

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 20 February 2018.

Present:

- Ronnie Bowie (in the Chair)
- Janice Aitken
- Anne Anderson
- Lord Provost Ian Borthwick
- Dr William Boyd
- Shirley Campbell
- Principal Professor Sir Pete Downes
- Ezichi Ekpe
- Jo Elliot
- Professor Tim Kelly
- Bernadette Malone
- Jane Marshall
- Allan Murray
- Sean O'Connor
- Dr Alison Reeves
- Karen Reid
- Andrew Richmond
- Dr Jean Robson
- Professor Mairi Scott
- Sharon Sweeney
- Denis Taylor
- Phil Welsh

In Attendance:

- Wendy Alexander (Vice-Principal (International))
- Professor Nic Beech (Vice-Principal (Provost))
- Andrew Hewett (Director of Finance)
- Dr Neale Laker (Director of Academic & Corporate Governance)
- Professor Karl Leydecker (Vice-Principal (Learning & Teaching))
- Iain MacDonald (Corporate Affairs Officer)
- Dr Jim McGeorge (University Secretary)
- Dr Christine Milburn (Policy Officer (Corporate Governance))
- Pam Milne (Director of Human Resources and Organisational Development)
- Wesley Rennison (Director of Strategic Planning)
- Roddy Isles (Head of Corporate Communications)
- Professor John Rowan (Vice-Principal (Research, Knowledge Exchange & Wider Impact))
- Thomas Veit (Director of External Relations)

Apologies:

- Richard Bint

43. **MINUTES**

The Court decided: to approve the minutes of the meeting on 11 December 2017 subject to minor amendment to minute 36.

44. **MATTERS ARISING**Action Log

The Court considered the action log and noted the updates provided. Following discussion it was agreed that the action relating to the strategic oversight of the staffing profile should be taken forward by the People & Organisational Development Committee and be removed from the Court action log accordingly.

The Court decided: to approve the Court Action Log.

45. **APPOINTMENT OF A NEW CHANCELLOR**

The Court noted that the Chancellor's Appointing Committee established jointly by the Court and the Senate in accordance with Ordinance 67 (Appointment of the Chancellor) had unanimously recommended the appointment of Dame Jocelyn Bell Burnell as the University's next Chancellor. Members further noted that the Senate had been delighted to provide its unanimous support for the appointment when consulted at its meeting on 31 January 2018 (Minute 55 below). Noting Dame Bell Burnell's empathy with the University's values, and her pride at being approached the Court formally approved the appointment.

The Court decided: in accordance with Ordinance 67 (Appointment of the Chancellor), formally to approve the appointment of Dame Jocelyn Bell Burnell as the University's next Chancellor.

46. **CHAIR'S REPORT**

The Court received its regular report from the Chair detailing activities he had undertaken on its behalf at a University and sector level since the last meeting. In introducing the report the Chair highlighted his attendance at a recent meeting of the Committee of Scottish Chairs (CSC), which he felt was proving to be a useful forum to share best practice and develop sector-wide approaches to good governance. The Chair also highlighted the publication of a draft Remuneration Code by the Committee of University Chairs (CUC), which aimed to further enhance the processes for, and transparency of, remuneration decisions relating to senior officers at UK universities. Members noted that as part of the consultation on the draft Code, the CSC had highlighted considerable overlap and discrepancy between the proposed Code and the relevant terms of the Scottish Code of Good HE Governance (2017), and had proposed that while Scottish institutions should be mindful of the good practice proposed in the new Code, the provisions within the Scottish Code of Good HE Governance (2017) should take precedent.

The Chair also updated members on the recruitment process for lay members of the Court, which had seen a healthy response to the advertisement of the upcoming vacancies. He

advised members of the timeline for shortlisting and interviews, and it was noted that the Governance & Nominations Committee was to review the recommendations of the interview panel at its next meeting on 27 March 2018.

The Chair of Court also informed members that since the last meeting Mr Denis Taylor had indicated his intention to resign from lay membership of the Court, effective from the end of the current academic year. Members noted that Mr Taylor had served on the Court since 1 August 2013, but had recently agreed to take on the role of Chair of the Board of Trustees of the Dundee University Students' Association (DUSA), and that this role required more of his time than he could accommodate while also serving on the Court. Noting however the benefits of strong links between the Court and the DUSA Board of Trustees Mr Taylor was encouraged to bring forward proposals for maintaining these links once he left the Court. Noting a number of changes to arrangements within DUSA, Mr Taylor advised the Court that the hand-over period for the out-going and incoming executive had been extended to ensure that this momentum was not lost. Members were also pleased to note the importance placed on supporting the relationship between the DUSA Executive and the DUSA management teams.

Turning to other recent meetings, the Chair outlined the nature of his discussions with the Chair of the Scottish Funding Council (SFC) and the Director of Advanced Learning & Science in the Scottish Government, and members noted that the Chair was keen to encourage the University to further enhance its direct links with both the Government and Industry.

Members were pleased to note the actions detailed in the report relating to work to support student welfare and in particular the joint University/DUSA zero tolerance policy on sexual misconduct and harassment. The Court was particularly impressed by the University's strong provision of support for young carers and students who had suffered abuse, as well as its work with Abertay Dundee University and Dundee City Council to broaden the spectrum of support, and members suggested that this provision should be highlighted in relation to the Government's care experience for young people initiative. In this respect, one member undertook to liaise with the University Executive Group regarding further opportunities for collaboration with local authorities.

Finally, the Chair highlighted his recent attendance of a meeting of the University Executive Group following the announcement of the retirement of the Principal at the end of the calendar year. Members noted that the Chair had explored a number of matters relating to the appointment of a new Principal, and that these were referred to in the documentation provided in relation to the corresponding item later on the agenda (minute 48).

The Court decided: to note the update.

47. **PRINCIPAL'S UPDATE**

The Court received an update from the Principal which highlighted recent news and matters of sector interest (**Appendix 1**). The report focussed on the budget and financial outlook, and provided updates on the Tay Cities Deal, admissions and student recruitment figures, and the research environment following the formal launch of UK Research & Innovation (UKRI) which brought together seven research councils, Innovate UK, and Research England under a single umbrella.

In presenting his report the Principal also highlighted the opening of the V&A at Dundee on 15 September 2018. In doing so he drew members' attention to the opportunities this presented in terms of the economic and cultural rejuvenation of the city and also for the University as recognised in the original proposals approved by the Court - including student recruitment, internships, new programmes of study, and showcasing work from across all areas of the University.

The Principal drew members' attention to the recent resignation of Professor Dame Sue Black. In doing so he invited the Court to recognise her significant contributions to the University during her tenure, with ensuing discussions celebrating her high profile research, her contributions to the establishment of the Leverhulme Research Centre for Forensic Science, and her high profile public engagement work. Members noted that Professor Black was to take up a position as Pro-Vice-Chancellor for Engagement at the University of Lancaster and wished her well in her future endeavours.

Noting Professor Black's prominence, members explored the processes in place with regard to succession planning and the identification and development of academic talent. With regard to the Leverhulme Centre and Centre for Anatomy & Human Identification members were pleased to note that the University Executive Group had full confidence in the strong infrastructure and leadership in place in these areas through Professors Niamh Nic Daéid and Tracy Wilkinson who had been appointed under Professor Black's leadership.

Turning to the wider strategy for the appointment, identification and development of individuals of high calibre in research and learning and teaching, members noted that the University's promotion criteria, culture, and values underpinned its approach to succession planning, and members suggested that it would be useful if a Court Retreat session could be used to provide the Court with a sense of this talent pipeline. Through discussion members were reminded that strategic HR planning was a matter which was due to be considered by the People & Organisational Development Committee, and that the Committee regularly considered policies relating to succession planning and development of staff.

- The Court decided:**
- (i) to note the report and the updates provided;
 - (ii) to ask the Chair to write to Professor Black to convey the Court's appreciation for her significant contributions to the University and the Court;
 - (iii) to raise Court's awareness of the succession planning at the next Court Retreat; and
 - (iv) otherwise to await the regular updates from the People & Organisational Development Committee on this matter.

48. **RESERVED BUSINESS: APPOINTMENT OF THE PRINCIPAL AND VICE-CHANCELLOR**

The Chair of Court drew member's attention to the recent announcement of the Principal's decision to retire from the University at the end of the calendar year having served for almost 10 years. Members noted that while the decision had been made on a personal basis, the Principal had previously shared his plans with the Chair of Court to enable the University to

plan the process of identifying a successor and to ensure that the process was co-ordinated with the period of office of the Chair of Court.

Prior to leaving the room, the Principal advised that it had been a tremendous honour and privilege to lead the University, but that as he turned 65 he was looking forward to beginning the next stage of his life. He reiterated his commitment to the University for the remainder of his tenure, and in doing so highlighted a number of key areas which he and the Chair had agreed he would address during the coming year, including the implementation of Business Transformation, the development of the capital investment strategy, ensuring continued progress in international recruitment, engagement with the UK Industrial Strategy and helping to deliver the Tay Cities Deal which could see major investment in the University to support economic growth in Tayside region.

The Chair paid tribute to the outstanding contribution the Principal had made during his tenure, in particular in relation to the improvements in the standing and reputation of the University during this period, and highlighted the importance of identifying an outstanding successor.

[Secretary's note: The Principal declared an interest in the discussions and left the room for the remainder of discussions on this item.]

The Court turned to the paper provided, which set out proposed arrangements for the appointment of a new Principal & Vice-Chancellor including: the establishment of an Appointing Committee, the use of search agencies, engagement with the University Community, timescales for the appointment, and draft further particulars. Discussions largely focussed on the attributes which were considered essential for the successful candidate, and in particular members highlighted the importance placed upon the University's values, its sense of community and the realisation of its ambitions. Members went on to discuss the importance of enabling a new Principal to lead and shape the future direction of the University while acknowledging the fact that the new University Strategy to 2022 had been developed after wide and extensive consultation with the University community. Members also discussed the proposed salary for the position and agreed that the Remuneration Committee should be asked to take forward considerations and review market rates, noting the Court's preference for the remuneration package not to exceed the current level. Members also provided a number of suggestions for enhancements to the further particulars.

In closing discussions, members noted that under the University's Charter and Statutes the appointment of the Principal & Vice-Chancellor was an appointment of the Court, and that the recommendation from the Appointing Committee would be brought to special meetings of the Senate and then the Court for discussion and approval.

- The Court decided:**
- (i) to approve the establishment of a joint committee of the Court and Senate with the composition as set out below:
 - The Chair of Court (as Convener)
 - Three lay members of the Court
 - The President of the Students' Association
 - Three members of academic staff nominated by the Senate
 - An external advisor

- (ii) to delegate authority to the Chair of Court to appoint members to the Committee following his consideration of the expressions of interest received, in the context of the need to ensure an appropriately diverse, credible and inclusive membership;
- (iii) to approve the appointment of Professor Sally Mapstone, Principal & Vice-Chancellor of the University of St Andrews as the external advisor;
- (iv) to approve the proposal that a search agency be engaged to assist the University in a national and international search, and to delegate to the Chair of Court and University Secretary the authority to make an appointment in this respect;
- (v) to support the proposals regarding the University-wide consultation to be led by the Chair of Court;
- (vi) to note the specific suggestions made by members with regard to the further particulars;
- (vii) to approve the timeline as set out in the paper;
- (viii) to note that the Remuneration Committee would be consulted in relation to the remuneration of a new Principal; and
- (ix) otherwise to delegate to the Appointing Committee the authority to finalise arrangements within the parameters agreed.

49. **BRANDING UPDATE**

The Director of Marketing & Communications attended the meeting to update the Court on progress made in relation to University branding since the Court's approval of investment in external relations in October 2015. In presenting the update the Director highlighted the decision to position the brand based upon the University's values and unique selling points, with an early focus on translating these into key messages for stakeholders and ensuring that the visual identity of the University supported those messages and was consistent across the institution.

The Court noted that an analysis had been undertaken of perceptions of the University at the time of the investment, which had informed the development of core messages and a new visual identity. Members also noted that, in line with the investment proposal priority had been given to supporting international and unregulated student recruitment through the development of targeted materials in core markets, and that the move from printed to digital campaigns and materials had improved efficiency, reach and the ability to track the impact and effectiveness of the approach. The Court noted improvements had also been made in internal communications and alumni stakeholder engagement initiatives. The Director also drew members' attention to examples provided to illustrate the successful implementation of a reputation management strategy, including employer branding, major events, and targeted

engagement with the press. She went on to outline the way the effectiveness of these changes was measured and tracked, including through enhanced student recruitment outcomes, web usage, press coverage, social media engagement and staff perceptions.

Finally, while highlighting the University's recent strong performance in league tables relative to competitors, the Director highlighted opportunities and priorities for the future, including ambitions in relation to stakeholder management, perception monitoring, and the delivery of the University Strategy to 2022. The Director also drew attention to the importance of External Relations working together with Schools and Directorates in achieving the improvements to date.

Through discussion members noted that proposals for updating campus signage would be rolled out in the near future once planning permission had been received and that a phased approach was being taken for cost reasons. Members were also interested to note that data tracking information had indicated a prolonged engagement cycle with potential students, and were pleased that the newly live Enquiry Management System delivered through business transformation would enhance information in this area.

Noting the level of the return on investment reported, members noted that it was likely that the UEG would bring forward plans for further investment in the current budget cycle, with unregulated recruitment likely to remain the key focus.

In closing, the Director confirmed that in terms of student recruitment, mechanisms were embedded to ensure that the University brand reflected the quality of the University, but that there were other areas where there was still work to be done.

The Court decided: to thank the Director for the update.

50. RISK ITEM: USS PENSION DISPUTE

[Secretary's note: The Court noted that a number of members had previously declared a conflict of interest resulting from their membership of the USS Pension Scheme, their membership of the UCU or both].

The Director of Human Resources & Organisational Development introduced a paper outlining the results for the University in relation to the University & College Union (UCU) ballot for UK-wide industrial action resulting from proposed changes to the Universities Superannuation Scheme (USS). Members noted both the results and the schedule of strike action which had been notified by UCU following the ballot. The Director went on to outline actions taken by the University, Schools and Directorates to seek to mitigate the impact of the industrial action, including the formation of a group to review planning, preparation and communication to staff and students. Members of the University Executive Group went on to provide the Court with specific examples of actions being taken, with the focus being on maintaining the quality of the student experience during this period.

By way of context for the industrial action, members were reminded that the Court had submitted a response to Universities UK (UUK) in September 2017 in response to a consultation on proposed changes to the USS. The University's response had focused on the need for the scheme to be sustainable in the long term, affordable (to both the University and staff), meaningful, understandable and, where possible, ensure that the needs of those at the

lower end of the pay scales were recognised and protected. Members noted that the University was one of many employers represented by UUK in the negotiations and that, following the close of the consultation period and further unsuccessful negotiations between UUK and UCU, the Joint Negotiating Committee (JNC) of USS had reached a decision.

