

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 11 June 2018.

Present:

Ronnie Bowie (in the Chair)
Janice Aitken
Richard Bint
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
Dr Alison Reeves
Karen Reid
Andrew Richmond
Sharon Sweeney

In Attendance:

Alan Bainbridge (Court member from 1 August 2018)
Rumana Kapadia (Independent Student Member on Court elect)
Alexandria Scott (Sports Union President) (Items 80-84)
Sofia Skevofylaka (DUSA President elect)
Jay Surti (Court member from 1 August 2018)
Wendy Alexander (Vice-Principal (International))
Professor Nic Beech (Vice-Principal (Provost))
Andrew Jefferson (Interim Director of Finance)
Dr Neale Laker (Director of Academic & Corporate Governance)
Professor Karl Leydecker (Vice-Principal (Learning & Teaching))
Afzal Mahmood (External Consultant, Business Transformation) (Item 86(3))
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) (Items 80-84)
Professor John Rowan (Vice-Principal (Research, Knowledge Exchange & Wider Impact))
Thomas Veit (Director of External Relations)

Apologies:

Anne Anderson
Rebecca Leiper
Allan Murray
Sean O'Connor
Dr Jean Robson
Professor Mairi Scott
Denis Taylor
Keith Winter

81. WELCOME

The Chair of Court welcomed Alan Bainbridge (lay member), Rumana Kapadia (Independent Student Member on Court elect), Sofia Skevofylaka (DUSA President elect), and Jay Surti (lay member) to the meeting. Members noted that they were attending in a shadow capacity following their appointment/election prior to taking up post on the Court.

The Court decided: to welcome the new members of Court, noting other appointments and elections as set out in minute 90 below.

82. ANNUAL REPORT OF THE SPORTS UNION

The Sports Union President, Alexandria Scott, presented the Sports Union's (SU) annual report. In doing so, she drew members' attention to competitive successes, individual achievements, and awards to specific members, as well as highlighting the SU's increased focus on charity fundraising and welfare events. Through discussion members noted that the SU was looking to improve the level of coordination with DUSA in relation to charity fundraising and welfare events, and the President highlighted 'Show Racism The Red Card', 'Mind Matters', and 'LGBT+ History Month' as key events in 2017/18 where this collaboration had been important. In response to questions regarding the reported level of student engagement with the SU, the President confirmed that the figures presented focussed on engagement with students matriculated with the SU and went on to highlight ways in which the SU was engaged with students outwith this cohort. In this respect members noted that the SU had a broader reach than the figures suggested. Members were particularly interested in the SU strategy for engagement with international students, and the role of sport in both the student experience and in building the University community. Members also reiterated their interest in, and support for campaigns and initiatives relating to mental health, and were pleased to note that the SU planned to review and build on the 'Mind Matters' initiative launched in 2017/18.

The Court decided: to note increased focus on charity fundraising and welfare events within the SU, and to thank the Sports' Union President for her report.

83. DUNDEE UNIVERSITY STUDENTS' ASSOCIATION – ANNUAL REPORT

Noting the apologies of the DUSA President, the President of the Students' Association (DUSA) elect, Sofia Skevofylaka presented the annual report from the President. The report highlighted progress relative to the 2017/18 DUSA Executive manifesto which focussed on the themes of perception, welfare and representation. The incoming President highlighted achievements and successes such as the adoption with the University of the 'Zero Tolerance policy against sexual harassment', the Freshers' Fair being rated number 1 in Scotland, the high turnout for the 2018 DUSA elections, and the RAG charitable fundraising.

Through discussion members were pleased to note the approach and buy-in achieved in relation to the Zero Tolerance policy, as well as the University's support for this joint initiative. The Incoming President told members that the high profile of the campaign had led to an increased demand on DUSA and Student Services support available, and members were pleased to note that the University was investing in services to increase capacity in relation to both mental health and gender-based violence support. Members were also pleased to note

the engagement of the University with the NHS, Police, and City Council as appropriate in relation to support, policies, and sharing of practice in these areas.

The Court decided: to commend DUSA on its activities during 2017/18, in particular in relation to student welfare matters.

