation to savings projects in the Schools of Humanities, Medicine and Life Sciences. He noted that this decision had allowed the University to operate its Redundancy Avoidance Policy and to ensure that Campus Unions, School Boards and Senate were given the opportunity to discuss the proposals as they came forward. He noted that the views of the Humanities School Board would be examined as part of the School Reports later in the agenda. He reassured Senate that its views would be communicated to the meeting of Court in June 2016.

Retirements

The Principal also highlighted the retirements of Vice-Principal Professor John Connell and Deputy Principal Professor Georgina Follett and, on behalf of Senate, thanked them for their service to the University.

EU Referendum and Elections 2016

The Principal clarified the University's position in relations to the forthcoming Referendum on EU Membership. He explained that the University had a duty to balance two objectives in its approach to such an important issue: (i) to assess the benefits and drawbacks of both outcomes for the University and (ii) to promote objective and informed debate on the issues.

He noted that UEG had decided that emphasising the importance of debate rather than taking a politically partial view was on the whole preferable. He explained that a majority of other individual universities had adopted a similar neutral position but that Universities UK had decided to express strong support for remaining in the EU.

Senate was asked to note the potential for students to miss their chance to vote in the referendum if they were not correctly registered in advance of 23 June 2016. The President of the Students' Association reported that DUSA was actively encouraging its members to register and vote.

The Principal concluded his report by drawing attention to those members of the University who had stood at the recent local and Scottish elections and proposed a vote of thanks to those who had taken part.

The Senatus decided: to thank those members of the University who had stood as candidates in recent elections.

2. UNIVERSITY COURT

The Senatus received a communication from the Court meeting held on 18 April 2016.

The Senatus decided: to note the report.

3. INVESTMENT & GROWTH PROJECTS

The Vice-Principal (Academic Planning & Performance) gave a presentation that set out plans for projects to support investment & growth.

In his presentation the Vice-Principal emphasised the need to develop a culture of ongoing innovation in order to deliver progress in the University's transformational themes in the context of financial constraints. He explained that this could only be achieved by coupling academic excellence with a sustainable financial performance.

He reflected on the need for simultaneous efficiency savings and innovative investment in order to meet the aspirations of Schools and the challenges of the transformation agenda. He reported that collaborative decision-making and shared leadership across all areas of the University had emerged as a distinctive part of the process to devise and deliver projects that would ensure both financial stability and academic innovation. Senate noted that the short term need for £3.5m of savings had been delivered as just one part of the overall approach with the need for strategic investment identified as equally vital for the future of the University.

The Vice-Principal then set out each of the main investment and growth projects, noted that each would be presented to Court with fully-worked business plans and invited brief explanatory comments from the project leads and sponsors.

MA Liberal Arts Project

Members noted the intention of the project to utilise the potential of the 4-year Scottish MA Degree to build broad and flexible degree routes across disciplines that would ensure efficient use of existing resources and would appeal to greater numbers of international students.

University of Dundee Business School (UDBS)

The Vice-Principal and the Dean of Social Sciences outlined the proposal for a Business School of the University that would aim to make the best use of existing programmes in business, finance and economics to build an academic offering more closely aligned to the needs and expectations of full fee-paying students in this area. Senate noted that to deal with a number of legacy issues and to develop a very high quality academic offering would require investment from the University to ensure growth at the levels needed. Members noted the progress that had already been made in the project and welcomed the proposed launch in the next academic year.

STEM-X

The Acting Dean of the School of Science & Engineering explained that the organic growth and higher profile of research based in the School had inspired plans for similar growth in the number of rUK and International students that the School was able to support. Senate noted the intention to develop a thematic, collaborative and co-ordinated approach that would make the best use of existing capacity during the initial phased investment.

International College Dundee (ICD)

Senate noted the plans to offer high quality foundational academic programmes to international students of the University. The Director of External Relations explained that recruitment to, and delivery of, the programmes in the International College would be carried out by an experienced private sector provider, chosen for their close alignment with the University's transformational values.

In response to questions, the Vice-Principal reminded members that earlier in the planning and budgeting cycle targets had been agreed for each of the University's nine Schools in order to deliver total recurrent savings of £3.5m for 2016/17. However, as well as meeting their respective targets in this regard, further savings targets had been set for the Schools of Humanities (£250k), Social Sciences (£450k) and Life Sciences/Medicine (£800k). The Vice-Principal agreed to circulate to members further explanatory details of the percentage savings required of each School.

The Vice-Principal concluded his presentation by emphasising that the main concern of the investment and growth projects was to ask 'How can we grow?' and not 'How deep do we have to cut?'

The Principal explained that the investment and growth projects represented an important part of the University's strategic approach to reshaping the University in a planned and innovative way. He acknowledged that in the short term all parts of the University would have to make some difficult decisions in order to create the headroom needed for a sustainable financial recovery.