One member asked if the University intended to call for the parties to re-enter into negotiations. Following discussion, the Court decided to seek clarification as to whether the legal position and requirements of the pension regulator would allow for further negotiations to be held before considering whether a further response from the Court would be appropriate or required. Members did, however note the significant distance between the respective positions of UUK and UCU.

The Dundee University Students' Association (DUSA) President informed the Court that DUSA had submitted a proposal to the University Executive Group (UEG) suggesting that any positive financial impact from salary deduction made as a result of staff participating in the strike action be donated to the Student Hardship Fund. The Principal indicated that the UEG would discuss this in due course.

The Court decided: to note that the Director of Finance would review the legal position with regard to further negotiations.

[Secretary's note: USS and UUK reconvened for talks on 27 February 2018 and as such it was determined that the above action had been overtaken by the changed circumstances.]

51. **UNIVERSITY STRATEGY TO 2022: UPDATE**

The Director of Strategic Planning updated Court on progress in relation to the implementation of the University Strategy to 2022. In doing so he informed members of a series of consultative events scheduled for April which had been designed to explore in detail the implementation of three key themes within the new strategy: 'high performance community', 'interdisciplinarity' and 'health and wellbeing'. Members also noted that the action plan had been shared with the University Management Group for wider dissemination, and that an Excel based tool was being made available to track progress. They were advised that the Director planned to showcase the Performance Indicators (PIs) tool at the meeting on 24 April, based upon the PIs approved previously by the Court. He also informed members of work which was ongoing to update and align the 'Values into Action' work to the new strategy.

The Court decided: to note the update.

52. **OUTCOME AGREEMENT WITH THE SFC 2018/19 – 2020/21**

The Court received the draft Outcome Agreement with the Scottish Funding Council (SFC) for the period 2018-19 to 2020/21. The Director of Strategic Planning advised that the document would be finalised following today's discussion, consultation with the campus unions and final review by UEG, before being provided to the Court for formal approval at its meeting in April.

Discussions focussed on the benefit of further reflecting on the document once the Scottish Government's National Outcomes were published. Members particularly welcomed the work being undertaken in relation to the care experience of young people, and encouraged the

University to promote this more widely and share knowledge and experience in that regard with local authorities.

Court was pleased to note that the draft Agreement had been well received by the SFC, but noted that the quality of institutional agreements relative to SFC and government targets, and delivery against these targets had to date not translated into differential financial outcomes across the sector.

The Court decided: to approve the Outcome Agreement for submission to the SFC, subject to its finalisation with the campus unions.

53. COMMITTEES

(1) Finance & Policy Committee

(a) Report of the Committee's Meeting on 30 January 2018

The Court received the minutes from the meeting of the Committee on 30 January 2018 (**Appendix 2**). In introducing the report, the Convener drew members' attention to the Business Transformation update, with members advised that subsequent to the meeting the 'go-live' date for the finance element had been further delayed. The Convener highlighted the impact of the delays on management account reporting to the Committee.

The Convener also highlighted the Committee's new process for approving research grant applications over £3m, and in doing so he outlined some of the internal controls in place beyond those detailed in the Schedule of Delegation and Decision Making Powers. Members also noted the Committee's discussion of an update provided in relation to the Tay Cities Deal, and the Convener highlighted the challenges presented by the governance arrangements and unknown timelines for the Deal.

Lastly, the Convener confirmed that the first meeting of the Estates Sub-Group would take place in early March, and would focus on the development of a new campus masterplan, and that the Committee expected to consider associated proposals over the next few meetings. He also highlighted that the Director of Finance was attending his last meeting of the Court and outlined processes in place to ensure momentum was not lost in relation to key projects. Members thanked the Director for his leadership during a challenging financial period.

The Court decided: to approve the report.

(b) RESERVED BUSINESS: Minute 5(3) of the Committee's Meeting on 30 January 2018

The Court received minute 5(3) from the Committee's meeting on 30 January 2018. Noting that the University claimed the exemptions in Sections 30 and 33(1)(b) of the Freedom of Information (Scotland) Act 2002, the item was considered as reserved business and members were required to treat the

discussion and associated papers as strictly confidential and exempt from public disclosure.

The Court decided: to approve Minute 5(3) of the report.

[Secretary's note: At the point at which the exemptions are deemed to no longer apply the Court will be advised and will be asked to note the release of Minute 5(3) of the Finance & Policy Committee of 30 January 2018 which will then be included as an appendix to the minute of the meeting at which its release is approved.]

(2) Governance & Nominations Committee

The Court received a report of the meeting of the Governance & Nominations Committee on 30 January 2018 (**Appendix 3**). The Convener drew members' attention to progress in relation to the implementation of the Scottish Code of Good HE Governance (2017), responses to the advertisement for new lay Court members from 1 August 2018, and proposals for the public stakeholder meeting of the Court.

The Court decided:

- (i) to approve the proposal that the first public stakeholder meeting of the Court be scheduled alongside the 2019 Discovery Days in January 2019; and
- (ii) otherwise to approve the report.

(3) People & Organisational Development Committee

The Court received the minutes of the meeting of the People & Organisational Development Committee on 1 February 2018 (**Appendix 4**). The Convener drew members' attention to the Committee's discussions and actions agreed with management in relation to Health & Safety Training, Equality & Diversity Training, and Objective Setting & Review (OSaR) completion. Noting one minor amendment to the minutes, the Court was strongly supportive of the importance placed on high-levels of compliance, and the consideration of the introduction of sanctions for non-completion.

The Convener also highlighted the process and timelines agreed for the Committee's consideration of the latest Staff Survey. The Court noted that Capita had presented the results at a series of open meetings, which had been largely positive and showed significant progress in a number of areas. The Convener confirmed that management was developing a response and action plan in relation to the findings, and that an additional meeting of the Committee was to be scheduled for early April to enable it to consider this before providing the Court with its views.

Members were reminded that the minutes of the Committees reporting to the People & Organisational Development Committee should be considered draft until approved by these committees at their next meetings.

The Court decided:

- (i) to note the updates; and
- (ii) otherwise to approve the report

(4) Remuneration Committee Annual Report

The Convener of the Remuneration Committee introduced the Remuneration Committee Annual Report (**Appendix 5**). Members noted that this was the first such report presented to the Court, and that it had been prepared in accordance with the draft remuneration guidance from the CUC (minute 46). The Court noted that this report supplemented the minutes of the Remuneration Committee which it had approved at its meeting in December, but that in future these items would be combined.

Members noted that the report the Committee provided assurance that the decisions made had been taken in accordance with the relevant Court-approved policies and procedures and had been informed by relevant data.

The Court made a number of suggestions for the refinement of future reports, but supported the approach taken, and in particular the move to strengthen the Committee's role in oversight and governance, with a less operational focus.

The Convener also advised that additional meetings of the committee had been scheduled to enhance the continued development of members, and to review the possible introduction of a banding structure within Grade 10.

The Court decided: to confirm that appropriate assurance had been provided.

54. NARRATIVE FOR SENATE

Noting that in accordance with the review of the effectiveness of the Senate the Court was to highlight matters which it wished the Senate to be advised of or consider, members discussed the narrative which would be provided from the meeting. The Court agreed that the discussions relating to: the appointment of a new Principal & Vice-Chancellor, the industrial action by UCU, implementation of the new strategy, and the Outcome Agreement should be highlighted.

The Court decided: to ask officers to prepare a narrative for Senate on this basis.

55. COMMUNICATION FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senatus Academicus on 31 January 2018 (**Appendix 6**). The Court noted the Senate's unanimous endorsement, for its part, of Dame Jocelyn Bell Burnell's appointment as the new Chancellor of the University, the tributes paid by the Senate to Professor Dame Sue Black upon her resignation, and Senate's oversight of preparations for the next QAA ELIR in November 2018. The Court was also interested to note the Senate's discussions regarding minimising the effect of strike action on the student experience, and its request that the review of the Dignity at Work & Study Policy be accelerated.

The Court decided: (i) to approve the recommendations concerning the conferment of the title of Professor Emeritus upon Professors Alan Fairlamb and Stewart Fleming; and

- (ii) to approve amendments to Ordinance 39 paragraph 1.1 to include Engineering Doctorate (EngD) as outlined, subject to ratification at the next meeting of the Court.

56. WELFARE & ETHICAL USE OF ANIMALS COMMITTEE

The Court received a report of the meeting of the Welfare & Ethical Use of Animals Committee on 18 January 2018 (**Appendix 7**).

The Court decided: to approve the report.

57. ACADEMIC & HEALTH SCIENCES PARTNERSHIP (AHSP) BOARD

The Court received a report of the meeting of the Academic & Health Sciences Partnership on 18 December 2018, including its discussions on the AHSP Strategy 2018-2021 and its terms of reference and remits.

The Court decided: to approve the report.

58. RESEARCH GOVERNANCE COMMITTEE ANNUAL REPORT

The Court received the annual report from the Research Governance & Policy Sub-Committee (**Appendix 8**), which summarised the activities of the Sub-Committee for the 2016/17 academic year including policy review, alignment with the UK Concordat to Support Research Integrity and individual reports on formal investigations.

The Court decided: to note the report, and await further reports on an annual basis.

59. STAFF

Senior Appointments

The Court noted the appointment of the following staff to professor:

Raphael Heffron	Chair of Global Energy Law and Sustainability	1 April 2018
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The Court decided: to note the appointments.

60. HONORARY CHAPLAIN

On the recommendation of the University Chaplain, Court approved the appointment of Mustafa Al-Saffar and Imam Zuber Karim as Honorary Chaplains for the period of 1 year in the first instance, with immediate effect.

The Court decided: to approve the appointment of Mustafa Al-Saffar and Imam Zuber Karim as Honorary Chaplains for the period of 1 year in the first instance, with immediate effect.

Mr Ronald Bowie
Chair of Court
University of Dundee

APPENDIX 1

PRINCIPAL'S UPDATE (Minute 47)

Introduction

1. As is usual for the first meeting of Court in the New Year, the agenda is relatively short in comparison with other meetings. A number of these items are substantive in nature, and I look forward to the opportunity for more detailed debate on these matters during the meeting.

USS update

2. As members will be aware, the University and College Union (UCU) recently voted in favour of industrial action, with the first strike scheduled to take place on 22 February 2018. As a detailed paper is provided on the agenda outlining the situation in the context of communications from the Universities Superannuation Scheme, University and College Union, and the University's communications to staff and students, I do not intend to go into detail here. The potential implications of the planned industrial action are, however, matters that I know the Court takes extremely seriously, and it would be remiss of me to not comment in my report. While at the time of writing I sincerely hope that action can be avoided, I would assure members that if the action does go ahead then we will do all we can to have measures in place to minimise the impact on our students. We recognise the understandable concerns of staff regarding their pensions, and we will continue to provide support for them through this period via open communication and a series of information sessions – the latter led by the same external actuary who delivered the session for Court late last year.

Budget and Financial Outlook

3. At the time of writing, the Scottish Government's budget negotiations are still ongoing. We have, however, received guidance from the SFC relating to the funding likely to be available for Scotland's higher education sector as a whole. This guidance indicates approximately inflationary or slight real-terms increases in the main core teaching and research budgets. This is welcome relief, but has not made much of a dent in the greater than 20% decline in real-terms funding the sector experienced over the course of the last 10 years. Set against this financially challenging position, it is pleasing to report that our underlying trajectory remains on course to produce a year-end result in line with, and possibly better than, the budget agreed by the University Court last June.

Appointment of new Chancellor

4. Elsewhere on the agenda the Court is asked to approve the appointment of Dame Jocelyn Bell Burnell as our next Chancellor. As a member of the Appointing Committee, and having spoken with Dame Bell Burnell and noted her enthusiasm for the University and its vision, I believe that she would be an excellent appointment for the University. Should the Court approve the appointment, it is our hope that Dame Jocelyn would be in post in time for this summer's graduation ceremonies.

Tay Cities Deal

5. An update on the progress of the University's Tay Cities Deal bids was provided to the meeting of the Court's Finance & Policy Committee on 30 January 2018, and details of the discussions held on this can be found in the Committee's minutes, however it is a rapidly changing landscape, and I am pleased to be able to provide a further short update.

Members may recall that City Deals are bespoke packages of funding and decision-making powers negotiated between central government and local authorities, envisioned as a way to encourage economic growth, development and innovation on a regional basis. The University has played an active role in the Tay Cities Deal process from the beginning through engagement with the Tay Cities Programme Management Office and the co-ordination of discussions between stakeholders from the HE/FE sectors. We currently have two lead projects, 'Growing the Biomedical Cluster' and 'JustTech', which we hope to progress to the agreement of Heads of Terms expected to take place by early March. 'Growing the Biomedical Cluster' aims to nurture the best innovation from Dundee biomedical research and drug discovery, exploit our unique environment for Medical Technologies development at the interface with the NHS and industry, and match this with significant growth in new skills pathways, while 'JustTech' aims to leverage our burgeoning reputation in Forensic Science research to create a new economic cluster for the region. Should these bids be successful, the synergies between them also present some interesting opportunities for us, which I look forward to exploring in future meetings. Further information on both of these projects is available in the Finance & Policy Committee papers on BOX.

Admissions and Student Recruitment

6. The January meeting of the Finance & Policy Committee unfortunately came at a point which was too early to report on the outcome of recruitment, however a full report will be provided to their next meeting on 27 March

2018. In summary, the University is likely to matriculate more than 150 Overseas Taught Postgraduate (TPG) students in January 2018. Despite this positive performance, it is now clear that we will not achieve our overall overseas TPG budget as we had previously hoped. In the meantime, schools and directorates have made significant progress towards balancing the budget for the full year. Home TPG recruitment has, however, been healthy across both semesters, and we are on course to exceed the Home TPG budget across the full year. Members may also be interested to note that International College Dundee has continued to perform strongly, with 40 matriculations to date relative to the full year target of 50. With two further intakes in this academic year, we expect that the full year target should be comfortably achieved.

7. Turning to the emerging recruitment pattern for 2018/19, I was pleased to note that the Overseas TPG applications for September 2018 have increased by 15% at present, which is encouraging in a particularly difficult market – it will be important that we capitalise on this and maximise the conversion of these through to matriculation. Overseas Uncontrolled UG applications are also up (4.5%). While the overall intake in this category remains below market and competitors' performance, we will continue to focus on offer-making and conversion through to the summer, and will look to build on last year's strong performance on RUK recruitment in Clearing.

International update

8. We have historically performed well in the International Student Barometer (ISB) – the leading benchmarking tool to track the international student experience, and I am delighted to inform you that our students have once again given the University one of the survey's highest ratings. Overall satisfaction among University of Dundee students rose from 90.9% in 2016 to 93.7%, the third highest score out of the 31 UK universities who took part, and seventh among the 120 universities worldwide in the survey. We received the highest score globally in the 'satisfaction with support' category (96.6%), while our score in the 'satisfaction with living' category was highest in the UK and third globally at 92.5%.