84. **BUDGET 2018/19 AND STRATEGIC PLAN FORECAST FOR THE SFC**

The interim Director of Finance set out the proposed budget for 2018/19 and associated three-year projections, which had previously been discussed in detail by the Finance & Policy Committee at its meeting on 15 May 2018. In doing so he highlighted the budget process undertaken, and members were pleased to note the collegiate way in which the schools and directorates had engaged with the process.

In presenting the budget the Director drew members' attention to the forecast and budgeted operating surplus/deficit, forecasting trends, student intake projections, and key assumptions, risks, opportunities, and contingencies within the budget. Members were pleased to note that the contingencies relating to salary and pensions costs would be kept under review by the University Executive Group and the Finance & Policy Committee as discussions in these areas progressed. The Interim Director also highlighted the review of risks relating to the University's banking covenants across a range of scenarios modelled.

Members were supportive of the inclusion within the budget of a strategic investment fund to support key areas important for the University's growth, sustainability, and the delivery of the University Strategy. Members noted the level of funding assigned to each of the three years of the budget and that the University Executive Group was developing a process for the consideration of proposals. Members highlighted the importance of ensuring the process included appropriate oversight of the performance of funded projects by the Finance & Policy Committee.

The Court was also pleased to note revisions to the reporting and forecasting process, which were expected to improve forecasting accuracy and enable in-year savings to be identified and used to the benefit of the University. Through discussion members also noted that the budget was underpinned by operational plans developed by the schools and directorates.

The Court noted the continued progress toward financial sustainability indicated within the budget, and that the Finance & Policy and Audit Committees were of the opinion that the budget presented was both ambitious and realistic. Members noted that a 5 year budget forecast would improve Court's oversight of the University's financial sustainability, but recognised the challenges in doing so, not least given the annual nature of current Scottish Government financial settlements. Nevertheless, the Interim Director confirmed that the new integrated financial systems being implemented should enhance forecasting capabilities in this respect.

The Court discussed the capitalisation of project related staff costs and reviewed the cash flow projections, in particular in relation to the projected use of the revolving credit facility and capital expenditure.

One member suggested a number of presentational changes that could enhance future budgets, including the graphical presentation of school contributions and inclusion of

benchmarking of fee waivers. Members also highlighted the risks associated with potential fee changes in England, and that the University would maintain a watching interest in developments and review its position as appropriate.

- The Court decided:**
- (i) to approve the proposed budget for 2018/9 and indicative budgets for the following two years; and
 - (ii) to delegate to the Convener of the Finance & Policy Committee the approval of the Strategic Plan Forecast for submission to the SFC.

85. UPDATE ON UNIVERSITY STRATEGY TO 2022

The Director of Strategic Planning introduced a short update on progress in the implementation of the University Strategy to 2022, including action plans, operational plans, and strategy implementation consultation events.

Members noted that the Audit Committee and University Executive Group (UEG) had been consulted in relation to the implementation of the action plans, and that, noting that they were living documents, both groups had recommended that the action plans be updated to reflect priorities on a 1 and 5 year timescale. Members noted that UEG had begun the review process and anticipated presenting the phasing of action priorities to the Court at the annual retreat at the end of August along with the annual plan required by the Scottish Code of Good HE Governance.

Members were pleased to note that the operational plans, as outlined in planning conference posters displayed during the pre-Court lunch, had been informed by the action plans and the budget, and that all three elements had been actively used during the budget setting process, therefore ensuring alignment of the budget to the delivery of the University Strategy.

- The Court decided:** to note the update.

86. MINUTES

- The Court decided:** to approve the minutes of the meeting of the Court on 24 April 2018, including the minutes of reserved business.

87. MATTERS ARISING

- (1) Action Log

The Court considered the action log and noted the updates provided.

- The Court decided:** to approve the Court Action Log.

(2) Reserved Business: Joint Educational Institute (China) (Minute 63)

The Vice-Principal (International) introduced a paper on the Joint Educational Institute (China) which provided an update against key areas of the proposal previously presented. The Court indicated that it was content that the paper addressed the questions raised at the last meeting, and noted that negotiations with the proposed partner institute (Central South University (CSU)) would be progressed following a visit from the CSU Chancellor later in the week. Members also noted early discussions had taken place around a potential joint research institute, and that the Vice-Principal (Research, Knowledge Exchange & Wider Impact) would be leading a delegation to visit CSU later in the year to explore opportunities in this area.