The Senatus decided: to ask the Vice-Principal to distribute information on the savings required by each School.

4. RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE

The Senatus received a Report from the Research & Knowledge Exchange Committee meeting of 5 May 2016.

Members noted the proposals aimed at improving the research grant application procedure and welcomed the more prominent consideration of overhead recovery in grant applications.

The Senatus decided: to approve the report.

5. LEARNING & TEACHING COMMITTEE

The Senatus received a Report from the Learning & Teaching Committee meeting of 10 May 2016.

The Vice-Principal (Learning & Teaching) asked Senate to note the Committee's decision to require students who undertake teaching duties in the University to complete appropriate training to be made available from the Centre for the enhancement of Academic Skills, Teaching, Learning and Employability (CASTLE). Members welcomed the proposal and discussed the possibility of also making equality and diversity (E&D) training available to students who teach. It was noted that an online E&D training programme for all students was available in My Dundee.

The Vice-Principal also highlighted the review of the Student Partnership Agreement that had been welcomed by the Learning & Teaching Committee as a way to ensure continued close alignment of the University with the concerns and aspirations of its student members.

The Senatus decided: to approve the report.

6. QUALITY & ACADEMIC STANDARDS COMMITTEE

The Senatus received a Report from the Quality & Academic Standards Committee meeting of 29 April 2016.

The Vice-Principal (Learning & Teaching) introduced the Report and noted that the new arrangements for assuring the quality of academic programmes delegated to the Committee had worked very well over the course of the academic year. He thanked the Director of Quality & Academic Standards and the Associate Deans from each School for their comprehensive and professional approach to approval and review processes.

The Vice-Principal also drew attention to the additional meeting of the Committee in June to deal with any approvals needed in advance of Semester 1 2016-17 and removing the need for Schools to use emergency or vacation powers for academic approvals.

The Senatus decided: to approve the report.

7. INTERNATIONALISATION COMMITTEE

The Senatus received a Report from the Internationalisation Committee meeting of 11 May 2016.

The Vice-Principal (Internationalisation) introduced the Report and asked Senate to note the introduction of a Student Ambassador Scheme to assist with international student conversion activity and a new scholarship package that included proposals to establish a standing humanitarian scholarship scheme.

Senate also noted that recruitment and conversion activity could be incorporated into academic workload planning and the Vice-Principal encouraged academic staff to participate in their Schools' efforts to recruit higher numbers of international students.

The Vice-Principal reported that she was confident that the number of international students at the University would increase in 2016/17 but asked those involved in recruitment and conversion activity to continue with their hard work now and through the summer to ensure final targets were met.

The Senatus decided: to approve the report.

8. SUMMARY REPORTS OF SCHOOL BOARDS

The Senatus received the following summary reports.

(1) Art & Design

Members noted the invitation to attend the annual Degree Show hosted by the School. Members also noted the inaugural Postgraduate Conference in the School to be held on 6-7 June 2016.

Senate was asked to agree to a representative structure for the Art & Design School Board under the provisions of Ordinance 57.

Senate was minded to approve the proposal in principle but asked that the full proposal was reviewed by the Director of Academic & Corporate Governance to ensure that all members of the School staff are given the opportunity to come together on a regular basis.

- (2) Dentistry
- (3) Education & Social Work
- (4) Humanities

The Dean introduced the School Board Summary Report and explained that, given the nature of its discussions around both savings and the development of the MA Liberal Arts Project, the Board had decided to present a comprehensive transcript report to Senate to allow the full range of opinions expressed by Board members to be available to Senate. The Dean acknowledged the very high standards of collegiality and professionalism from all members of the Board in their discussions on the potentially divisive issue of academic staff reductions in the School.

The Dean then described in outline the background to the School Board's discussions. He noted that the School had faced a prolonged period of financial insecurity and that the School Executive had agreed to focus efforts on ending this insecurity and establishing a sustainable financial model that was able to support the School's ambitions for academic innovation and high quality teaching and research.

He explained that in addition to its contribution to the £3.5m School savings plan project, the School had been asked to make £250k of savings in the next financial year as part of the University's coordinated financial recovery plan. He noted that after extensive consultation within the School and with staff, student groups and the School Executive analysis had shown the need to improve efficiency in History and Languages to be able to deliver the savings required.

In response to a question the Dean confirmed that £70k of savings had been made against this target to date, with the School still needing to identify £180k (roughly equivalent to the loss of 3 FTE academic posts). He confirmed that the School was continuing to operate the University's redundancy avoidance policy and would only seek compulsory redundancies as a last resort.