BREXIT update

9. In my previous reports I have undertaken to keep members informed of the changing environment relating to the ongoing BREXIT negotiations. In this respect, we welcomed the Scottish Government's decision to extend the guarantee of free tuition for EU students to those starting in the 2019/20 academic year, along with the confirmation that eligible students will have their fees met for the duration of their studies, even after the UK leaves the EU. This is particularly helpful as we enter the new planning cycle, and will give applicants important security. Furthermore the current agreement on the UK financial settlement with the EU will entitle the UK to "participate in the Union programmes financed 2014-2020 until their closure." This includes Erasmus+ and Horizon 2020, allowing universities to apply to and continue on these programmes as normal until 2020, which again provides us with clarity regarding our strategies in this area.

Research Environment

10. I have previously made reference to the new UK-wide funding structure for research, with UK Research and Innovation (UKRI) bringing the seven research councils, Innovate UK and Research England under one umbrella. This body was formally launched in January 2018, with an initial emphasis on interdisciplinarity and linking research outcomes to economic growth and development – areas being led by Professor John Rowan, our new Vice-Principal (Research, Knowledge Exchange and Wider Impact) as he continues to develop our research strategy. We have already engaged with UKRI's Chief Executive-designate Sir Mark Walport, hosting a visit to Dundee earlier this month which gave us an important opportunity to engage with Sir Mark early in his tenure, and to showcase work already underway that falls in line with UKRI's priorities, including in science and engineering, forensics, biomedical sciences, drug discovery, and our work with the NHS through the Academic Health Science Partnership.

Discovery Days

11. I hope Court members were able to attend our Discovery Days at the beginning of January. An important part of our public engagement strategy, the event has consistently proven very successful with a diverse audience of staff, students, and the general public, and this year was no different, with a significant rise in the overall attendance.

V&A Dundee

12. Members will have received the all-staff message confirming that the V&A Dundee Museum of Design will open on September 15 with an exhibition entitled 'Ocean Liners: Speed & Style'. This is a major event for the city and for Scotland, and also a major event for us given our pivotal role in bringing the V&A to Dundee and our continued central involvement in the project. The Court will recall that the University made a number of commitments in relation to the V&A project, and with the launch we must now maximise the benefits of this involvement, and realise the returns which were anticipated. There is already no doubt that the presence of the V&A in Dundee has enhanced awareness of the city in ways which can only help lead to greater awareness also of the University. Having been involved at board level with V&A Dundee for most of the past decade I am looking forward to September very much, and I know many of you will be too.

Staffing Matters

13. As members will be aware, former Court member Professor Dame Sue Black recently announced she will be leaving the University in the summer to take up the position of Pro Vice-Chancellor of Engagement at Lancaster University. I'm sure members would like to take this opportunity to join me in acknowledging Sue's many achievements during her time with us, and wishing her continued success in the future. Sue has set the bar high and will be missed, but I have every confidence that the strong team and infrastructure in place in forensic science, CAHID, and anatomy will ensure these areas continue to be a source of great pride and strength for the University.

University Executive Group Meetings

Since the last full meeting of Court, the University Executive Group has met formally on 13 December 2017, 17 January 2018, and 31 January 18. The following matters were considered:

Corporate Issues

- Draft Outcome Agreements: Health Outcomes & Targets
- Potential Estates Development Opportunities
- University Signage
- SFC Review of Funding Price Groups
- Tay Cities Deal: update
- Development of Dundee Institute for Healthcare Simulation
- Tower Cladding: update
- Security Technology Plan
- University Strategy to 2022: Implementation events

Financial Issues

- Admissions & Student Recruitment: Update
- Budget Review
- Setting the scene for the budget / budget instructions

Academic Management Issues

- Expansion of Distance Learning: Options
- Organisational Change Proposal: Legal
- AHSP: Financial Projections

Human Resources Issues

- Pensions Matters
- Outcome of Ballot for Industrial Action
- Senior Staff Recruitment
- Staff Survey

Major Grants and Awards

Professor JE Clarkson (School of Dentistry)

A Randomised controlled trial to Evaluate the effectiveness and cost benefit of prescribing high-dose Fluoride toothpaste in preventing and treating dental Caries in high-risk older adults (REFleCt) (joint with the University of Manchester and the University of Aberdeen)

£938,888.80 (including £159,704.00 overhead) from the NHS National Institute for Health Research

The number of prescriptions for / cost of high-dose fluoride toothpaste has increased dramatically in recent years without direct evidence of clinical benefit. REFleCt will seek to determine whether there is significant clinical benefit by studying the effects of the toothpaste on 1200 over-50s at risk of dental decay in general dental practices across Scotland, England and Northern Ireland.

Professor CR Wolf (School of Medicine)

Defining the Deleterious Effects of Environmental Pollutants at a Mechanistic Level (joint with Queen Mary's College, University of London)

£594,411.00 (including £192,867.00 overhead) from the Medical Research Council

The aim of this project is to study at a mechanistic level how environmental pollution -- particularly exhaust emissions -- promote human disease. Of particular interest is the capacity of these agents to induce oxidative stress, DNA damage and activate the Ah receptor, and the project will study how maternal and neonatal exposure to environmental agents (for example, through mother's milk) causes disease in children and in later life.

Professor SM Parkes (School of Science and Engineering)

High-Speed Integrated Satellite Data Systems For Leading EU Industry (Hi-FLY) (joint with Airbus DS GMBH, Airbus Defence and Space SAS, Tesat-Spacecom GmbH and Co, KG, Star-Dundee Ltd, Integrated Systems Development S.A., Kongsberg Spacotec AS, Erzia Technologies SL, Autonomous University of Barcelona, National and Kapodistrian University of Athens, Modus Research and Innovation Ltd and German Aerospace Centre)

£403,171.00 (including £175,380.00 overhead) from EC Horizon 2020 – Industrial Leadership

The Hi-FLY project aims to design and validate innovative technologies for spacecraft on-board data-handling and down-link communication technologies, in preparation for future generations of Earth Observation missions.

Dr AM McFadden (School of Nursing & Health Sciences)

Responsive Vs Schedule Feeding for Preterm Infants in Neonatal Units (joint with the University of York, the Open University, NHS, Bliss)

£313,653.40 (including £113,522.40 overhead) from the NHS National Institute for Health Research

This 21-month study aims to develop and test the feasibility of an intervention to compare responsive feeding (feeding according to baby's feeding cues) with scheduled feeding (feeding according to a strict schedule) for preterm babies in three neonatal units across England and Scotland (Dundee, Coventry and Exeter).

Professor Elaine Shemilt (Duncan of Jordanstone College of Art and Design)

Richard Demarco: The Italian Connection, Exchanges Between Scotland and Italy through Richard Demarco in the European Context

£215, 602.00 (including £129,268.00 overhead) from the Arts and Humanities Research Council

This project will retrace the role of Richard Demarco as an advocate for Europe by exploring the relationships and cultural exchanges between Italy and Scotland through Demarco in the European avant-garde (including visual arts and theatre)

Dr SM McKim (School of Life Sciences)

Mechanisms Underlying Variation in Barley Hull Adhesion

£475,904.97 (including £193,574.41 overhead) from the Biotechnology and Biological Sciences Research Council

This project will investigate why barley grain sometimes loses its husk or 'skins', a highly undesirable trait. The research team will use a combination of advanced genomic, genetic, developmental and chemical approaches to reveal the basis for skinning and possible ways to control it in cultivated barley.

People and Prizes

A project by Hands of X, a multi-disciplinary team including Dr Graham Pullin, Dr Andrew Cook and Eddie Small from the University, was named 2018 Public Engagement Project of the Year at the University's Stephen Fry Awards for Excellence in Public Engagement with Research. The collaboration designs made-to-order prosthetic hands in a range of materials and colours according to the wearers' preference.

Dr Daniel Cook, of the University's English department, was named Engaged Researcher of the Year at the same ceremony, in recognition for the role he has played in bringing the works of Mary Shelley, H.G. Wells and Jonathan Swift to life for new audiences in Dundee, as part of the national Being Human Festival.

Shumei Wang, a PhD student in the School of Life Sciences, has been named Young Plant Scientist 2018 in the fundamental research category by the European Plant Science Organisation (EPSO). She will be presented with her award at the upcoming Plant Biology Europe 2018 conference.

School of Science and Engineering students Tanatswa Jamera, Charlotte Keatch and Oluwatomilola Adekoya recently finished in first place in a prestigious biomedical instrumentation innovation competition held at Suzhou Institute of Biomedical Engineering and Technology (SIBET) in China. The competition saw more than 100 teams compete to design new medical devices. The University's team was one of only two from the UK to be selected to enter.

APPENDIX 2

FINANCE & POLICY COMMITTEE (Minute 53(1)(a))

A meeting of the Committee was held on 30 January 2018.

Present: Andrew Richmond (Convener);
Richard Bint;
Ronald Bowie (by Skype);
Jane Marshall;
Sean O'Connor;
Professor Mairi Scott;
Allan Murray; and
Sharon Sweeney.

In Attendance: Professor Nic Beech (Vice-Principal (Provost))
Jo Elliot (Chair, Audit Committee);
Andrew Hewett (Director of Finance);
Dr Neale Laker (Director of Academic & Corporate Governance).
Kevin Mallett (Deputy Director of Finance)
Dr Jim McGeorge (University Secretary);
Aidan McColgan (Interim Director of Campus Services);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Wesley Rennison (Director of Strategic Planning);
Allan Tough (Head of Procurement) (Item 10)

Apologies: Principal, Professor Sir Pete Downes;
Professor John Rowan (Vice-Principal Research, Knowledge Exchange & Wider Impact)

1. MINUTES

Resolved: to approve the minutes of the meeting of 13 November 2017, including minute 4(4) which was considered as an item of reserved business.

2. MATTERS ARISING

Action Log

The Committee received the action log for its business. In noting the updates provided, the Convener reminded members that the ongoing items linked to the estates strategy and capital plan were to be considered by the Estates Working Group, which would meet in March 2018 once the new Director of Estates & Campus Services was in post.

Resolved: to approve the log and note that the Estates Working Group would meet in March 2018.

3. BALLOT FOR INDUSTRIAL ACTION: USS

The Committee's attention was drawn to the recent communication from the Principal to all staff and students outlining the outcome of the University & College Union (UCU) ballot for industrial action in relation to proposed changes to the Universities Superannuation Scheme (USS). Members noted that the UCU had voted in favour of strike action, and were advised of the dates and nature of the action to be taken. The Committee noted that an assessment of risk was being taken on a School/Directorate basis and that steps were being taken to seek to minimise potential impacts on the student experience and student progression.

Resolved: to note the outcome of the ballot and await further updates in due course.

4. MANAGEMENT ACCOUNTS

The Committee noted that the management accounts for the second quarter (Q2 accounts) would be circulated when finalised in mid-February, and the Director of Finance confirmed that they would include data relating to the January 2018 student intake. He confirmed that he expected to return to more frequent reporting once the Finance

element of the Business Transformation programme was implemented. The Deputy Director went on to outline the monthly cost control analysis processes and reviews which the Finance Directorate continued to perform and reported that these had indicated that progress was being made in recovering the previously-reported shortfall relative to the budget.

Resolved: to note the update and await the circulation of the accounts in due course.

5. UPDATES

(1) Business Transformation

The Committee received the minutes of the Business Transformation (BT) Steering Group meeting on 20 December 2017 and noted that the minutes from the meeting on 19 January 2018 would be shared via BOX when available.

The University Secretary updated members on progress since the last meeting, with members pleased to note that the Interim Enquiry Management system had now gone live and was operating well and that the Finance system remained on track for launch in March 2018.

Members were advised that key UK-specific functionality in the HR system had been delivered in the latest TechnologyOne software drop and that the Business Transformation Team would work closely with the provider in the coming weeks to finalise the timeline for the implementation of the HR and student systems. The Deputy Director of Finance provided an overview of the process of testing and review leading up to the expected launch of the new finance system, and members noted in particular both the challenges and the mitigating actions presented in relation to the timing of the launch and the preparation of the 2018/19 budget.

Resolved: to note the update.

(2) Student Numbers Update

Noting that the timing of the meeting was too early for a formal report on the January 2018 intake, the Director of Strategic Planning provided a brief overview of the emerging patterns. Members were advised that the intake of Taught Postgraduate overseas students was expected to be higher than target, but that this was unlikely to make up the shortfall on the September intake. Members noted that a full analysis would be required before comment could be made on the position relative to the budget. The Director also advised members that International College Dundee (ICD) was expected to meet its year 1 targets.

Turning to the 2018/19 recruitment patterns, the Director informed members that early data suggested that the University had continued to outperform its competitors. Members however noted that it was still early in the cycle, and that a formal report would be provided to the Committee's next meeting.

Resolved: to note that a report would be provided to the next meeting.

(3) Reserved Business: Dundee Student Villages Ltd

The University asserts that this information is exempt from public disclosure and claims exemptions in S.30 and S.33(1)(b) of the Freedom of information (Scotland) Act 2002. Members were therefore required to treat the discussion and associated papers as strictly confidential.

At the point at which the exemptions are deemed to no longer apply the Court will be asked to note the release of this minute which will then be included as an appendix to the minute of that Court meeting.

6. TAY CITIES DEAL

The Committee received a paper outlining the University's two submissions to the regional Tay Cities Deal process ('Growing the Tayside Medical Cluster' and 'Just Tech'), their strategic fit with the University's Strategy and an overview of the City Deal process. Members noted that Heads of Terms were expected to be agreed in late March.

Members also noted the opportunities to scale the bids in the context of the final levels of funding obtained as well as opportunities for integrating certain aspects of the submissions, for example in relation to innovation space. The Committee welcomed the fact that the vast majority of any match funding requirement would be met from existing budgets and noted that more detailed business plans were currently being developed by the bid teams.

Turning to the 'Growing the Tayside Medical Cluster' bid, members noted the risks highlighted in the paper regarding the timing of the NHS decision on an elective treatment centre relative to that of the Tay Cities Deal. Following discussion members were content that the risks were low and being satisfactorily managed.

With regard to the 'Just Tech' bid, members were advised of the strong indications of support for the bid from the UK and Scottish Governments. In response to questions regarding the potential impact of the resignation of Professor Dame Sue Black, the University Secretary advised that the University Executive Group (UEG) was confident that the infrastructure, staff, leadership and critical mass within Forensic Sciences was sufficient to maintain the University's reputation in this area. The Committee noted that the Principal would liaise with the Cities Deal organisers in this respect.

Resolved: to note the update and likely timeframes for decision making.

7. ANNUAL REVIEW OF TREASURY POLICY

The Director of Finance introduced the annual review of the Treasury Policy.