Discussions focussed on the financial information provided. In response to questions, the Vice-Principal confirmed that the University had engaged PwC to advise it on the tax environment in China, and that the cost of this provision had been included in the proposals. The Vice-Principal also provided a breakdown of the capital calculations, including contingencies, outlay, internal allocations (i.e. opportunity cost), and pay-back period. Following discussion members agreed that the payback period indicated was appropriate, and that the proposals represented a significant strategic step in terms of opportunities to raise the University's profile and reputation, to explore collaborative research opportunities, and to enhance recruitment in this region.

The Court noted that approval was sought from the Court to proceed with the signature of agreements at the end of June 2018, and to submit an application to the Ministry of Education in September 2018 on the basis of the negotiation criteria and governance review arrangements set out. Members noted the potential need for a degree of flexibility in the negotiating parameters, and agreed to delegate to the Principal and University Executive Group the ability to exercise judgment in this respect during negotiations (noting also the opportunity to consult with the Emergency Committee if necessary). Court asked that a report summarising the outcome of negotiations be provided to a future meeting once appropriate.

The Court decided:

- (i) to note the report;
- (ii) to delegate to the Principal and University Executive Group the ability to exercise judgement during negotiations; and
- (iii) to otherwise approve the proposal that the University proceed with the signature of agreements at the end of June 2018, and to submit an application to the Ministry of Education in September 2018.

(3) Reserved Business: Business Transformation (Minute 64)

The Court received a paper from the Director of Business Transformation which outlined the current position following discussions with TechnologyOne regarding the conditions set by the Court at its meeting on 24 April 2018. Members noted that good progress had been made in relation to the finalisation of the Finance Module, but that there remained a number of challenges in relation to the other modules. The Court was supportive of the stance being taken by the Business Transformation Project Team in

relation to negotiations – in particular in relation to the delivery of the Student and Curriculum Management system, and noted that the University Secretary would continue to lead negotiations, and engage formally with members of the Court through the Emergency Committee over the summer as appropriate.

The Court decided: to note the update and reaffirm its commitment to the criteria previously agreed.

(4) Governance & Nominations Committee (Minute 72(4))

The Court decided: Noting the approval, for its part, of the Senate at its meeting on 23 May 2018, to ratify the decision to repeal Ordinances 49 (Academic Staff – Discipline, Dismissal and Removal from Office) and 50 (Academic Staff – Discipline, Dismissal and Removal from Office Appeal Process).

(5) Welfare & Ethical Use of Animals Committee (Minute 73)

The Court noted that the University Secretary had circulated an update from the Director of Estates & Campus Services by email on 24 May 2018 summarising progress in discussions with the NHS regarding the proactive and reactive maintenance of the University's regulated facilities at the Ninewells Campus by the NHS. Members were content that the issue was being appropriately and actively managed notwithstanding the ongoing difficulties being encountered.

The Court decided: to note the update.

88. UPDATE ON THE APPOINTMENT OF A NEW PRINCIPAL

[Secretary's note: The Principal left the room for the duration of discussions.]

The Court received a summary of progress since the last meeting of Court, including an overview of the short-listing process and an outline of timelines and next steps. The Chair of Court confirmed that he intended to issue a further update to staff and students after the meeting.

The Court decided: to note the update.

89. CHAIR'S REPORT

The Court received its regular report from the Chair detailing the activities he had undertaken on its behalf at a University and sector level since the last meeting. In introducing the report the Chair highlighted the Strategic Dialogue Meeting (SDM) between the University and the Scottish Funding Council (SFC) which a number of Court members had attended. The Principal provided an overview of feedback received to date from SFC regarding the visit, and members noted that a summary of the meeting would be circulated once received from the SFC, but that the meeting had been useful and productive.