Professor Willson explained to Senate that she had been asked to speak on behalf of staff in the School of Humanities and reported that many of them had argued against the need for additional cuts in the School as they believed the School to be a net contributor to the University. She also pointed to the expected increase in student numbers in the School as a result of the efforts of academic staff to support recruitment and conversion activity.

Senate was also asked to note the considerable anxiety that the prospect of staff cuts had caused the current students in the School. She explained that many students were angry about the plans for staff reductions and had started an on-line petition and had begun a 'Save Humanities' campaign to fight the possibility of academic staff being made redundant by the University. Professor Willson asked Senate to note that staff were also facing anxiety and low morale because of the threat of job losses in the School.

Professor Willson proposed that the amount of savings required in the School should be reduced and thus avoid the need to reduce staff numbers. The Vice-Principal (Learning & Teaching) explained that the level of savings that the School of Humanities had been asked to make had been discussed by the School Executive, the Deans' Group, UEG and Court after a full contextual analysis of financial performance. The Principal explained that the specific financial proposal was a matter for UEG and Court and not one that ordinarily fell within the powers of Senate to approve.

Professor Roberts pointed out that Humanities had always been a relatively small School with even smaller discipline groups. He warned that further degradation risked undermining the academic viability of disciplines and it was vital that the University looked at the real effect of further staff reductions on the morale and cultural environment of such small academic units.

The Principal acknowledged that analysis but explained that the UEG had decided against a simplistic 'salami-slice' approach to savings. A number of Deans present confirmed that other Schools (Social Sciences, Life Sciences and Medicine) had also been asked to make savings over and above those within the £3.5m School savings plan project, at levels set after due analysis and discussion, on a case by case basis.

The President of the Students' Association reported that many students were dissatisfied over the cuts being made in the School and that DUSA was opposed to the University making any compulsory redundancies. He explained that it was vital to ensure that students were kept fully involved and informed on developments and thanked the Dean for his efforts so far in this regard.

The Vice-Principal also explained that the increase in acceptances seen in current admissions statistics for the School could not be expected to deliver any overall increase in income for the University as the students being recruited were primarily Home/EU and thus subject to strict

funding council limits on numbers. He pointed out that recruitment of Home/EU students was a 'zero-sum game' and so over-recruitment did not generate additional income, but rather diluted the value of the unit of resource paid to all those who taught Home/EU students in the University. He also noted that the School's income levels were constrained by under-recruitment of postgraduate students and relatively low levels of research income.

The Vice-Principal informed Senate that substantive analysis had shown that the School had experienced relative under-performance in recruiting to its MLitt and research degree programmes and in the level of research grant-capture.

The University Secretary noted that while all Schools in the University made a financial contribution in terms of income from teaching and research, on a full cost allocation basis the School of Humanities operated in a significant deficit position, as did a small number of others including Life Sciences and Medicine. This explained why these Schools had larger savings targets to meet.

Some members of Senate expressed a concern that delivery of programmes with fewer staff would have a negative impact on quality and the student experience.

In response the Dean explained the intention to deploy the resources of the School in a more strategic way to avoid any changes to the delivery of programmes that would be detrimental to the student experience or compromise on academic quality.

The Dean was asked to comment on the possible expansion of distance learning programmes in the School that would help to recruit a different range of students and improve efficiency. In response the Dean highlighted the success of the DL programmes in Archives Management and the Scottish History course run in partnership with the Open University. He also praised the work of Languages in developing distance learning postgraduate courses.

Dr van Ittersum objected to criticism of the School's efforts to improve conversion rates and the School's ability to attract Scottish students to its undergraduate programmes in line with the University's publicly funded responsibilities. Senate was advised of her view that the proposed staff cuts would undermine the School's ability to teach Level 1 of the MA in 2016/17 given the expected increase in student numbers.

In response the Dean confirmed that no criticism of efforts to improve the School's conversion rates was intended, but reiterated that recruiting additional regulated Scottish/EU students was not a financial beneficial strategy. On the issue of the potential vulnerability of programmes the Dean concluded that there was confidence that the levels of capacity available to teach the programme would be sufficient after the necessary reduction in staff numbers. He also drew attention to the fact that within the School there were disciplines such as Philosophy that were making a level of percentage contribution that was so high as to be unsustainable and that part of the rationale for the reductions in History was to enable some re-balancing in the staffing resources across disciplines.

The Dean summarized the approach as an attempt to stabilize and secure the future of Humanities at Dundee by rebalancing resources in learning and teaching and by enhancing the viability of research.

The Dean was asked to bear in mind that there were staff in the School who felt aggrieved, especially in relation to claims of structural under-performance, when it seemed to them that many of the University's financial problems had been caused by the high net cost of research in STEM subjects.

The University Secretary pointed out that it was recognised that the Schools of Medicine and Life Sciences were, like Humanities, operating in a deficit position on the basis of the attribution of full costs and that this was one of the key reasons why they too had been set larger savings targets.