The Director confirmed that following internal review he considered the existing policy to be fit for purpose and the Committee approved the minor amendments proposed. Members noted that the short-term ratings for both Barclays and Handelsbanken had improved, and that both now met the requirements of the policy.

Resolved: to approve the minor amendments to the policy (annex)

8. REVIEW OF BANKING COVENANTS

The Committee received a paper from the Director of Finance setting out the calculations used to measure compliance with the banking covenants relating to the £40m revolving credit facility. The Director reminded members that the calculations and figures were subject to audit by the external auditors and outlined the mechanism for the conversion of the financial results into a pre-FRS102 format which was consistent with the agreed covenants.

Through discussion the Director drew attention to the need to monitor new budgets and three-year plans to avoid breaching Covenant 3 (cumulative variation of operating surplus to projections provided to the Bank of Scotland no more than £2.5m in 2015/16 and £5.0m thereafter), especially given current budget projections for 2017/18. Members however noted the headroom created in the first 2 years of calculations in this respect.

Members were also advised that if the EBITDA (Earnings Before Interest, Taxes, Depreciation and Amortisation) continued at £5m, it would effectively reduce the available facility to £25m. In this respect, members noted that toward the end of the life of the agreement the University's ability to borrow may become restricted by either a change of the surplus profile or the continued EBITDA.

Resolved: to note the update and risks highlighted.

9. CAMPUS SERVICES

(1) Regular Report

The interim Director of Estates & Campus Services presented his regular update on capital projects, focusing on progress with works on the Matthew Building, which remained on time and within budget. The Interim Director also advised that Dundee City Council had issued the completion certificate for the Tower Building cladding project. Members noted that the University would monitor any future changes to building regulations relevant to this project and that two recent false alarms in the Building had demonstrated excellent compliance with evacuation procedures.

Resolved: to note the update and await further reports in due course.

(2) Security Technology Proposal

The interim Director of Estates & Campus Services presented an overview of the Security Technology Plan. Noting that the expenditure detailed within the plan had been previously approved within the overall Capital Expenditure Plan, members were nevertheless interested to learn of the enhancements being

implemented including access controls, CCTV, intrusion alarms, assistance points, radio coverage and revised incident reporting.

Resolved: to note the plan.

10. ANNUAL PROCUREMENT REPORT

The Head of Procurement presented the annual procurement report, highlighting savings and benefits relating to the implementation of Procurement to Pay (P2P), the design and planning of the OneUniversity system, and the implementation of category management. Members noted the significant overall savings achieved through the use of the Advanced Procurement for Universities and Colleges (APUC) framework, and in particular the Head outlined benefits arising from projects focussed on a OneDundee approach to IT equipment, supply of paper, and temporary agency staff. Members were also advised that the University would shortly implement a 'no purchase order no payment' policy and through discussion were satisfied that communications plans were in place to mitigate any potential risk that small suppliers could be disadvantaged. Finally, turning to the proposed roll out of a TS card scheme following a pilot, members were pleased to note the mechanisms for control as well as the advantages in terms of reducing expenses claims and cash advances.

The Committee expressed an interest in areas of potential future savings and noted on-going work in relation to laboratory consumables.

Resolved: to thank the Head of Procurement for his comprehensive report.

11. APPROVAL OF LARGE RESEARCH BIDS

The Committee received a paper from the Director of Finance in which he sought guidance in relation to the route for approval of research proposals valued at £3m or above within the Schedule of Delegation, as recently agreed by Court on the Committee's recommendation.

Having noted the challenges presented by the potentially short timeframe for approvals, the Committee agreed that a standing item on future agendas should indicate (where possible) an outline of items that might require approval before the next meeting. It was further proposed that when approvals were sought this should be in the form of a summary circulated to the Committee no less than 1 week before the submission of the bid, it being acknowledged that there may be some further refinement of the proposals thereafter.

Following discussion of the internal management approvals in place prior to circulation to members, the debate focused on how the Committee could add value rather than simply a further layer of bureaucracy. Attention was drawn to the unpredictability associated with major bids in terms of success rates and the role that experience and professional academic judgment played in reaching decisions. Members therefore asked that the Vice-Principal (Research, Knowledge Exchange & Wider Impact) be invited to deliver a training session to improve their understanding of such matters as well as the internal management and governance processes in place, and suggested that application summaries should be accompanied by a clear recommendation from officers arising from the scrutiny of the applications by *inter alia* the relevant School Executive Group, the Finance & Procurement Office, the Research Committee, the Vice-Principal (Research, Knowledge Exchange & Wider Impact), the Deans' Group and UEG. Through discussion members recognised the value of this pre-existing assurance process and indicated that they found it unlikely that they would reject applications which had been appropriately reviewed and recommended for approval. Moreover it was felt by the Convener that whilst the Schedule of Delegation had needed to be changed in this area to improve governance structures, the actual policies in place far exceeded what the previous Schedule had required.

In closing discussions, members highlighted the need for their involvement to be proportionate and to add value, and suggested that the process be reviewed after a relatively short period of operation.

Resolved:

- (i) to ask that the Vice-Principal (Research, Knowledge Exchange and Wider Impact) provide a training session for members;
- (ii) to ask that the agenda include a standing item highlighting major grant applications likely to be submitted in the next 2 months;
- (iii) to agree that all application summaries requiring approval be circulated to members at least 1 week before the submission, accompanied by a clear recommendation arising from the internal consideration process; and

- (iv) otherwise to recommend that the Committee review the process after a relatively short period of operation.

12. **RESERVED BUSINESS: PENSION SUB-GROUP**

The Committee received the minutes from the meeting of the Pensions Sub-Group on 13 November 2017, their telephone meeting on 19 December 2017, and of their meeting with UoDSS Board of Trustees on 1 December 2017.

Resolved: to note the report

13. **ENDOWMENTS SUB-COMMITTEE**

The Committee received the minutes of the meeting of the Sub-Committee on 22 November 2017.

Resolved: to note the report.

14. **USE OF DELEGATED AUTHORITY**

The Committee noted 4 instances of use of delegated authority by the University Secretary and Director of Finance since the last meeting.

Resolved: to note the update.

15. **DATE OF NEXT MEETING**

The Committee noted the next meeting of the Finance & Policy Committee was scheduled for 27 March 2018.

Noting that the meeting would be the last meeting of the Committee for the current Director of Finance, the Convener thanked the Director on behalf of the Committee for his work, and members noted that the Convener expected to work with an interim Director to progress key issues until such time as a successor was appointed.

Resolved: to note the date.

Extract of Treasury Management Policy

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3.3 ~~FINANCIAL CONTROLLER~~ HEAD OF REPORTING

The ~~Financial Controller~~ Head of Reporting will:

- Receive and review weekly fund reports.
- Manage treasury management resources and skills, and the effective division of responsibilities within the treasury management function.
- Supervise treasury management staff.
- Identify and recommend opportunities for improved practices.
- Authorise the execution of transactions in accordance with loan covenants and University payment policy procedures.
- Provide cover for the Treasury ~~Manager~~ Accountant.

3.4 ~~TREASURY MANAGER~~ ACCOUNTANT

The Treasury ~~Manager~~ Accountant will:

- Execute transactions.
- Adhere to agreed policies and practices on a day-to-day basis.
- Maintain relationships with third parties and external service providers.
- Prepare and maintain systems documentation relating to the treasury function.
- Monitor cash flows on a daily basis.
- Submit management information reports to the Director of Finance as required.
- Prepare weekly fund reports.

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Version control

Version number	Date	
2.01	26 March 2012	Review by A Hewett and changes arising from internal audit review dated 21 November 2011
3.00	26 March 2012	Approved by Finance Committee
3.10	25 March 2013	Use of AAA rated money market funds added to investment options – Finance and Policy Committee 25 March 2013 Addition of Santander to approved list of institutions – Finance and Policy Committee 21 January 2013
3.20	24 March 2014	Proposal to F&P Committee to increase limits with Lloyds and Santander. Clarification on credit rating requirements.
3.30	24 March 2014	Changes approved by F&P Committee
3.40	18 August 2014	Proposal to F&P Committee to cater for increasing Euro balances
4.10	9 March 2017	Changes to reflect new Bank of Scotland revolving credit facility
4.20	19 January 2018	Minor changes by A Hewett to reflect changes in structure within Finance and Procurement.

The full policy is available from: [Treasury Management Policy](#)

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APPENDIX 3

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 53(2))

A meeting of the Committee was held on 30 January 2018.

Present: Ronald Bowie (Convener) (by Skype);
Richard Bint;
Jane Marshall;
Professor Mairi Scott;

In Attendance: Dr Neale Laker (Director of Academic & Corporate Governance).
Dr Jim McGeorge (University Secretary);
Dr Christine Milburn (Policy Officer (Corporate Governance))

Apologies: Principal, Professor Sir Pete Downes;
Bernadette Malone;
Professor Karl Leydecker (Vice-Principal (Learning & Teaching))
Toni McKinney;
Phil Welsh.

1. MINUTES

Resolved: to approve the minutes of the meeting of 13 November 2017.

2. MATTERS ARISING

(1) Action Log

The Committee received an action log summarising progress in relation to outstanding actions from previous meetings. The University Secretary confirmed that the two items in the log listed as 'ongoing' would be addressed through work relating to the implementation of the Scottish Code of Good HE Governance and that he expected papers to be brought forward for consideration either at the meeting of the Committee on 27 March, or failing that at the meeting of the Committee on 15 May 2017.

Resolved: to note the log.

(2) Appointment of a New Chancellor (Minute 2(2))

The Convener updated members on progress with identifying a new Chancellor. Members noted that the preferred candidate identified by the Chancellor's Appointing Committee had agreed to accept its invitation to become the University's next Chancellor subject to ratification by the Senate and the Court at their respective meetings on 31 January and 20 February 2018. The Convener advised that the individual had expressed great enthusiasm for the role and shown an affinity for the University's values.

Resolved: to note the update.

(3) UoDSS Employer Nominated Pension Trustee (Minute 6)

The University Secretary confirmed that the panel established to interview candidates for the remunerated position of Employer Nominated Pension Trustee of the University of Dundee Superannuation Scheme (UoDSS) had identified Mr Allan Martin as its preferred candidate. Members noted that Mr Martin had met with the Chair of the Board of Trustees for UoDSS and that terms of engagement had subsequently been agreed.

The University Secretary also informed members that Emeritus Professor Ian Ball had stepped down and Lesley Sinclair had indicated her intention to step down in the near future as Employer Nominated Pension Trustees for UoDSS. Members acknowledged the contributions of these individuals and asked the University Secretary to give thought to potential suitable replacements for consideration at the Committee's next meeting on 27 March 2018.

- Resolved:**
- (i) to ratify the decision to nominate Mr Allan Martin as an Employer Nominated Pension Trustee for the UoDSS Board of Trustees; and
 - (ii) to ask that the University Secretary bring forward nominations to replace Professor Ball and Ms Sinclair as Employer Nominated Trustees.

(4) Lay Vacancies (Minute 7(1))

The Policy Officer (Corporate Governance) updated members on the level of interest to date in the two lay vacancies arising on the Court from 1 August 2018. Members noted that a full analysis of applications would be provided at their next meeting, and that shortlisting would be carried out by the full Committee on 21 February 2018.

Resolved: to note the update.

3. **CONVENER'S UPDATE**

The Convener reported on the Committee of Scottish Chairs meeting with the new Chair of the Scottish Funding Council (SFC), Mike Cantlay, and in particular members discussed the importance of engaging directly with the Scottish Government to raise awareness of the University's achievements, strengths, strategy and vision.

The Convener also confirmed that he had been appointed to the Committee of University Chairs (CUC) advisory group which was reviewing the 2014 joint CUC, UUK and LFHE¹, EAUC² Resilience Guide for university governors. He told the Committee that this group would focus on the business benefits of building social, economic and environmental resilience into the future of universities, and that he would update the Committee at future meetings.

Resolved: to note the update.

4. **DEPUTY CHAIR OF COURT**

The Convener informed members that expressions of interest had been received from two members of the Court in relation to the upcoming vacancy in the role of Deputy Chair. He advised that both had subsequently submitted strong supporting statements and that he would now meet with them individually to discuss their applications.

Resolved: to note the update and await further discussion at the meeting on 27 March 2018.

5. **APPOINTMENT OF THE CHAIR OF COURT**

[Secretary's note: *The Convener, in his capacity of Chair of Court highlighted his conflict of interest and left the meeting for the duration of the item*].

The Director of Academic & Corporate Governance reminded members that the Chair of Court's current term of office would end on 31 July 2019. Noting that initial advice suggested that an election required to be held, members agreed that formal legal advice should be sought to clarify if the current Chair of Court was eligible to be considered for renewal following changes to legislation and Ordinances during his period of office. Members agreed to discuss this matter at their next meeting on 27 March 2018 once the advice was received. In any case the Committee asked officers to in the meantime continue to prepare guidance and regulations required for any future election for review by the Committee.

- Resolved:**
- (i) to ask officers to seek formal legal advice regarding the eligibility of the current Chair to be considered for renewal of his appointment; and
 - (ii) otherwise to ask officers to develop the regulations and guidance required for an election.

¹ Leadership Foundation for Higher Education. (<https://www.lfhe.ac.uk/>)

² Environmental Association for Universities and Colleges. (<http://www.eauc.org.uk/home>)

6. SCOTTISH CODE OF GOOD HE GOVERNANCE

(1) Draft Action Plan and Schedule

The Director of Academic & Corporate Governance introduced a paper which outlined the proposed timelines for the implementation of changes required to achieve compliance with the Scottish Code of Good HE Governance (2016). In doing so he drew members' attention to a number of specific areas where the Committee's input was requested.

Turning to the requirements of principle 1:10, that *'the governing body must satisfy itself that the institution's policies and actions are sustainable, taking into consideration their impact on the environment, on the wellbeing of its students and workforce, including health and safety issues and fair working practices, and on other communities, whether local or more distant'*, the Committee noted a number of ways in which this requirement was already being met. Through discussion members noted that given the complexity and potentially broad nature of the consideration points in the principle it would be useful if the definition could be interpreted consistently at a sector level.

The Committee also discussed principle 4:33 *'Institutions must work to eliminate unlawful discrimination, promote and facilitate equality and foster good relations across all protected characteristics. The governing body is expected to show leadership in pursuing these actions'*. The Committee noted existing arrangements in this regard, particularly in relation to the work of the Equality & Diversity Committee, which provided regular reports to the People & Organisational Development Committee of the Court and had clear action plans linked to the University's Public Sector Equality Duty. Members were advised that a working group with DUSA was considering how to improve the visibility of reporting, support and training relating to sexual misconduct. Members also noted that the Staff Survey would also provide an indication of how staff felt about the University's commitment in this area.

Turning to the areas of the Code relating to the performance management of members of the Court, the Committee discussed options to enhance existing processes and asked officers to develop proposals and supporting forms for consideration at the next meeting.