The Chair also drew members' attention to his acceptance of an invitation to join the Joint Expert Panel set up by Universities UK (UUK) and the University & College Union (UCU) to examine the approach to the valuation of the Universities Superannuation Scheme (USS). In particular members noted their support for his involvement and that the Chair of Court had indicated that he may need to absent himself from certain pensions-related discussions within the University during his period of service on the Panel.

The Court decided: to note the update and await further information in due course.

90. PRINCIPAL'S REPORT

The Court received an update from the Principal which highlighted recent news and matters of sector interest (**Appendix 1**). Discussions focussed on the reported performance in the Complete University Guide and Guardian League Tables where the University had consolidated its position. In response to questions members were interested to note the additional analysis being undertaken by the University Executive Group (UEG) in relation to international league tables such as QS, and noted the importance of the Times Higher Education league table outcomes.

The Principal also drew members' attention to the schedule for graduation ceremonies, and in particular that Lord Naren Patel would receive a second honorary degree (Doctor of Science), as part of the University's recognition of his service to the University as Chancellor.

The Court discussed indicative timelines for the Tay Cities Deal, but noted that there was not yet clarity in this respect. Noting awards detailed in the report, the Principal highlighted the winners of the annual Chancellor's Award for Outstanding Contributions to Teaching. Members also noted that since the publication of the report Professor Bob Steele had been awarded a CBE and members offered their congratulations to him. The Principal also drew members' attention to the award of £25m over 5 years from the Medical Research Council (MRC) to the MRC Protein Phosphorylation & Ubiquitylation Unit led by Professor Dario Alessi. Members noted that this represented a significant achievement and reflected the excellence of the work undertaken in that unit.

The Court decided: to note the report and the updates provided.

91. MEMBERSHIP OF THE COURT

The Court received an update on nominations and elections to the Court which had taken place since the meeting of the Governance & Nominations Committee on 15 May 2018.

The Court decided:

- (i) to note the election of Rebecca Leiper by the Staff Council to serve on the Court for a period of 4 years in the first instance, effective immediately, further noting that in accordance with Statute 9(2)(k) the effective start date would be 1 August 2018; and
- (ii) to note the appointment of Keith Winter as the Rector's Assessor effective immediately in accordance with Statute 9(2)(f), further noting that in accordance with Statute 9(2)(k) the effective start date would be 1 August 2018.

92. COMMITTEES

(1) Audit Committee

(a) Report of the Committee's Meeting on 22 May 2018

The Court received a report from the meeting of the Audit Committee on 22 May 2018 (**Appendix 2**). In introducing the report the Convener drew members' attention to discussions relating to the implementation of General Data Protection Regulations (GDPR), and the Committee's on-going focus on cybersecurity. Members also noted that the Audit Committee and Governance & Nominations Committee had both endorsed changes to the Gifts & Hospitality Policy.

The Convener highlighted the internal audit plan for 2017/18, and the commencement of the external audit, including preliminary risk assessments by the external auditors.

The Court decided:

- (i) to approve the Gifts & Hospitality Policy; and
- (ii) otherwise to approve the minutes.

(b) RESERVED BUSINESS: Minute 2(2) of the Audit Committee's Meeting on 22 May 2018

The Court received Minute 2(2) of the Audit Committee's Meeting on 22 May 2018.

[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 the item, which will then be included as an appendix to the minute of the meeting at which its release is approved.]

The Court decided: to approve the minute.

(2) Finance & Policy Committee

(a) Report of the Committee's Meeting on 15 May 2018

The Court received a report from the meeting of the Finance & Policy Committee on 15 May 2018 (**Appendix 3**). The Convener drew members' attention to discussions relating to the 2018/19 budget and the Court noted that the Committee had welcomed the step-change in forecasting and budgeting (as also detailed in minute 83). He also highlighted the importance of ensuring appropriate oversight of the use of the investment funds, and members noted that capital investment was likely to be one of the focal areas of work for the Committee for the coming year.

The Court decided: to approve the minute.

(b) RESERVED BUSINESS: Minute 2(1) of the Committee's Meeting on 15 May 2018

The Court received Minute 2(1) of the Finance & Policy Committee on 15 May 2018.