The Principal acknowledged that the need to reduce staff numbers would naturally impact on staff morale and had the potential for increased anxiety and stress in every part of the University and that

every part of the University had been asked to make savings. He emphasized that the amounts varied from School to School based on careful analysis on a range of factors in a fair and open way. He concluded that the best way to mitigate against staff anxiety in such difficult circumstances was to carry out the necessary processes quickly, fairly and with sensitivity.

The Principal gave an assurance that Court would receive a full description of the range of views expressed at Senate including the specific proposal (from Professor Willson and supported by Dr van Ittersum) to reduce the amount of savings required by the School of Humanities.

- (5) Life Sciences
- (6) Medicine
- (7) Nursing & Health Sciences
- (8) Science & Engineering
- (9) Social Sciences

The Dean of the School took the opportunity to welcome the introduction of student ambassadors to assist with recruitment and conversion activities.

- The Senatus decided:**
- (i) to ask that the full Summary Report and appendices are circulated to Court alongside these Minutes; and
 - (ii) to otherwise approve the reports.

9. FINANCE AND POLICY COMMITTEE

The Senatus received the Minutes of a meeting of the Finance & Policy Committee held on 21 March 2016, for information.

The Senatus decided: to note the report.

10. STAFF COUNCIL

The Senatus received the Report of a meeting of the Staff Council held on 25 April 2016.

The Senatus decided: to note the report.

11. CULTURE & ARTS COMMITTEE

The Senatus received the Report of a meeting of the Culture & Arts Committee held on 17 May 2016.

The Senatus decided: to note the report.

12. PROFESSORES EMERITI

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

Professor Robin Churchill
Professor Jean Ker

13. ORDINANCE 39

The Senatus decided: to endorse to the Court the undernoted amendment to Ordinance 39 that adds the Degree of Master of Finance to the list of recognised University awards.

Ord 39(1.1): The University may confer the following degrees:

...Master of Finance (MFin)

14. **AOCB**

External Examiners

The Senatus discussed guidance on contingency arrangements for situations where external examiners were unable to fulfil their duties and noted that if approved the new guidance would be published in the University for immediate use.

The Senatus decided: to approve the guidance.

DUSA Executive

The Principal and Senatus thanked the outgoing DUSA President and Executive Team for their contribution to the University and dedicated support of its students over the past year.

APPENDIX 8

WELFARE AND ETHICAL USE OF ANIMALS COMMITTEE (Minute 75)

A meeting of the Committee was held on 13 April 2016.

Present: The Convenor, the Director of Biological Services (DBS), the University Veterinary Surgeon (UVS), the Establishment Licence-Holder, three NACWOs, two holders of Home Office licences and four other members.

In Attendance: An animal care technician

1. MINUTES OF LAST MEETING

The minutes of the meeting held on 13 January 2016 were approved.

2. MATTERS ARISING

(1) Retrospective Review of Projects

The DBS reported that template review forms had not yet been circulated to project licenceholders. The Committee agreed that the template should be checked for concordance with the Home Office's own requirements when conducting a retrospective review, and with newly issued guidance from the RSPCA.

(2) Resource Unit Infrastructure

The DBS reported that Estates had provided a guide cost of £7–8M for the “stand-alone” replacement of the oldest resource unit. The DBS and UVS are working on a strategy for the resource units, with one intended outcome being the reduction of risk in this facility by a significant degree, but at lower cost.

(3) Scientific and Student Membership of the Committee

The Committee welcomed its post-graduate student member to her first meeting. The Convenor undertook to bring recommendations for the appointment of new independent members to the Committee. The Committee endorsed the reduction in the quorum requirement for scientific members to one, but see below for a qualification to this.

(4) Code of Practice

The DBS confirmed that this had been updated and sent to Court.

(5) Adverse Welfare Effect

The DBS reported that the Home Office inspector had concluded her investigations. A Home Office letter of admonition had been sent to the personal licence-holder concerned and it was believed that one would also be sent to the project licence-holder. The inspector had also reported her findings to the Establishment Licence-Holder, who had formally replied. The Convenor confirmed that she would be reporting these outcomes to Court at its next meeting. The Establishment Licence-Holder reported that he and the University Secretary had met the project licence-holder already and would be doing so again. He also reported that he would write to the relevant Associate Deans (Research) to enlist their help in enforcing project licence-holders' full appreciation of their legal responsibilities.

3. EXTERNAL REVIEW OF THE RESOURCE UNITS

The Committee discussed the recommendations for common standards made by the external reviewer, and his observation that the Committee should be “owner” and monitor of those standards. The DBS reported that a NACWO had been seconded to a project to document differences in practice between the four resource units and, indeed, similar facilities in other institutions. Progress reports will be provided to future meetings of the Committee.