The Committee also gave consideration to the principles which related to the work of the Remuneration Committee. Noting that the Convener of the Remuneration Committee was unable to attend the meeting, the Committee agreed to defer discussions until such time as she was able to provide input on behalf of the Remuneration Committee.

- Resolved:**
- (i) to ask that officers document existing policies/activities which related to principles 1:10 and 4:33;
 - (ii) to ask officers to develop proposals for the performance management of Court members for consideration at the next meeting; and
 - (iii) to defer discussions relating to the work of the Remuneration Committee until the next meeting on 27 March 2018.

(2) Public Meeting

The Committee considered options for the first public stakeholder meeting of the Court, in accordance with principle 5:43 of the Scottish Code of Good HE Governance (2017). Members agreed that in steady state the meeting should be held around the time of the Discovery Days in January each year, which would enable engagement with a larger number of stakeholders at a time when the financial statements and annual report were newly approved.

Following review of potential opportunities for an interim event to be run during the 2017/18 academic year, members agreed that it would be preferable not to do so and instead to focus on the inaugural public stakeholder meeting of the Court taking place in January 2019. The Committee asked that officers continue to develop proposals for the format for the event for review at the meeting on 15 May 2018.

- Resolved:**
- to endorse to the Court the proposal that the first public stakeholder meeting be held in January 2019 alongside the Discovery Days and ask officers to develop proposals for the event for consideration at the meeting of the Committee on 15 May 2018.

7. UNIVERSITY COURT BUSINESS**(1) Early Stage Court Business**

The Committee received a copy of the provisional agenda for the Court meeting on 20 February 2018 and noted a number of additional items which may come forward from the business of Court committees that had yet to meet.

Resolved: to note the provisional agenda.

(2) Narrative for Court

The Committee agreed that in its communications with the Court it wished to highlight its discussions relating to:

- the importance of influencing stakeholders,
- progress in relation to the implementation of the Scottish Code of Good HE Governance (2016),
- proposals relating to the public stakeholder meeting of the Court, and
- its views on the draft Committee of University Chairs (CUC) Remuneration Code (below).

Resolved: to agree the narrative for Court as detailed in the minute above.

8. CONSULTATION ON DRAFT CUC REMUNERATION CODE

The Committee received a copy of the Committee of University Chairs (CUC) draft HE Remuneration Code. The Committee was broadly supportive of the draft Code and, noting that the Remuneration Committee was also considering the document, agreed that the University should make a response to the consultation. Members went on to highlight areas where it was felt that the draft Code could be improved, in particular in relation to the need to accommodate differences in the governance requirements of English and Scottish HE sectors. Members also suggested a number of areas which the Code did not address, or where it could be clarified or be firmer. The Committee also discussed risks presented by the wording of some recommendations and highlighted the importance of ensuring that the Code fully addressed the public mood.

Resolved: to ask the University Secretary and Director of Academic & Corporate Governance to work with the Convener of the Remuneration Committee to develop a response for submission.

9. DATE OF NEXT MEETING

The Committee noted the next meeting of the Governance & Nominations Committee was scheduled for 27 March 2017, but that the Committee would next meet for the purpose of shortlisting for lay vacancies on 21 February 2018.

Resolved: to note the date of the next meeting.

APPENDIX 4

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE (Minute 53(3))

A meeting of the Committee was held on 1 February 2018.

Present: Shirley Campbell (Convener);
Janice Aitken;
Anne Anderson;
Dr William Boyd;
Professor Tim Kelly;
Bernadette Malone;
Dr Alison Reeves;
Dr Jean Robson;
Denis Taylor

<u>In Attendance:</u>	Professor Nic Beech	Vice-Principal (Provost);
	Dr Nicholas Helps	Head of Safety Services (items 1-3);
	Damian Leddy	Deputy Head of Safety Services (items 1-3);
	Dr Jim McGeorge	University Secretary;
	Pamela Milne	Director of Human Resources and Organisational Development;
	Dr Liz Rogers	Assistant Policy Officer (Risk and Audit);
	Julie Strachan	Deputy Director of Human Resources & Organisational Development.

1. MINUTES

Resolved: to approve the minutes of the meeting on 20 November 2017.

2. MATTERS ARISING

(1) Action Log

The Committee considered a log of ongoing actions. Members were content that the log offered a comprehensive record of outstanding actions and noted progress updates. Through discussion members recommended that the action pertaining to the Equality & Diversity outcome plan be amended to confirm that the Committee would review the Equality & Diversity objectives and proposed outcomes at its next meeting on 24 May 2018.

It was agreed that in future proposed completion dates would be introduced within the log for all actions currently listed as 'ongoing'.

Resolved: subject to the aforementioned amendment, to approve the People & Organisational Development Committee action log as presented.

(2) Absence Management

Members reviewed a report from the Deputy Director of Human Resources & Organisational Development which provided a breakdown of sickness absence by School/Directorate for the year 1 August 2016 to 31 July 2017. In response to questions members were informed that the information had been disseminated to the University Executive Group, the Deans Group, the Professional Services Group and to the Health & Safety Sub-Committee for further action as required.

The Director of Human Resources & Organisational Development informed the Committee of ongoing work in this area, including the development of a University-wide mental health strategy. She also informed members that health and wellbeing had been identified as one of three key themes emerging from the University Strategy to 2022, and that it would therefore be a key component in the new operational plan for Human Resources.

Members welcomed the data but indicated that it would be valuable for a narrative to be included in future reports to provide context to the data along with reference to what actions were being taken to address the findings.

Members noted that the new Business Transformation system for HR & Payroll would provide enhanced reporting capability in the future and that work was ongoing in relation to the implementation of a self-service element of absence recording. Through discussion the Director of Human Resources & Organisational Development highlighted considerations relating to the effectiveness of the latter facility, particularly as she suspected there could be an existing cultural issue whereby sickness absence was under-reported by academic staff. Members were however pleased to note that the implementation of the proposed 'People dashboard' would enable managers to assess the absence rate in their own School/Directorate.

- Resolved:**
- (i) to ensure a narrative and, where required, associated actions would be included in future reports to the Committee;
 - (ii) to review the Sickness Absence Policy at the meeting on 27 September 2018; and
 - (iii) to note the update.

3. **HEALTH AND SAFETY**

The Head and Deputy Head of Safety Services attended to present the annual Health & Safety report. In presenting the report the Head of Safety Services drew attention to data relating to the reduction in student injuries, and informed members that he would be reviewing relevant health & safety policies in the coming year. He also informed the Committee that the University average level of accidents was consistent with the sector average.

Following discussion of the data provided, members suggested that it would be helpful if future reports included confirmation that a root cause analysis had been undertaken where numbers were low to enable members to evaluate the effectiveness of existing procedures and ensure institutional learning from reported incidents. In response to questions relating to data detailing injuries/accidents involving visitors the Head of Safety Services confirmed that these instances related, in the main, to injuries incurred by external members of the Institute of Sport & Exercise, but noted the suggestion that further analysis of these data would be valued by the Committee.

The Committee's discussions then focussed on the completion rate for mandatory Health & Safety training for new staff, which at 68% was considered to be low. Following discussion, it was agreed that non-completion within an appropriate timescale should be reported directly to the Dean/Director/School Manager for immediate action, with further non-compliance regarded as a formal disciplinary matter. The Convener drew members' attention to the importance of the safety agenda as a vital part of the University Strategy to 2022 in relation to 'enabling people to flourish' and 'valuing people', and the Committee noted that the issue of the revised approach to ensuring completion of Health & Safety training would be brought to the attention of the Deans Group and Professional Services Group.

- Resolved:** to note the update.

4. **CONVENER'S REPORT**

The Convener reported that she had attended the usual pre-meeting with officers, had contributed to the Remuneration Code Consultation and had attended the meeting of the Remuneration Committee on 27 November 2017.

- Resolved:** to note the update.

5. **BALLOT FOR INDUSTRIAL ACTION: USS**

The Committee reviewed a paper summarising the outcome from the local UCU ballot for industrial action. The Committee noted that the proposed UK-wide strike action dates would be 22-23 February; 26-28 February; 5-8 March; and 12-16 March 2018. The Director of Human Resources & Organisational Development informed members that Schools and Directorates had been provided with information on relative levels of union membership within their area which would help inform an understanding of those areas most likely be impacted by strike action and that risk assessments and mitigation plans would be developed in order to seek to protect the student experience wherever possible. Members learned that the University would be communicating with the unions and staff to ensure that the University's position on pay deductions and related issues was clear.

The University Secretary informed the Committee that the Principal had made a statement at the meeting of Senate on 31 January 2018 in which he had noted the strength of feeling among some staff in relation to the matter, recognised that staff had the best interests of students at heart and confirmed that he had no wish to see this national issue inflamed or escalated locally.

The Committee learned that open meetings for staff with an external actuary had been arranged by Human Resources to help them to understand the differences between a Defined Benefit and a Defined Contribution pension scheme. The position of DUSA had not been confirmed at the time of the meeting, but it was noted that there was a possibility that DUSA would support the strike action.

One member drew attention to their desire to maintain a degree of tolerance and sympathy with staff taking action on this issue and to reflect this in the tone used in communications. The Director of Human Resources & Organisational Development noted this suggestion and emphasised that in both the materials provided to the Committee and future communications with staff and students the University's focus would be on providing factual information.

Resolved: to note the update.

6. STAFF SURVEY

The Committee reviewed a timeline for the publication of staff survey results, noting that the Capita presentation would take place on 8 February 2018, and that members were welcome to attend this and any of the other scheduled presentations.

Discussions focused on the process for analysing the staff survey results and the role played by the Committee. One member felt that the Committee should take the lead in the University's response to the staff survey, but the others considered that it was management's responsibility (through Deans, Directors, the University Executive Group and discussions with staff and the campus unions) to evaluate the survey and bring forward proposals for action to the Committee and Court to review and provide input. The Committee stressed its assurance role, explaining that members needed to be content that the University was taking the results seriously and putting in place clear actions, objectives and desired outcomes where required.

It was agreed that the 2017 results would allow an analysis to be undertaken by management of the effectiveness of the actions taken as a result of the previous staff survey in 2015. The Director of Human Resources & Organisational Development agreed to incorporate this into the report on the staff survey results.

Noting the open invitation to members of the Committee to attend the Capita presentation and the fact that the results would be made available to members on BOX, it was suggested that thereafter the Committee should have the opportunity to discuss the University Executive Group's analysis of the outcomes once available. The Committee would then have the opportunity to discuss management's analysis and accompanying raw data.

The University Secretary drew attention to the fact that there was a range of additional data available in relation to OSaR completion rates, statistics on compliance with health & safety and equality & diversity training and absence management levels that might be brought together with the School and Directorate level results of the staff survey to provide a view on the overall performance of Schools and Directorates in managing their people. The Convener welcomed this suggestion and proposed that an extra meeting of the Committee solely to discuss the staff survey be scheduled in March.

Members also stated that the process for the review of the staff survey results could align to that used for the National Student Survey. Members asked that the timetable incorporated a session where members would be invited to consider actions undertaken as a result of the previous staff survey, in order to review the effectiveness of these actions, in advance of new actions being developed. It was agreed that the Director of Human Resources & Organisational Development would review the timetable on this basis and circulate it electronically to the Committee. It was also agreed that the Committee workplan should be revised to include biannual reviews of actions arising from the staff survey results.

Resolved:

- (i) to arrange an extra meeting to discuss the Staff Survey results;
- (ii) to circulate a revised timetable electronically;
- (iii) to revise the Committee workplan to include biannual review of actions arising from the Staff Survey results; and

- (iv) to note the update.

7. OSaR REPORT/PERFORMANCE MANAGEMENT REPORT

The Committee reviewed a paper outlining the OSaR completion rates across Schools and Directorates. Members noted that the completion rates in Professional Services had been generally very good, although the Finance & Procurement directorate's completion rate had been a little lower than desired. It was noted that this was most likely due to the ongoing work under Business Transformation. The University Secretary informed members that he would make clear to the incoming Directors of Estates & Campus Services and Finance that OSaR completion rates were an area of priority.

Members noted that completion rates were more variable across Schools. The Vice-Principal (Provost) explained that in the case of the School of Dentistry, the OSaR work seemed to have been completed but not recorded and that there has been an improvement in the completion rate in the School of Life Sciences. Members learned that training on carrying out OSaRs was available to all managers and that the process for ensuring OSaR completion in Schools would be reviewed.

Members felt that the University should have a zero-tolerance approach when it came to completion rates as an OSaR was a key staff entitlement. It was suggested that this could be built into appraisals for managers, and in turn, could then impact on their eligibility for rewards, for example through the annual promotion and remuneration processes. Members questioned if there had been any recurring themes on non-completion of OSaRs and suggested that trend data be compared over the past two years. The Committee stated that it needed assurance in terms of whether the actions taken to improve OSaR completion rates had been effective, and reiterated the fact that reports should come with a narrative analysis and explanations where relevant.

- Resolved:** (i) to await a report analysing the effectiveness of actions taken to increase OSaR completion rates; and
- (ii) to note the update.

8. ORGANISATIONAL CHANGE AND STRATEGIC PROJECTS

The Committee reviewed an update on organisational change and strategic projects for the period November 2017 to January 2018. Members noted progress on the review of the Health & Informatics Centre and the completion of the reviews in the School of Art & Design and Development & Alumni Office (External Relations), noting that there had been no job losses to date.

- Resolved:** to note the update.

9. BUSINESS TRANSFORMATION

Members noted that minutes from the Business Transformation Steering Committee were available on BOX. The Director of Human Resources & Organisational Development informed members that the 'go-live' remained on track for 5 March 2018 for Finance and that the Human Resources and Payroll system project was progressing.

- Resolved:** to note the update.

10. ANNUAL WORKFORCE REVIEW

Members viewed the current staffing profile of the institution. Members commented that the format of the report had been helpful.

- Resolved:** to note the update.

11. COMMITTEE REPORTS

- (1) Local Joint Committee

The Committee noted the minutes from the meeting of the Local Joint Committee meeting on 15 January 2018.

- Resolved:** to note the minutes.

(2) Equality & Diversity Committee

The Committee considered the minutes from the meeting of the Equality & Diversity Committee meeting on 15 January 2018. Members noted that the completion rate for equality & diversity training mirrored that of health & safety training at 68%.

Members sought clarity on references to the new equality & diversity webpages, learning that these would be separate from the Human Resources pages to ensure equality & diversity would be readily accessible and visible on the University website.

Members also expressed an interest in ongoing work on accessibility across the University campus, and it was agreed that the Head of Disability Services would attend a future meeting to provide an update on progress in this area.

The Committee noted that the Athena SWAN action plan would go to the Equality & Diversity Committee and then come to the People & Organisational Development Committee for review.