[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 the item, which will then be included as an appendix to the minute of the meeting at which its release is approved.]

The Court decided: to approve the minute.

(3) Governance & Nominations Committee

The Court received a report from the meeting of the Governance & Nominations Committee on 15 May 2018 (**Appendix 4**). The Convener highlighted a number of areas for approval by the Court including the proposed membership of Court Committees for 2018/19 (annex a) which had been updated following the meeting to reflect the election/appointments reported in minute 90 (above). Members noted that discussions were ongoing regarding membership of the Remuneration Committee in light of the Scottish Code of Good HE Governance (2017), and that this would be finalised following further consultation over the summer. Members also noted that the Academic Health Sciences Partnership (AHSP) Board composition was anticipated to change, and asked that officers clarify the position regarding Court membership of this Board.

Turning to the Committee's discussions regarding the possible co-option of an additional member to the Finance & Policy Committee, members noted that this had been discussed with the incoming Convener, and that the intention was to keep the position under review during the year.

The Court noted the Committee's recommendations in relation to the appointment of Employer Nominated Trustees to the University of Dundee Superannuation Scheme (UoDSS), revisions to the Gifts & Hospitality Register (see also minute 91(1)(a)) and the annual review of the effectiveness of the Chair of Court and the Court.

The Court was supportive of proposed changes to the Statute governing the election of the Rector to enhance practice in this area ahead of the next election in spring 2019.

Finally, the Convener drew members' attention to the Committee's assessment that very significant progress had been made toward compliance with the Scottish Code of Good HE Governance (2017). Members noted that this had been an area of focus for the Committee and officers since its publication, and that the University remained committed to excellence in its governance.

The Court decided:

- (i) to approve the proposed membership of Committees of the Court, subject to finalisation of the membership of the Remuneration Committee (**Appendix 4**, annex a);
- (ii) to approve the appointment of Dr Richard Parsons and Dr Shona Johnston as Employer Nominated Trustees to

the University of Dundee Superannuation Scheme (UoDSS);

- (iii) to approve the assessment of compliance against the Scottish Code of Good HE Governance;
- (iv) to approve the new proposed Statute 4 (Election of the Rector), subject to the approval of the Senate, ratification by the Court at a subsequent meeting, and to the approval of, and to any further changes required by, the Privy Council;
- (v) to approve the process for the annual review of the effectiveness of the Court; and
- (vi) otherwise to approve the minutes.

(4) People & Organisational Development Committee

The Court received a report from the meeting of the People & Organisational Development Committee on 24 May 2018 (**Appendix 5**). In introducing the report the Convener drew members' attention to the Committee's annual review of effectiveness, and in particular discussions regarding how the Committee could improve its communication with the Court.

The Court noted discussions relating to the 'refresh' of the five equality, diversity and inclusion online modules which had been in operation since 2009, and through discussion members noted that the Committee maintained an active interest in the monitoring of the completion of these modules and process for escalation in instances of non-completion.

Turning to discussions relating to the staff survey, the Court was pleased to note that the Committee had been satisfied that schools and directorates were actively using the data available to develop action plans, and that the Committee had paid particular attention to the plans for the small number of areas where the results had caused concern.

The Convener confirmed that the Committee had reviewed and approved the Shared Parental Leave Policy, but recommended that thought be given to 'user-friendly' communication of the policy given its technical nature.

- The Court decided:**
- (i) to approve the Shared Parental Leave Policy; and
 - (ii) otherwise to approve the minutes.

(5) Remuneration Committee

The Court received a report from the meeting of the Remuneration Committee on 24 April 2018. Members noted that the Convener had provided a verbal update on these minutes at the meeting of Court on 24 April (**Appendix 6**).

The Convener provided members with a summary of discussions at the meeting of the Committee that morning. She drew to members' attention early discussions relating to the remuneration budget for 2018/19, and members noted that the University Executive Group (UEG) had been asked to prepare a number of options for consideration. Members also noted that the Committee had considered a paper from the University Executive Group in relation to the topic of Grade 10 banding, and had asked that officers further review proposals on the basis of the discussion and bring forward revised proposals to the next meeting. The Convener also told the Court that the Committee was considering the terms and conditions for the appointment of a new Principal, and that a process had been agreed for the finalisation of the remuneration package in this respect.