The UVS reported that she had initiated a series of meetings with NACWOs. Initial work areas were the optimisation of the process for importing animals into the University and consideration of the Home Office guidance on efficient breeding. This latter was an area in which the scientists had to be involved in the maintenance of the necessary standards, as many research groups take responsibility for managing the breeding of their mouse colonies.

The Committee noted that regular informal meetings between scientists and unit staff were already taking place in one resource unit.

- Resolved:**
- (i) to review progress towards implementation of the recommendations of the external reviewer at future meetings;
 - (ii) to invite an external expert on mouse breeding to give a seminar to project licence-holders and other interested individuals;
 - (iii) to compute the overall numbers of animals bred and the proportion used for scientific purposes and to compare individual project licence-holders' figures against this average;
 - (iv) to recommend the institution of scientist / staff meetings for all the other resource units.

4. APPLICATION FOR A PROJECT LICENCE

An application for a project licence to authorise scientific programmes of work to be undertaken in the field of infectious diseases was discussed in private. The applicant was then invited to summarise her proposal and to answer questions. The Committee agreed that, as the specific details of these programmes could not be known in advance, case-by-case ethical review would be needed. Specific approval of each programme by the Home Office inspector might also be required though, it was hoped, not the formal amendment of the licence itself.

- Resolved:**
- (i) to review a revised application by email, after the protocols have been amended to the satisfaction of the UVS and a new non-technical summary has been provided;
 - (ii) to review individual programmes by email circulation of the whole Committee, using a proposal template to be developed by the applicant, the UVS and the DBS;
 - (iii) to require the input of two scientists to the review of each programme, though only one would have to be a member of the Committee;
 - (iv) to accept the inspector's advice as to her involvement in the approval of each programme.

5. REPORT FROM THE UNIVERSITY VETERINARY SURGEON (UVS)

This is a standing agenda item (SAI). The UVS reported that she had been reviewing the practice of surgery against the Home Office minimum standards. She had identified some improvements to be made and these were being implemented.

A number of adverse welfare events had been reported to her since the last meeting of the Committee and all had been dealt with effectively. Communication with her had been very effective.

A number of cases of individuals being competent in the conduct of Schedule 1 procedures but not on the required central register had been uncovered. The UVS recommended that competence should be assessed by her or a NACWO only, so that the register can be kept up to date from now on.

The UVS had been reviewing the recently published Home Office list of “low-level concerns”, to be used by inspectors when considering the performance of licence-holders, named persons and establishments. Her recommendations will be added to the list of actions maintained by the DBS in response to the various recent reviews. The low-level concerns relevant to an animal welfare and ethical review body (AWERB) will be circulated to the Committee.

Resolved: to discuss the list of low-level concerns relevant to the operation of an AWERB at the next meeting of the Committee.

6. **CONCORDAT ON OPENNESS ON ANIMAL RESEARCH IN THE UK**

(SAI) The Committee noted the current and proposed initiatives to improve openness and its appointment of a student member in that regard. The Committee discussed how best to promote compliance with the ARRIVE guidelines (promoting better transparency in the reporting of animal experiments) and agreed that the most logical point at which to collect the necessary information was in the preparation of a study plan.

Resolved: the UVS and DBS to revise the study plan template in order to capture the necessary ARRIVE information.

7. **TRAINING**

(SAI) The DBS reported on a suggestion by the student member that training events specifically for post-graduate students should be developed (though they could also be used for junior post-doctoral workers with minimum modification). The Committee agreed that this was an excellent idea. The UVS reported that she was developing some material, starting with animal handling and observation and then moving on to Schedule 1 techniques. Her intention was to involve a number of resource unit staff in participation in events that would accommodate about eight students each.

8. **REPORT FROM THE DIRECTOR OF BIOLOGICAL SERVICES**

(SAI) The DBS reported that the amendment of five project licences had received ethical approval since the last meeting. In many cases this was to clarify text, rather than to seek any entirely new authorities.

9. **AMENDMENT TO THE COMMITTEE’S POLICY DOCUMENT**

The reduction of the quorum requirement for scientific members to one was approved. However, as above, the Committee wished to continue to have the input of at least two scientists in any licence review, though only one would have to be a member of the Committee.

Resolved: to make a further change to this document, outlining the requirement for review by at least two scientists.

10. **ANY OTHER COMPETENT BUSINESS**

The UVS reported that she was considering a study plan in which the scientist stated a requirement for genetically altered animals at a certain age. These animals are not born in the expected Mendelian ratio and do not always thrive post-natally. A humane end-point therefore applies to their welfare, to ensure that the severity is no greater than ‘moderate’. She estimated that 24 animals might have to be born, with 16 being withdrawn and killed humanely before reaching the required age, in order to produce eight experimental

subjects of this age. This was, to her knowledge, the first example of a need to produce significantly more animals with adverse welfare than would be used in the experiment itself.