- Resolved:**
- (i) as with Health & Safety training, to ask the University Secretary to report completion rates to the University Executive Group;
 - (ii) to invite the Head of Disability Services to attend a future meeting;
 - (iii) to await the Athena SWAN action plan; and
 - (iv) to note the minutes.

(3) Health & Safety Sub-Committee

The Committee viewed the minutes of the Health & Safety Sub-Committee meeting on 17 January 2018.

- Resolved:** to note the minutes.

12. **NARRATIVE FOR COURT**

Members discussed what items should be brought to the attention of Court at its next meeting, and agreed that in addition to highlighting the Committee's role in the staff survey, the Convener would report on: the completion rates for health & safety training, the completion rates for OSaRs and the completion rates for equality & diversity training.

- Resolved:** to note the update.

13. **DATE OF NEXT MEETING**

- Resolved:** the next meeting would be held on Thursday 24 May 2018.

APPENDIX 5

**REMUNERATION COMMITTEE ANNUAL REPORT
(Minute 53(4))**

1. The University Court delegates authority to the Remuneration Committee to approve the remuneration strategy and policy framework for all grade 10 staff, including the Principal and the University Executive Group (UEG). The Remuneration Committee is then responsible for considering the remuneration of members of the UEG, but delegates authority to UEG for the application of the Remuneration Policy and Procedure for all other grade 10 staff. The Remuneration Committee can confirm to Court that all policies and procedures have been followed in relation to the 2017 senior staff review.

2. The Remit and Terms of Reference for the Remuneration Committee are as outlined [here](#).

3. The current membership of the Remuneration Committee comprises:

Bernadette Malone (Chair)
Richard Bint
Ronnie Bowie
Shirley Campbell

The Committee met once for the 2017 Remuneration Round on 27 November 2017 and all members were present. The minute of this meeting which included the breakdown of awards for 2017 was considered by Court on 11 December 2017 and will be published in due course.

4. The University's approach to senior staff remuneration was reviewed in 2015 and since then, year-on-year, the Committee (supported by officers) has made significant progress in fully implementing the new Policy and Procedure. There has been, over this period, a radical shift in the University's approach to senior staff pay.
5. Senior staff salaries are reviewed on an annual basis; senior staff being defined as all of those on grade 10 on the University's pay and grading structure which comprise salaries on or above £58,655. This group typically consists of Professorial members of academic staff in Schools and senior Professional Services staff. This group of staff receives contractually any nationally-agreed pay award in the same manner as all other staff.
6. The annual round of review for senior staff, however, deals with recognition for exceptional performance of grade 10 staff and takes account of the fact that incremental progression, accelerated advancement and contribution-related points are not available to these staff. Any agreed increases are implemented on 1 October each year.

Approach to Remuneration

7. As part of the University's Transformation vision, five core values were defined:

- Valuing people
- Working together
- Integrity
- Making a difference
- Excellence

These values are at the heart of every action and every decision made including guiding decisions regarding remuneration.

8. **Retention:** There is no doubt that other institutions look to Dundee as a possible recruiting ground for good staff and over the last 12 to 18 months, a small number of our high performing staff have been lost to other institutions. It is very important therefore that the salaries of our senior staff remain competitive. The University's continued strong performance in league tables and other nationally-recognised measures such as the NSS has not gone unnoticed across the sector and we might suppose that this will increase the risk of some of our best leaders being approached for positions elsewhere. There needs to be a continuing improvement in practice in relation to making sure that attention is paid to the salary levels of our high performing staff to ensure that we remain competitive at this level.

9. **Succession Planning:** Developing our future leaders and ensuring that robust plans are in place for their career progression is also essential. Each Dean and Director considers this issue for their School/Directorate details their plans for succession, as part of their salary reports.
10. **Benchmarking:** The salaries of senior staff at Dundee are benchmarked against the salaries of other senior staff at other HE institutions and is part of the remuneration process. The benchmarking surveys referred to comprise: the annual Senior Staff Remuneration Survey conducted by the University and Colleges Employers' Association (UCEA) and, for the Principal, the annual Vice-Chancellor salary survey carried out by the Committee of University Chairs (CUC).
11. **Internal Relativities:** An internal analysis of: salary distributions, performance and contribution to the strategy by staff in Schools, Directorates, Deans, Directors and UEG is also considered as part of the senior staff salary review.
12. **Range of salary increases:** The salary increases awarded through the senior salary review process are: £2,000, £3,000 or £5,000.
13. **Gender Pay Gap:** Particular attention is paid to issues of gender pay. In Scotland, under the Public Sector Equality Duty, it is now a requirement to publish the gender pay gap for the organisation as a whole (which the University has done, with this being 23.78% in favour of males in 2016). The Remuneration Committee received a further more detailed analysis which had been carried out in relation to the gender pay gap with specific focus on the grade 10 salary band. It was noted that the grade 10 was a very broad grade covering a large range of salaries but, when it was sub-divided into 'like for like roles' there was no significant pay gap. It was also noted that in several 'like categories; (for example, Vice-Principals and Deans) the gender gap was currently in favour of women, but acknowledged that the absolute number of women at each level was low and the focus had to be recruiting and promoting more women into senior positions.
14. **Performance Ratings:** Each individual member of staff will receive a rating. This is arrived at after a review discussion, which is largely about performance and whether objectives have been met or not. Each Dean and Director details this on the salary report for their School/Directorate.
15. **Future considerations:** A number of Universities have introduced a banding structure within grade 10 and the Remuneration Committee will explore the benefits and challenges of introducing a banding structure at its next meeting, where it will receive a presentation from the HR Director of Glasgow University which has already introduced such a system.

It should also be noted that the HR strategy and action plan will continue to support the Transformation Agenda and will continue to have a strong focus on continuing to improve performance management and thus the performance of all. This will include the 'joining up' of a new workload model with performance and reward and ensuring that in particular, academic staff time is aligned to support the University's overall strategic priorities. In order to deliver the Vision, focus has remained on continuing to improve performance and developing leadership capacity and capabilities. All of these things support the University's core values of valuing people and excellence. Remuneration and reward need to be part of this strategy.

Current Context and Outlook for the HE Sector

16. Pay for senior staff has been a contentious issue in most sectors across the economy. There continues to be an annual interest in the remuneration of senior staff in Universities with particular focus being given to the remuneration of the Principal & Vice-Chancellor, in addition to a focus on equal pay issues for senior women and BME staff in Higher Education. This focus has continued this year and is a very 'live' issue both with Chairs of governing bodies (CUC) and Government. There is currently a UK sector-wide review and development of a Remuneration Code by CUC, which is out for consultation.

There is no doubt that the University will continue to face challenging times ahead. No assurances are forthcoming from the Scottish Government regarding future funding for the HE sector and further financial constraint continues to be the context here. The position in England is increasingly competitive and ever-changing. Competition for international students remains fierce and there is uncertainty regarding the outcome of Brexit in relation to both staff and student recruitment. At Dundee only 33% of our funding comes direct from the Scottish Government, meaning that we must compete effectively against other institutions in Scotland, the UK and overseas for two-thirds of our income which comes from both public and private sources.

Current Performance of the University

17. Set against this background, the University continues to work towards delivering its very ambitious 'Transformation Agenda' that will support: the delivery of the Vision for the University, the 'big goal' to become Scotland's leading University and the focus on excellence. The University Strategy for the next 5-year period has recently been approved by Court and the KPI/Performance Measures are in the process of being finalised. The Business Transformation programme is now well underway to ensure efficient, single processes and approaches are adopted by the University supported by and making best use of a new Integrated Business System (IBS).
18. During this year, a number of major change projects have come to fruition including: the new International College, now up and running, and successfully recruiting students for the first time; a successful recruitment round for the University's new School of Business both in terms of student recruitment and new staff appointments being made in this area; a review of research performance and REF-readiness has been completed; and progress with the Business Transformation project. Return on investments have also been evident in the Directorates of UoDIT and External Relations.
19. Over this last year, staff have continued to work incredibly hard in order to keep business going as usual, support the business transformation programme and deliver excellent results in terms of student recruitment. In order to ensure the continued delivery of successful outcomes, it is vital that the University is able to hold on to key staff. One of the main challenges for the whole University is to achieve the balance between dealing with continual change, striving for and maintaining the excellence agenda and achieving financial sustainability.
20. Turning to other aspects of performance, despite the many challenges facing the University at the moment, just some of the positive achievements for 2017 were:
 - Scottish University of the Year 2016 & 2017 (Sunday Times Good University Guide).
 - UK's top 'Young University' 2017 (THE Young University Rankings).
 - One of THE's 'NSS top tier' universities.
 - One of only 12 universities to have both TEF Gold and Times Higher world top 200.
 - 85% graduate level employment or further study (top 10 in the UK).
 - Shortlisted for THE 'University of the Year 2017'.
 - Continued rise in all league tables, in particular 23rd in the Times/Sunday Times Good University Guide (compared to 45th in 2014).
21. Undergraduate student numbers remain buoyant and the University has performed outstandingly in achieving the wider access recruitment targets set by Government and the SFC. Nonetheless, there is concern around post-graduate and international student numbers and the impact of BREXIT and immigration policy, particularly on international recruitment of both staff and students.
22. In relation to excellence in Research and Innovation in particular, the University is ranked among the top 25 most innovative universities in Europe and first in Scotland, in the ranking produced by Reuters. Reuters say their list of Europe's 100 most innovative universities 'identifies the educational institutions that are doing the most to advance science, invent new technologies and help drive the global economy.' The outgoing Vice-Principal for research completed a review process for the annual assessment of research in preparation for delivering an improved performance in the next REF round.
23. Learning and Teaching in the National Student Survey also had some excellent results in relation to overall satisfaction being at 90% and for the second year running being in the Top 10 in the UK for Student Experience.
24. The results of the 2017 Staff Survey have just been released and there are a number of very positive results. Whilst not being complacent in relation to areas where work is still required to be done, the overall results have improved since the last survey was conducted.
25. In addition to the above University-wide performance, there are of course outstanding individual academics and academic teams who have achieved excellence in their respective areas of work and equivalent levels of performance across the professional Services.

Financial Considerations

26. All of the above is set against a financial context whereby the University is facing rising costs and a trend of falling income. Whilst the financial deficit position which was forecast for 2016/17, did in the end turn into a small surplus, further deficits are being projected for 2017/18 and 2018/19. In addition, the University has an annual turnover of £244m, and an annual salary bill of £142m, which means that 56.6% of turnover is spent on staff costs. It is clear

that this position is not sustainable. However, plans are in place to increase income through international recruitment and other projects including the Business Transformation programme, which has an expected return on investment over 5 years of £26.25m.

27. The nationally-agreed pay award for 2017/18 is 1.7% payable from 1 August 2017.
28. The future outlook for research income remains very challenging on a UK wide basis. However, the University continues to do well in winning external grants and contracts, with income for 2016/17 being £73.9m.
29. Given all of the above, the University Executive Group (UEG) felt that in 2017 it should continue to give very careful consideration to senior staff reward and continue to demonstrate restraint but should not forego the ability to reward senior staff. Not to recognize and reward excellent performance would send out the wrong message and would not help retain the best staff here in Dundee and indeed, may contribute to staff who are delivering exceptional levels of performance, leaving to go to other institutions that are not adopting such an approach to reward. Given the very positive outcomes against many measures, particularly in terms of external judgements on performance such as league tables, UEG felt strongly that there should continue to be focused investment in senior staff, in order to give recognition where this is due and continue to motivate senior staff to continue to deliver in an increasingly challenging environment. Given that a framework has been developed and is now operating, which identifies key features of performance which are important to the University and aligned to our strategic goals and aspirations, it is very important that staff who had contributed in this way should be rewarded. In addition, the review includes the opportunity to identify any equal pay issues which should be addressed.
30. In its own considerations, UEG took account of all the relevant factors, in particular the balance between the need to reward and retain senior staff who are making a major contribution to the achievement of the University's strategy and the need for continued financial prudence. Thereafter, UEG consulted with the members of the Remuneration Committee and confirmed that it is Remuneration Committee's intention to oversee the process in line with the terms agreed by Court in 2015. On that basis, UEG (with Remuneration Committee's support), recommended to Finance & Policy Committee that a sum of £140,000 (full year effect) be included in the 2017/18 budget for senior remuneration awards, which was approved. Given awards made are part way through a financial year, the £140,000 budget is £116,667 for 10 months of 2017/18. Total spend in 2017/18 senior staff remuneration round was £123,000 (full year effect), £102,500 for 10 months of 2017/18. The Remuneration Committee has in the past expressed a concern that relatively small amounts were being awarded to a relatively small number of staff and that the University would not become 'Scotland's leading University' if it was unable to retain and reward high-performing individuals in the face of a highly competitive marketplace for the very best talent. However, acknowledgement is also given to the challenging financial position which the University has been in and the contentious nature of the debate around senior pay.

Remuneration Committee Decisions Relating to the Principal & Vice-Chancellor

31. The Principal received no salary increase in the 2017 senior salary review round.

Payments to Members of Court

32. Members of the University Court receive no remuneration.

Expenses for Members of the University Executive Group

33. Details of expenses can be found at: <https://www.dundee.ac.uk/about/people-vision/reports/>

Pamela Milne
Director of HR and Organisational Development

APPENDIX 6

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 55)

1. REPORTING TO COURT

The following items were selected by the Senatus to highlight to Court:

- Strong and unanimous endorsement of the single candidate identified by the Appointing Committee to become the University's next Chancellor.
- Tributes paid to Professor Dame Sue Black who is leaving the University after 15 years of exceptional service.
- Senate's oversight of preparations for Enhancement-Led Institutional Review (ELIR)
- Minimising negative effects on students in relation to UCU Strike Action.
- The need to accelerate progress with the review of the Dignity at Work & Study policy.

2. PRELIMINARY REMARKS

Chancellor's Appointing Committee

The Principal reported on the work of the Chancellor's Appointing Committee. Senate noted the recommendation of a single candidate and warmly endorsed to Court the appointment of the proposed individual.

Vice-Principal Professor John Rowan

The Principal welcomed Vice-Principal Professor John Rowan to his first meeting of Senate as Vice-Principal (Research, Knowledge Exchange & Wider Impact) and noted the appointment of Professor Nick Fyfe as Acting Dean of the School of Social Sciences.

Professor Dame Sue Black

The Principal paid tribute to Professor Dame Sue Black who was leaving the University to take up a new role as Pro-Vice Chancellor for Public Engagement at the University of Lancaster. Senate noted the outstanding contribution made by Professor Black to the life of the University, her role in establishing the University's Centre for Anatomy and Human Identification (CAHID), Leverhulme Research Centre for Forensic Sciences and her leading role in high profile research, criminal justice case work and public outreach activities.

The Principal explained that CAHID's work would continue under the strong leadership of Professor Niamh Nic Daéid and Professor Tracey Wilkinson.