Lastly, the Convener highlighted discussions relating to the Scottish Code of Good HE Governance section 7:80 which set out the requirement that the Remuneration Committee seek the views of staff and students of the University in relation to the remuneration of the Principal and senior executive team. Members noted that the Convener had met separately with student and union representatives to seek their opinions on how this requirement might be met. Members noted that the Code stipulated that the requirement might *'be implemented in part through relevant members of the governing body serving as members of the remuneration committee or attending its meetings, or [...] through separate consultation with representatives of the student and staff communities'*, and that both the students and campus unions had been keen to see the membership of the Remuneration Committee updated to include staff and student members. With regard to student membership, members noted that the Committee had been supportive of a proposal that the Independent Student member on Court join the Remuneration Committee, and members approved this proposal. Turning to staff membership of the Committee, and noting that all three unions had expressed an interest in membership of the Committee, the Court was supportive of a proposal that all staff members of the Court who did not have a conflict of interest by virtue of being on Grade 10 themselves be invited to express their interest in serving on the Committee to the University Secretary and that, as with all committees of Court, the Governance & Nominations Committee be asked to consider such expressions at its next meeting on 14 August 2018, and make a recommendation to the Court at the Retreat in August. The Court supported the Committee's focus on ensuring that a robust consultative process was developed alongside these membership changes, with a view to ensuring that the work of the Committee was enhanced and that the wider staff and student population, including those not engaged with a union or DUSA respectively, were consulted.

- The Court decided:**
- (i) to approve the minutes of the meeting on 24 April 2018;
 - (ii) to approve revisions to the Remit & Terms of Reference for the Committee;
 - (iii) to note the update in relation to discussions at the meeting on the morning of 11 June 2018; and
 - (iv) to approve the proposal that the Independent Student member on Court join the Remuneration Committee; and

- (v) to invite staff members of the Court who were not on Grade 10 to indicate to the University Secretary their interest in serving on the Remuneration Committee, and to ask the Governance & Nominations Committee to subsequently consider membership of the Committee.

(6) Welfare & Ethical Use of Animals Committee

The Court received a report from the meeting of the Welfare & Ethical Use of Animals Committee on 17 April 2018 (**Appendix 7**).

The Court decided: to approve the minutes.

93. **EMERGENCY COMMITTEE**

The Court decided: in accordance with accepted precedent, to remit the transaction of any urgent Court business over the summer to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairperson of Court and the Convener of the Finance & Policy Committee), one other staff member, and a student member where available; noting that the precise composition would be subject to availability. A report on any action taken would be submitted to the first business meeting of 2018/19.

94. **ANNUAL REPORT FROM THE CHAIR OF COURT**

The Chairman presented his annual report to Court, in which he reflected on his activities and performance, and the performance of the Court during the 2017/18 academic year. In doing so he provided an assessment of progress relative to his objectives, as formally approved by the Court at its meeting in October 2017. He also summarised progress relative to key areas of business during the year.

The Court decided: to note the report.

95. **REVIEW OF EFFECTIVENESS AND PERFORMANCE OF THE CHAIR OF COURT AND THE COURT AND ITS COMMITTEES**

[Secretary's note: The Chair of Court left the room for the duration of discussions relating to his personal effectiveness and performance. The Deputy Chair of Court, Mr Jo Elliot, chaired the meeting for this part of the discussion].

The Deputy Chair of Court invited comments from members in relation to the Chair's conduct of meetings, interactions within the University and sector interactions. Overall, members felt that the performance of the Chair had been strong during the period being reviewed, with members praising his inclusive and consultative approach, visible commitment to the University's values, and dedication to the University and its members. In this respect members

highlighted the Chair's increased presence at the University, his willingness to listen and consult, and his development of a strong knowledge of the higher education sector as being particularly valuable. Members highlighted his contribution to the enhancement of meetings and paperwork for the Court as representing a step forward. The Court however also highlighted the need to ensure that the Chair, and all Conveners of Court Committees, were actively aware of the implications of their increased engagement in terms of work-loads for officers. With regard to the objectives set for the Chair at the start of the year, members indicated that good progress had been made in ensuring that the boundaries between governance and management were clear and maintained during discussions.