Resolved: once the need has been clarified in discussion between the UVS and the project licenceholder, the input of an independent expert will be sought as to whether the total harm is outweighed by the benefit of conducting the experiment.

11. **DATE OF NEXT MEETING**

The next meeting is due to be held on 29 June 2016.

APPENDIX 9

ACADEMIC COUNCIL (Minute 76)

A meeting of the Council was held on 2 March 2016.

Present: 250 Members of University Staff.

Convener: The Principal.

In Attendance: Secretary to the Council.

1. PRINCIPAL'S QUESTION TIME

(for this item the Convener of the Standing Committee took the Chair).

The Principal gave a presentation that outlined the University's current financial challenges, analysed some of their causes and set out a number of steps that needed to be put in place in order to meet and overcome these challenges.

In the introduction to his presentation the Principal emphasised the achievements of the University in recent years and the range of successes in research, teaching and the student experience that culminated with Dundee being named Scotland's University of the Year 2016 by the Sunday Times University Guide. The Principal also highlighted the University's excellent performance in the Research Excellence Framework (REF) and significant improvements in student satisfaction as demonstrated in the National Student Survey (NSS) and International Student Barometer (ISB).

The Principal then set these examples of achievement in the context of the University's Vision and the Transformation Agenda, noting that the University's aim of becoming Scotland's leading University had, arguably, already been met in a number of areas and he paid tribute to the commitment of staff and students that underpinned such successes.

The Principal also reflected on the recent structural changes made by the University that were designed to support transparency and accountability as fundamental to its organisational culture. He concluded that the University was now in a better internal position to respond to the growing external pressures that needed to be addressed to ensure both sustainability and further strategic successes.

Details of the University's Scottish Funding Council Main Grant allocation for academic year 2016/17 were then outlined. The Principal noted that the 3.3% cut for the sector as a whole could have been worse given the reduced financial circumstances of Government but also noted, with concern, that the actual cut for the University would be closer to 4% due to large reductions in Research Excellence Grant (REG) and the Widening Access funding stream. He explained that this was despite a very good performance in REF 2014 and considerable success in recruiting to fill the additional funded places for students from the most deprived communities in Scotland.

The Principal explained that the University also faced significant increases to its fixed costs in the next academic year: employers National Insurance (2%) and pension contributions (2%), a likely 2% pay award and anticipated incremental drift. He noted that without further action these funding cuts and additional costs would result in a deficit of £9 million next year given the University's breakeven budget for 2015/16.

The Council was then asked to consider a graphical representation of levels of research income and teaching income from a number of UK universities as plotted on a scatter graph. The Principal pointed to a correlation and trend line on the graph that could be taken to indicate a sustainable balance between teaching and research income. He asked members to note the extreme outlier position of the University of Dundee plot on the graph, in relation to the trend line, showing high levels of research income and relatively

low levels of teaching income. He explained that part of the University's strategic response to its current financial would be to carefully rebalance research income as well as control costs so as to limit any deficit in the next academic year to under £5 million and not to exceed total losses of £10 million over the next three years.

Referring back to the graph, the Principal pointed to the potential for increasing unregulated teaching income and for savings produced by a strategic decrease in unfunded or funded but nonoverhead bearing research activity. The Principal explained that a number of strategic projects across the University were in development with the aim of supporting increases in teaching income, focussing on high quality well-funded research and reducing costs by becoming more efficient in both teaching and research. He also noted the investment in internationalisation, marketing and recruitment activities in support of efforts to increase the number of international and RUK students and welcomed the reports of a 28% increase in applications from international taught postgraduate students.

The Principal concluded his presentation by noting that ambitious but realistic targets had been agreed by all Schools and Professional Services through the budget setting process in recent weeks and he gave an assurance that open communication and transparent decision making would continue throughout the challenges to come.

The Principal was then asked to consider the option of supporting staff to help achieve the University's targets for recruitment and income generation rather than cutting staff numbers. The Principal agreed that income growth from unregulated tuition fees was vital for the University but observed that income growth alone would not lead to sustainability. He explained that the University had to find ways to reduce its costs given the scale of the deficit it faced. He emphasised that improved productivity and business process transformation would be needed to ensure a sustainable future for the institution.

The Principal was asked if the University could consider a wider range of activity to support income generation given the potential dangers of relying on a single source of growth. He agreed that the University must seek to improve its performance in all aspects of income generation, including consultancy activity and research overhead recovery. He argued that in the case of unregulated teaching income the University was still performing well below levels seen at similar institutions, meaning that there was a certain amount of headroom to exploit.