Senate joined the Principal in thanking Professor Black for her outstanding contribution to the University and wishing her well for the future.

3. PRINCIPAL'S REPORT

Senate Effectiveness Review

The Principal introduced his Report by explaining that the Senate Effectiveness Review carried out in 2017 had produced a number of recommendations that would now be implemented as part of a process of continuous improvement. The Principal noted that the planned away day would give Senate an opportunity to reflect further on this process.

Universities Superannuation Scheme (USS) and UCU Industrial Action

The Principal explained that changes to the USS pension benefits proposed by Universities UK (UUK) had been agreed by the Scheme's Joint Negotiating Committee on the casting vote of its independent Chair. He noted that the University & College Union had meantime taken the decision to ballot its members on taking strike action.

Senate noted that UCU members had voted both for strike action and action short of a strike to take place on 22-23, 26-28 February and 6-8, 12-16 March 2018.

The Principal explained that the University would continue to provide factual information to all staff so that they are able to take their own informed view on the issues. He emphasised that the University had a responsibility to take what action it could to minimise the impact of strike action on students and their studies.

Senate noted that the University Executive Group (UEG) had set up a Group to meet regularly during the period of possible disruption and had already started to formulate risk management and contingency plans.

Members of Senate reported that students had already expressed concerns over the potential impact of strike action, especially in relation to final year assessments. Members agreed that clear and consistent information and guidance needed be provided to students wherever possible, accepting that the nature of the action and uncertainty around participation levels would present a challenge to doing so. Members also agreed that student input into the contingency planning process was important.

Senate noted that an initial message for students from the Director of Academic & Corporate Governance would be circulated via School Managers.

The President of the Students' Association reported that DUSA would continue to work with the University to help minimise disruption. He noted that DUSA also had a responsibility to help students understand why the strike was happening and to encourage students to talk to their lecturers in advance and plan accordingly.

The Principal recognised that pension benefits were an important matter for staff and noted the University's position on the consultation had been to emphasise the need for a fair and sustainable solution to the current deficit position. He acknowledged that some staff would have different positions on the proposed solutions and expressed a hope that all staff will continue to be mutually respectful of the positions of others. The Principal emphasised that despite differences of opinion and approach he remained assured that all members of staff had the best interests of students at heart.

Senate noted that many staff and early career academic staff in particular might find themselves in a difficult position during the current dispute and would also need support and reassurance.

The Principal agreed that the University had a duty of care to all members of the community and that it was important to ensure that differences of approaches or opinions did not drive wedges between members of the community.

The Senatus decided: to note the Report.

4. UNIVERSITY COURT

The Senatus received a communication from the Court meetings held on 11 December 2017.

The Principal explained that in order to improve communication between Court and Senate members will be given an opportunity to select which of their discussions or decisions are highlighted in the Report submitted to Court. The Principal indicated that Court had agreed to take the same approach in its communications with the Senate.

The Senatus decided: to note the Report.

5. ENHANCEMENT-LED INSTITUTIONAL REVIEW (ELIR 4)

Dr Lesley McLellan (Director of Quality & Academic Standards) gave a presentation on the Enhancement-Led Institutional Review (ELIR 4).

The Director outlined the work taking place across the University in preparation for the Institutional Review and emphasised that the methodology combined elements of external audit with enhancement focussed analysis and reporting.

Senate noted that the University would be expected to submit an Advance Information Set (AIS) that provided quantitative and other factual or policy information to satisfy the external audit elements of the Review. The Director explained that the University would also need to produce a Reflective Analysis (RA) that set out its approach to managing quality and securing academic standards. The Director explained that the Reflective Analysis would be most effective if it was written with input from a wide range of staff and students from across the University.

Senate heard that in addition to the documentary and reflective submissions the University was planning for 2 visits from the Review Team in September and November 2018. Senate noted details of the membership of the external team which had been agreed with QAA Scotland.

The Director explained that the outcomes of the ELIR process would be given in a Report produced by the Review Team. The main judgement would be on the effectiveness of the University's arrangements for quality and academic standards. The Director explained that a second set of judgements containing commendations and recommendations would also be given in the Report.

The Director referred to the outcomes of the most recent Review carried out at the University (ELIR 3 in 2013). Senate noted that the University was praised for its effective development and implementation of vision and strategy, student engagement and proactive student support.

The Director explained that the ELIR 3 Review Team also made some recommendations for improvements in relation to processes for the recognition of prior learning and providing more support for postgraduate students who teach. Senate noted that both recommendations had been followed up with decisive action by the University to resolve and improve policies and processes.

The Director confirmed that a Steering Group had been formed to oversee the University's preparations for ELIR 4 and that a number of workshops had been organised both to focus on particular aspects of the University's arrangements for quality assurance and to begin the process of producing the Reflective Analysis. Members noted that the draft Reflective Analysis would be submitted to the May 2018 meeting of Senate for consideration.

The Principal observed that a commitment to high quality teaching united all parts of the University and that the ELIR methodology helped underpin this commitment by encouraging continuous improvement. He contrasted the success of ELIR in the Scottish HE sector with the approaches taken in other parts of the UK and concluded that the enhancement-led approach taken in Scotland had served students and the wider learning & teaching community very well.

The Principal noted that the outcome from the previous ELIR at the University had been expressed in very glowing terms and had identified many sector-leading elements in the approach to quality taken at the University. The Principal thanked the Director, on behalf of Senate, for her efforts to ensure that the University could continue to take pride in its leading performance in teaching quality and academic standards.

The Senatus decided: to thank the Director of Quality & Academic Standards for her presentation.

6. INTERNATIONALISATION COMMITTEE

The Senatus received a Report from the Internationalisation Committee meeting of 8 December 2017.

Wendy Alexander (Vice-Principal Internationalisation) introduced the Report and asked Senate to note the successful launch of the Global Room facility by Student Services that provided a new focus for international students on campus.

The Vice-Principal reported that the January 2018 international taught postgraduate student intake was likely to exceed target numbers by over 50. The Vice-Principal thanked all staff involved for their efforts in ensuring that the University continued to make progress in this area.

In response to a question the Vice-Principal explained that the University had performed ahead of the market average in attracting international students despite problems caused by visa backlogs.

The Vice-Principal acknowledged the challenge of maintaining growth and explained that the early start of the academic year had acted as a constraint on successful conversion of international applicants and needed to be subject to further consideration.

Senate was asked to note that student recruitment to International College Dundee had exceeded expectations in its first year of operation. Senate welcomed the positive news on international student recruitment more generally and noted further positive news on student numbers from across the University.

The Senatus decided: to approve the Report.

7. LEARNING AND TEACHING COMMITTEE

The Senatus received a Report from the Learning & Teaching Committee meeting of 18 January 2018. Dr Lesley McLellan (Director of Quality & Academic Standards) introduced the Report and highlighted the University's engagement with the national Enhancement Theme: evidence for enhancement.

The Director also highlighted the recent appointment of Student Voice Officers recruited and funded by the Students' Association. Senate noted that the Officers' role was to help ensure effective School representation systems.

Senate noted that the Central Timetabling Policy had been discussed by the Committee. A member of Senate observed that the Policy had emerged for discussion at a relatively late stage and that this could potentially leave little time for discussion of the complicated issues involved. The member also observed that staff on the 'front line' should not be denied the opportunity to input into policy developments at an early stage.

It was acknowledged that the Director of Registry had engaged in a consultative process with staff, including the School Managers who were responsible for timetabling activities in Schools. It was also noted that the Learning & Teaching Committee had asked Associate Deans (Learning & Teaching) to take the draft policy back to their Schools for detailed consultation with all relevant staff prior to the policy being brought back to the Committee for final consideration.

Senate welcomed the wider consultation taking place and fully agreed that front-line staff needed an opportunity to participate in any consultative process at the right stage of policy formation and development. Members reported that in some cases staff felt they were given too little time to reflect on and respond to policy consultations.

Senate noted that the Central Timetabling Policy would be submitted for approval at the next meeting of the Learning & Teaching Committee and thereafter to Senate.

The Senatus decided: to approve the Report.

8. QUALITY & ACADEMIC STANDARDS COMMITTEE

The Senatus received a Report from the Quality & Academic Standards Committee meeting of 5 December 2017.

Dr Lesley McLellan (Director of Quality & Academic Standards) introduced the Report and asked Senate to note the Committee's discussion on Mitigating Circumstances procedures and Tier 4 Visa Extension requests.

The Director also asked Senate to endorse the *Code of Practice on Academic Misconduct by Students* and to note that related amendments to Senate regulations would be submitted to the next meeting for consideration.

The Senatus decided:

- (i) to endorse the Code of Practice on Academic Misconduct by Students; and
- (ii) to approve the Report.

9. SUMMARY REPORTS OF SCHOOL BOARDS

The Senatus received Summary Reports from each of the School Boards.

Members of Senate from the Schools of **Science & Engineering, Nursing & Health Sciences** and from **Duncan of Jordanstone College of Art & Design** expressed concern over the potential impact on recruitment activities of the number of staff absences due to ill health in Admissions & Student Recruitment during the recent influenza outbreak.

Senate noted that the situation was being monitored and workloads prioritised in line with strategic needs while the staff affected recovered. The Secretary confirmed that the use of agency staff was under consideration and agreed to ask the Director of External Relations to contact Schools to discuss further.

School of Education & Social Work

Senate noted the implementation of the School's Health Check Action Plan and the need to make progress in reviewing the University's 'Dignity at Work and Study' policy.

School of Humanities

The role of Senate in providing oversight of academic provision in the context of School planning and budget processes was discussed. The Principal agreed to refer the issue to the Senate Business Committee for consideration.

The Senatus decided: to approve the Reports.

10. **UG APPEALS COMMITTEE**

The Senatus received a Report from the Undergraduate Appeals Committee meeting held on 10 November 2017.

The Senatus decided: to approve the Report.

11. **STUDENT TERMS & CONDITIONS 2018-19**

The Senatus received the Student Terms & Conditions 2018-19 for approval.

Members discussed current policy on postgraduates and intellectual property rights mentioned in the document.

Members of Senate noted that minor technical modifications and clarifications would be made to the document before it was implemented for applicants and students in 2018/19.

The Senatus decided: for its part, to approve the Student Terms & Conditions 2018/19.

12. **ORDINANCE 39**

The Senatus decided: subject to the further concurrence of Court, to amend Ordinance 39 paragraph 1.1 to include the Engineering Doctorate (EngD).

13. **PROFESSOR EMERITUS**

Subject to the concurrence of Court, to confer the title of Professor Emeritus upon the following:

Professor Allan Struthers (effective 28 February 2018)

Professor Alan Fairlamb (effective 31 March 2018)

Professor Christopher Spray (effective 30 August 2018)

Professor Stewart Fleming (effective 30 September 2018)

Homologation of conferment approved under Chair's Action and subsequent concurrence of Court:

Professor Trevor Harley (effective 11 December 2017)

14. **GRADUATION TIMETABLE 2018**

To note the following draft timetable for Academic Ceremonies (Graduation) Summer 2018:

10am, Wednesday 20 June	SDEN	School of Dentistry
	SSEN	School of Science and Engineering
2.30pm, Wednesday 20 June	SNHS	School of Nursing & Health Sciences
	SDAD	School of Art & Design
10am, Thursday 21 June	SSOC	School of Social Sciences (<i>Architecture & Urban Planning; Business & Management Studies; Geography; Psychology</i>)
	SHUM	School of Humanities

2.30pm, Thursday 21 June	SSOC	School of Social Sciences (Politics; Law; Water Law; Centre for Energy & Petroleum & Mineral Law & Policy)
10am, Friday 22 June	SESW	School of Education & Social Work (including CASTLE)
	SLSC	School of Life Sciences
2.30pm, Friday 22 June	SMED	School of Medicine

15. DUSA ELECTIONS

To note the following dates for DUSA elections:

Online nominations close:	15 January 2018
Start of Campaigning/Candidates' Briefing:	26 February 2018
Election Dates (voting):	28 February 2018 – 8 March 2018
Results:	8 March 2018

16. REPORTING TO COURT

The following items were selected by the Senatus to highlight to Court:

- Strong and unanimous endorsement of the single candidate identified by the Appointing Committee to become the University's next Chancellor.
- Tributes paid to Professor Dame Sue Black who is leaving the University after 15 years of exceptional service.
- Senate's oversight of preparations for Enhancement-Led Institutional Review (ELIR)
- Minimising negative effects on students in relation to UCU Strike Action
- The need to accelerate progress with the review of the Dignity at Work & Study policy

APPENDIX 7**WELFARE & ETHICAL USE OF ANIMALS COMMITTEE
(Minute 56)**

A meeting of the Committee was held on 18 January 2018.

Present: The Convener, the Director of Biological Services (DBS), the University Veterinary Surgeon (UVS), two NACWOs, two holders of Home Office licences and four other members.

In Attendance: Two members of animal care staff.

1. MINUTES

The minutes of the meeting held on 27 September 2017 were approved.

2. MATTERS ARISING

None not covered in the agenda. There was a discussion as to how best to feed back to the Committee on the subsequent progress of project licence applications after ethical approval. In particular, the Committee should be informed as to any significant issues raised by the Home Office inspector.

Resolved: The DBS to assign a serial number to each project licence application reviewed by the Committee, and to provide updates as to subsequent changes and passage through the Home Office licensing system.

3. PROJECT LICENCE APPLICATION (WEC2018_03)

An application for a licence to provide authority for a new programme of work was discussed. The applicant was then admitted to the meeting and gave a short oral presentation before answering questions from members of the Committee.

Resolved: to approve the application, conditional on the following amendments being made to the satisfaction of the convener, the UVS and the relevant NACWO:

- (i) the use of immunocompromised mice as model systems for therapeutic studies should be justified;
- (ii) practicable limits should be set on the repeated use of imaging under general anaesthesia.

4. PROJECT LICENCE APPLICATION (WEC2018_01)

An application for a licence to provide authority for a new programme of work was discussed. The applicant was then admitted to the meeting and gave a short oral presentation before answering questions from members of the Committee.

Resolved: to approve the application, conditional on the following amendment being made to the satisfaction of the convener, the UVS and the relevant NACWO:

- (i) the use of chemical carcinogenesis should be deleted from the initial application. The applicant can submit an amendment in future if this line of research becomes a necessity and additional information on humane end-points can be supplied;
- (ii) The DBS to consider the expansion of services offered by resource units, to facilitate the regular weighing and body condition scoring by animal care staff of animals undergoing scientific procedures;

5. PROJECT LICENCE APPLICATION (WEC2018_04)

An application for a licence to provide authority for a new programme of work was discussed. The applicant was then admitted to the meeting and gave a short oral presentation before answering questions from members of the Committee.

Resolved: to approve the application.