A member of staff then raised the issue of potential compulsory redundancies occurring in the Division of Signal Transduction Therapy (DSTT) due to uncertainty over future funding from industrial partners and asked the Principal to consider the vulnerability of staff employed using funds from external sources. The Principal agreed to follow up with the relevant staff and to clarify the situation.

The Principal was asked to confirm plans for a 'Business School' in the University and comment on how this would fit in to the new School structure.

At the invitation of the Principal the Vice-Principal (Academic Planning & Performance) replied and confirmed that as part of recent budget planning meetings each School had agreed targets for income generation targets and cost saving. He acknowledged that the School of Social Sciences had identified the need to re-align their business, finance and economics programmes to maximise marketability. A member of the School present confirmed that the Dean was leading a project, still at an early planning stage, that would bring together disciplines in the School of Social Sciences and elsewhere in the University to develop business school-type provision.

A member of staff then asked about the level of the Principal's salary [as reported in recent press coverage on the University's financial position].

At the invitation of the Principal the Director of Human Resources replied and explained the processes involved in setting the level of the Principal's salary. The Director emphasised that remuneration levels were decided by a committee of University Court that consisted of external lay members [i.e. not staff or students of the University]. The Director explained that this committee last reviewed remuneration levels in April 2014 and made a recommendation to Court in June 2014. The Director confirmed that levels were

set after careful sector comparisons and benchmarking. Council was asked to note that the Principal's salary was set below both the UK and Scottish average.

A member expressed concern over the wide gulf between managers and staff in terms of both pay and culture. The Director re-iterated that decisions on salary levels for professorial and grade 10 staff were taken by independent members of Court rather than University managers in accordance with good governance processes and levels were in line with sector norms.

The Principal reflected on the perception that there was a potentially damaging divergence between staff and management at the University and acknowledge that more needed to be done to improve communication, approaches to staff engagement and the development of a one-Dundee culture. He noted that the recent Staff Survey was an example of how the University is seeking to encourage more transparency and helped provided an opportunity to focus on improvements in institutional culture.

The session concluded with a question that referred back to the Scatter Graph presented by the Principal in the first part of the meeting and a member asked the Principal to comment on the absence of information on the relative costs associated with teaching and research activity.

The Principal explained that it was difficult to establish benchmarks on the relative costs of teaching across the sector and acknowledged that the Graph was not an attempt to show the whole story but was intended to show that the University was in a unique and difficult position relative to comparable institutions and that urgent and co-ordinated action was needed across the range of the University's activities in order to ensure future sustainability.

APPENDIX 10

STAFF COUNCIL (Minute 76)

A meeting of the Council was held on 25 April 2016.

Present: 175 Members of University Staff.

Convener: The Principal.

In Attendance: Secretary to the Council.

In his introduction to the meeting the Principal took the opportunity to congratulate staff on a number of recent league table successes and noted in particular the results in the Complete University Guide (35th, up 7 places from the previous year), and the “first place in the UK position” in both the CUG forensics subject league table and the Times Higher 150 under 50 league table.

1. PRINCIPAL’S QUESTION TIME

(for this item the Convener of the Standing Committee took the Chair).

(i) Financial Sustainability

The Principal outlined progress made in the University’s financial planning activities and the relevant decisions taken at the most recent meeting of the University Court. He noted that external financial pressures had caused an overall 11.5% increase in costs and that the University needed to deliver a robust response to these challenges in order to limit the size of its budget deficit to levels that were manageable over the longer term and maintained the confidence of its stakeholders. The Principal explained that the University Court had agreed the parameters of a planned deficit of no more than £5 million in the next financial year while at the same time requiring the University to maintain momentum in terms of its strategic priorities.

The Principal then outlined the various projects that had been developed to help deliver savings and increase income across a range of activities: growth in mathematics and engineering, a Liberal Arts model in humanities and a rationalising review of activities in the biomedical area with a particular emphasis on non-clinical research.

He noted the progress already made by Schools in identifying £3.5 million of savings and the relatively positive forecast on overseas and other unregulated recruitment for 2016/17. Council was asked to note, however, that given the scale of the financial challenges faced by the University some reshaping of the institution including staff reductions would need to be contemplated in a small number of areas. The Principal explained that Court had agreed to make this contemplation official so that the University’s redundancy avoidance policies and processes could be invoked and he underlined the University’s continuing commitment to avoiding compulsory redundancies wherever possible.

In response to a question, the Vice-Principal (Academic Planning & Performance) explained the rationale behind a proposed Liberal Arts model that would draw upon the Scottish tradition of providing a broad undergraduate curriculum that serves as a strong foundation for advanced and professional study. He noted that such a model was popular with North American students and would enable some rationalisation of programmes and modules within the current MA degree framework.