6. REPORT FROM THE UNIVERSITY VETERINARY SURGEON (UVS)

Standing agenda item. The UVS reported on a number of matters:

- (a) One facility had tested positive for *Klebsiella oxytoca*. This bacterium is a normal commensal in humans, and a human source of the contamination is the most likely. Further testing will be carried out to determine the extent of the infection and the opportunities for eradication;
- (b) The University's preferred method of importing animals is as frozen sperm. In one recent case, the source's MTA overly specified the supply of live animals, which will therefore have to be transported to Dundee and then rederived;
- (c) There were continuing difficulties with dual-cannula surgery in mice, which had been discussed with the Home Office inspector;
- (d) A senior NACWO was to visit another Establishment in order to observe intubation anaesthesia in mice. Intubation and ventilation might be a refinement over delivery of gaseous anaesthesia via a nose-cone;
- (e) A number of GA mouse lines are exhibiting genotype-related outward signs and are being closely monitored against specific clinical coring systems and the human end-points set in the relevant project licences;
- (f) A large-scale experiment involving subcutaneously implanted osmotic minipumps has produced inconclusive data and a planned repeat has therefore been cancelled. The Home Office inspector has been informed;
- (g) A new arthritis study in mice is being planned and will use an updated and refined clinical scoring system.

7. TRAINING

Standing agenda item. In view of the late running of the meeting, it was agreed that the UVS and DBS would circulate a report on training matters by email. The upcoming project licence holders' refresher training was, however, discussed briefly. The Committee confirmed their previous position that project licence-holders who did not attend at least one of these refresher training events within any two-year period would not be supported for future licence applications (unless there were significant extenuating circumstances), as they would not have met the deemed minimum local training standards. There are a number of licence-holders for whom the two events planned for early 2018 are their last opportunities to avoid this sanction.

8. REPORT FROM THE DIRECTOR OF BIOLOGICAL SERVICES

Standing agenda item. As above, the DBS undertook to submit a report to the Committee by email.

9. ANY OTHER COMPETENT BUSINESS

None

10. DATE OF NEXT MEETING

11 April 2018.

APPENDIX 8

RESEARCH GOVERNANCE & POLICY SUB-COMMITTEE ANNUAL REPORT (Minute 58)

1. Introduction

The primary objective of the Research Governance & Policy Sub-Committee is to ensure that the governance and policy context for the undertaking of research within the University is optimal. More specifically, the Sub-Committee is responsible for:

- reviewing governance processes and associated research and related policy extant at both University and the local level, and identifying need for improvement and development including the involvement of external stakeholders;
- establishing systems which accommodate the needs of good institutional governance, that are externally accountable and which take into account the diversity of the institution's research activities;
- ensuring that institutional research governance processes are transparent and are well communicated throughout the University;
- promoting "buy-in" by facilitating dialogue and dissemination of good and consistent practice across the schools;
- attempting to minimize the burden of governance and policy demands on research staff commensurate with achieving high levels of internal and external confidence in the University's processes.

The Sub-Committee was chaired by Professor Alan Fairlamb, School of Life Sciences, in the 2016/17 academic year (with Professor Margaret Smith deputising for the first meeting). Membership includes staff from across the Schools and the primary areas of research governance activity within the institution, including the Health, Safety and Welfare Committee, Tayside Medical Science Centre (TASC) Research Governance Committee, the University Research Ethics Committee (UREC) and the Welfare and Ethical Use of Animals Committee. The Sub-Committee meets three times during each academic year and reports to the University Research & Knowledge Exchange Committee (RKEC) with the minutes of its meetings included with RKEC papers.

This report summarises the activities of the Sub-Committee during academic year 2016/17.

2. Summary of Sub-Committee Business

2.1 Policy Development and Review

Consistent with the commitment of the Sub-Committee to regularly review institutional research policies, the Committee considered whether the following policies required revision:

Policy and Procedures for Investigating and Resolving Allegations of Misconduct in Research: The update to RCUK's *Policy and Guidelines on Governance of Good Research Conduct*³ introduced the requirement for organizations to notify RCUK of allegations of research misconduct at the stage it is decided to undertake an informal inquiry as opposed to the previous requirement to notify RCUK at the later stage of deciding to undertake a formal investigation. The Wellcome Trust similarly introduced a requirement to inform the Trust at the point a decision is made to conduct a preliminary investigation⁴.

The Sub-Committee agreed that the informal inquiry/preliminary investigation stage referred to by RCUK and the Wellcome Trust was broadly equivalent to the stage at which an 'initial assessment' is taken by the Dean of School in the University's *Policy and Procedures for Investigating and Resolving Allegations of Misconduct in Research*⁵. In order to comply with the new requirements it was decided that, where a funder requires the University to notify it of allegations of research misconduct at the informal inquiry/preliminary investigation stage, the Dean of School should inform the University Secretary and Research Policy Manager that an initial assessment is being undertaken along with the name of the individual, the link to the funder and the nature of the allegation(s). The University

³ RCUK Policy and Guidelines on Governance of Good Research Conduct: <http://www.rcuk.ac.uk/publications/researchers/grc/>

⁴ Wellcome Trust Research Misconduct Statement: <https://wellcome.ac.uk/funding/managing-grant/research-misconduct>

⁵ University of Dundee Policy and Procedures for Investigating and Resolving Allegations of Misconduct in Research: <https://www.dundee.ac.uk/research/governance-policy/misconduct-whistleblowing/#!faq-0>

Secretary and/or Research Policy Manager will then notify the relevant funder(s). The University's policy was updated accordingly.

Policy to Govern the Management of Research Data: This policy was subject to ongoing review during the reporting period against a backdrop of the external development of a Concordat on Open Research Data which proposed a series of principles for working with research data in a rapidly evolving area. Proposed revisions to the policy resulting from this ongoing review will be incorporated into an updated version of the policy in academic year 2017/18.

The Sub-Committee also considered the development of the following putative policies during the reporting period:

Policy on the Use of Human Tissue: A potential policy to strengthen the University's governance of human tissue was drafted for discussion. The University has strong governance of surplus tissue derived from NHS patients and non-NHS tissue samples in the Medical and Dental Schools through the Tayside Biorepository but may benefit from incorporating best practice developed by the Biorepository in the governance of non-NHS human tissue samples stored in other Schools. The Sub-Committee supported the further development of this policy, to be taken forward in academic year 2017/18.

Research Publications Policy: A draft *Policy to Govern the Publication of Research* was developed by the end of the reporting period. The Sub-Committee agreed that the University's *Policy on Guest Authorship and Ghostwriting* should be condensed and incorporated into the new policy and suggested defining the responsibilities of authors and the provision of standard formats/templates for ethical statements for research involving animal and human (non-clinical/clinical) subjects. The policy will be further developed in academic year 2017/18, taking into account any developments around the UK Scholarly Communications Licence (an open access policy mechanism)⁶.

2.2 Concordat to Support Research Integrity⁷

Framework for Ethical Review and Approval of Non-Clinical Research: Research should be conducted according to appropriate ethical, legal and professional frameworks, obligations and standards (commitment 2 of the Concordat). In academic year 2014/15 the Sub-Committee recognized the need to reform the framework for ethical review and approval of non-clinical research involving human participants by devolving greater responsibility to School-level sub-committees with the University Research Ethics Committee (UREC) acting as an oversight committee. The structure of the School committees was agreed in academic year 2015/16, during which the remits of the committees were developed along with the processes to be used by researchers and reviewers.

The new committee structure and processes came into effect on 1st August 2016. Six School Research Ethics Committees (SRECs) were formed, three of which were joint committees covering two Schools:

- Art & Design
- Dentistry/Nursing & Health Sciences
- Education & Social Work
- Humanities/Social Sciences
- Medicine/Life Sciences
- Science and Engineering

The new processes incorporated a checklist to route applications submitted for review down either a 'low' or 'medium/high' risk route so that the review procedures used are proportionate to the risk.

Researcher Training: Provision of training in research integrity is a key element of a research environment that nurtures good practice and creates a culture of research integrity (commitment 3 of the Concordat). The development of online training in research integrity, overseen by the Sub-Committee, in conjunction with the University's Organisational and Professional Development Unit and an external expert, came to fruition in the reporting period. The final version of the resource, *Responsible and Ethical Practice in Research and Publication*, comprised a video, quiz and case studies on each of the following sub-topics:

- Introduction to research integrity and the responsible and ethical conduct of research
- Ethical approval and practice

⁶ UK Scholarly Communications Licence and Model Policy: <http://ukscl.ac.uk/>

⁷ The Concordat to Support Research Integrity: <http://www.universitiesuk.ac.uk/policy-and-analysis/reports/Pages/research-concordat.aspx>

- Plagiarism and recycling of text and research outputs
- Authorship
- Collaborative research and data management and integrity
- Peer review and publication ethics

The resource is hosted on the University's Virtual Learning Environment (VLE), with separate sites for staff and postgraduate research students. A compendium of the case studies and notes for moderators was also produced for supervisors and senior academics, to support face-to-face training at School level.

The resource was piloted with a small number of postgraduate research students in August 2016 and, following good feedback, the student site was launched for new postgraduate research students, in conjunction with research integrity workshops delivered by the external expert, in October 2016; it was subsequently made available to all postgraduate research students in March 2017. The parallel staff site (the configuration of which is slightly different to the student site) was made available in May 2017.

Consistent with the Sub-Committee's recommendation in April 2016 (endorsed by the University's Research & Knowledge Exchange Committee in May 2016), all new postgraduate research students registered from 1 August 2016 onwards are required to complete the training prior to their upgrade review.

Six other higher education institutions are currently using the resource under licence from the University of Dundee.

2.3 *Research Misconduct*

One formal investigation of potential research misconduct was concluded within the 2016/17 academic year; a member of staff was found to have committed serious research misconduct and subsequently resigned from the University. The University issued a short statement about the case in December 2016 (<https://www.dundee.ac.uk/research/governance-policy/misconduct-whistleblowing/>).

One formal investigation of potential research misconduct by a member of staff was initiated within the 2016/17 academic year. The investigation continued into the subsequent academic year and hence the outcome will be included in the report for 2017/18.

2.4 *Reporting to the Sub-Committee*

The Sub-Committee's remit does not require it to capture detailed information on activities at the local level but rather to satisfy itself, by reviewing higher level evidence, that sufficient rigour exists in the policies and processes operated by the institution. The Sub-Committee therefore receives and considers annual reports from the various areas of research governance operating across the University to ensure that the appropriate policies and processes are in place. Reports (both written and oral) for calendar year 2016 were received from the University Health, Safety and Welfare Committee; Tayside Medical Science Centre (TASC) Research Governance Committee; University Research Ethics Committee; and the Welfare and Ethical Use of Animals Committee:

Health, Safety and Welfare Committee: The annual report included the report of an internal audit conducted in January 2016 as an appendix. All controls were assessed either as 'Yellow' (no major weaknesses in control but scope for improvement) or 'Green' (adequate and effective controls which are operating satisfactorily). The Sub-Committee noted that virtually all of the actions highlighted in the audit report had been completed. Health and Safety policies had gone live for each School and Health and Safety Advisors were being appointed within each School. Mandatory induction training had been achieving about 80% completion, but this was being pursued with help from the School Health and Safety Advisors, Deans and School Managers. Four policies had been updated during the reporting period: Uranium and Thorium Safety Management; Laser Safety Management; Protection Against Ionising Radiation; and Travelling on University Work Overseas. A better centralised online database for risk assessment/management was being sought, but there were concerns about how such a database would be maintained. The Sub-Committee approved the report.

Tayside Medical Science Centre (TASC) Research Governance Committee: The TASC Research Governance Committee provides oversight of the systems and processes that exist in clinical research to ensure that the required standards are met. The Committee had been reformed, and the role and remit refreshed, in 2016, ensuring adequate lay, NHS Tayside and University of Dundee representation.

Following a Medicines and Healthcare products Regulatory Agency (MHRA) inspection in the summer of 2016 there were no concerns about safety and the MHRA had been impressed with the way large complex multi-centre clinical trials were run. There were three major findings (non-critical) with staggered completion dates dependent on the

complexity of the task. In this respect, the inspection highlighted that there should be an increase in staff recruited to both the data management and trial monitoring teams in order to provide robust trial management by the Sponsor (University of Dundee). The report also highlighted that processes needed to be better documented (there was confidence in the process but the documentation of the process itself required improvement). Resultant actions which were required by December 2016 had been completed, and TASC was on schedule to meet the deadlines for further actions. It was noted that cross-border research collaborations with sites in England were subject to delays compared to Scotland-only studies due to teething problems with newly instituted Health Research Authority (HRA) systems. The Sub-Committee approved the report.

University Research Ethics Committee (UREC): The newly constituted University Research Ethics Committee (UREC) is responsible for upholding the ethical standards of practice in non-clinical research involving human participants in the University in order to protect participants and researchers from harm, preserve participants' rights, and to provide reassurance to the public and funders regarding the ethical conduct of research at the University. It provides oversight, monitoring and guidance to the six new School Research Ethics Committees (SRECs), three of which are joint committees covering two Schools. The new committee structure and processes for ethical review and approval of non-clinical research involving human participants came into effect on 1st August 2016 (see section 2.2 above for details). UREC was welcoming feedback on the new processes from SREC Conveners and others; this will inform revisions to the processes in academic year 2017/18 and ongoing discussions on the development and implementation of an online system for ethical review and approval of non-clinical research as part of the OneUniversity Business Transformation project.

Training for reviewers had been provided by an external expert using case studies and would be revisited based on feedback. The University's *Code of Practice for Research Ethics on Human Participants*⁸ had been updated to reflect the new School structure and would be subject to further review by UREC in the 2017/18 academic year. At the time of reporting, it was noted that a Deputy Convener and lay member of UREC were still to be appointed; the lay member was appointed in April 2017. The Sub-Committee approved the report.

Welfare and Ethical Use of Animals Committee: The Welfare and Ethical Use of Animals Committee acts on behalf of the University Court in ensuring that the University meets its obligations under the Animals (Scientific Procedures) Act 1986 (amended 2012 to comply with Directive 2010/63/EU) to discharge the functions of an Animal Welfare and Ethical Review Body as required under that Act, and to determine policy on all matters relating to animals on University premises.

It had broadly been business as usual for the Committee in 2017. The *Code of Practice for the Use of Animals in Teaching and Research*⁹ had been reviewed and updated in the reporting period and a new Convener had been appointed. The Committee also had two lay members and an external member. The Committee would be reviewing mouse breeding and how it exerts its own oversight in the coming year. The Sub-Committee approved the report.

Professor Alan Fairlamb
Convener

⁸ Code of Practice for Research Ethics on Human Participants: <https://www.dundee.ac.uk/research/ethics/applicationprocedure/>

⁹ Code of Practice for the Use of Animals in Teaching and Research: <https://www.dundee.ac.uk/media/dundeewebsite/ethics/documents/Code-of-Practice-for-the-Use-of-Animals-in-Teaching-and-Research-16.pdf>