In response to a question about the possible reduction in staff numbers the Principal explained that the projects would focus on quality as well as sustainability and cost savings.

The Director of Human Resources outlined the range of options available to support the University's redundancy avoidance policies. These included staff choosing to move to part-time hours, taking partial redundancy or redeployment but were unlikely to include voluntary severance. The Director urged staff who might be considering these options to talk it through with their Deans or Directors.

In response to a question the Principal explained that when considering staff reductions account would be taken of the full range of contributions that staff made to the University, including contribution to both research and teaching excellence. He explained that for a research intensive University Dundee was leading the way in its approach to recognising and rewarding the contribution of teaching staff to the excellence agenda.

The Principal was asked to provide details on how each School's contribution to the overall savings was calculated and why the School of Humanities had been allocated the highest percentage of the budget cut. The Principal and the Vice-Principal (Academic Planning & Performance) explained that the savings were allocated after consultation with Deans and calculated using both quantitative and qualitative measures related to, for example, academic and financial contribution, staff and other operating costs and the relative size of each School.

In response to a question about the proposed Business School the Vice-Principal (Academic Planning & Performance) acknowledged that the University would need to develop a distinctive offering to ensure a successful entry into a well-established market. He explained that the University would seek to combine a generalist "full-service" undergraduate curriculum with specialist postgraduate portfolio that drew upon the University's strengths and global reputation in a number of academic areas.

The Principal was then asked to explain the University's medium and long term financial strategy as distinct from the current acute financial problems. The Principal's response focussed on the long standing objective for the University to deliver an annual budget surplus of 5-6% of income to enable strategic investment. He noted, however, that given the significant gap in cost recovery from both teaching and research funding and the 90% cut in capital funding from the SFC seen in recent years, the University would need to generate surpluses to sustain the quality of academic activities and to fund capital investment to reverse projected declines in the quality of the University's estate.

(ii) Staff Survey

The Director of Human Resources gave a brief outline of the actions and events that followed from the survey of University staff that took place in 2015. Council members noted that after an initial presentation of the Survey results to Deans and Directors a number of open staff meetings were arranged. The Director explained that Deans and Directors were then provided with the relevant data to enable a local response to be formulated and fed back to the University Executive Group (UEG) in order for an action plan to be developed and taken forward by a Steering Group.

The Director also explained that where the survey results had suggested the need for immediate action (such as ensuring a proper accident reporting system was in place for a particular area of the campus) that appropriate steps were taken.

The Principal acknowledged that some scores had declined since the last staff survey was carried out and welcomed the more structured follow up approach being taken. He agreed that the steering group should continue to feedback to staff through appropriate channels, including through Staff Council.

(iii) Academic Staff Workload Allocation Model

The Principal explained that a project group led by the Vice-Principal (Learning & Teaching) had made recommendations to the University Executive Group in December 2015 for a new academic staff workload model to be introduced in the University. He outlined the thinking behind the new

model (that it should be transparent, fair, equitable, simple, and linked to both staff objectives and University strategy). He noted that it would be implemented in August 2016 after further consultation with staff had taken place and advised that the proposed model had been sent to the Deans in each School and that it would be made available to staff through School Offices. Campus unions would also be consulted.

Members raised a number of points concerning the scope and impact of workload allocation in the University, including recognition for leadership and management duties and equality & diversity activity within normal workloads. The Principal noted that the new model would take into account a range of activity and operate within an overriding principle that no one should have an unfair allocation.

In response to a question about the possible need for workload allocation modelling for support staff roles the Secretary explained that support staff workloads would form a natural part of the business transformation process in many areas. He noted that this included the University finance, HR and payroll functions where the implementation of a new system was likely to begin shortly.

(iv) The Prevent Duty

The Principal explained that the Counter-Terrorism and Security Act 2015 had introduced a new statutory duty for all UK Higher Education Institutions in response to increased sensitivity over terrorism and the potential radicalisation and recruitment of students into groups supporting terrorism. He argued that the University had always taken seriously its duty of care to safeguard staff and students and that its approach to carrying out the new statutory duty would focus on meeting the requirements of the Act and providing the safest environment in which free speech could be protected.

The Secretary explained that in Scotland a balanced approach was being taken where institutions were considering best practice guidance issues on a Scottish HE sector basis and contrasted this with the greater focus on external enforcement of a regulatory framework seen in other parts of the UK.

On the question of staff monitoring the activities of students the Principal acknowledged that staff and the University would be exposed to considerable risk if either failed to carry out their statutory duties but also gave a commitment to protecting the important role of the University to encourage and support open debate and academic freedom. He explained that the University had set up a Safeguarding Advisory Group to raise awareness and promote information and training in the context of a University culture founded on tolerance and mutual respect.