Turning to the review of effectiveness of the Court and its committees, discussions focussed on what could be done to improve the effectiveness of the Court in relation to the consideration of strategic matters and priorities. In particular, members indicated that the Court Retreat in August would be an important opportunity to consider the action plans and priorities identified by the University Executive Group, and to clarify the role of each of the Committees in relation to oversight of performance. Through discussion members also suggested that an additional half-day strategic event around the time of the February meeting of the Court would be valuable. On the whole, Court indicated a growing confidence in the data and management information provided, and asked officers to consider if there were alternative ways to structure the Court agenda to reflect this confidence and improve efficiency. Members also suggested that it would be helpful if strategic risks could be highlighted and summarised across the reports received by the Court – perhaps through the cover sheets.

The Court decided: to note the outcomes of the reviews.

96. COURT RETREAT PROPOSALS

The Court received a provisional programme for the Court Retreat on 30 and 31 August 2018. Members were pleased to note the proposal to repeat the pre-dinner speech segment, and confirmed that they were content that the Court member only session was no longer required.

The Court decided: to note the proposals.

97. NARRATIVE FOR THE SENATE

The following items of business were selected by the Court to highlight to the Senatus Academicus: the 2018/19 budget, the Joint Educational Institute (China), Business Transformation, and Remuneration Committee.

The Court decided: to ask that these areas be highlighted to the Senate.

98. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senate on 23 May 2018 (**Appendix 8**). The Court noted in particular the approval of the Senate of: amendments to Ordinance 18, the repeal of Ordinances 49 and 50, and the approval of changes proposed to Ordinance 39, and the approval of the Academic Calendar.

- The Court decided:**
- (i) to approve the Academic Calendar for 2018/19 (**Appendix 8 annex a**)
 - (ii) to note the approval by the Senate of changes to Ordinance 18 (Election of Members of the Court and Senate), noting that these were considered to be urgent and uncontentious in nature, and had therefore been previously approved by the Court under the terms of Article 16.2 of the Charter, such that it be passed at a single meeting;
 - (iii) to note the approval of the Senate, for its part, of the repeal of Ordinances 49 and 50;
 - (iv) to approve, subject to ratification at a subsequent meeting, changes poposed to Ordinance 39 (Degrees, Diplomas and Certificates) (**Appendix 8 annex b**); and
 - (v) otherwise, to note the report.

99. **ENHANCEMENT-LED INSTITUTIONAL REVIEW (ELIR-4)**

The Court received a working draft of the Reflective Analysis for ELIR-4. Members thanked the Director of Quality & Academic Standards for the report and the accompanying summary which provided an overview of the ELIR process, approach to the production of the analysis, and highlighted the key features of each of the areas of the report

The Court decided: to thank the Director for the comprehensive report and approve the direction of travel for its finalisation.

100. **MINUTES OF THE ACADEMIC HEALTH SCIENCE PARTNERSHIP BOARD MEETING**

The Court received a report from the meeting of the AHSP Board on 10 May 2018.

The Court decided: to note the report.

101. **STAFF**

Senior Appointment

The Court noted the appointment of the following member of staff:

Name	Title	Date
Professor Lesley Colvin	Chair of Pain Medicine	1 May 2018

The Court decided: to note the appointment.

102. RETIREMENTS

The Court noted that the two student members on Court, Ezichi Ekpe and Sean O'Connor, would reach the end of their terms on Court after the meeting, thanked them both for their contributions during their service in 2017/18 and wished them well for the future.

The Chair also reminded members that Denis Taylor's resignation would come into effect from the end of the academic year, and members asked that his contributions to the Court and a wide number of its committees be noted, and wished him well – noting that there would be continued engagement with the University through his new role as Chair of the DUSA Board of Trustees.

The Court also noted that it was the last meeting for Jo Elliot (Deputy Chair of Court and Convener of the Audit Committee), and Andrew Richmond (Convener of the Finance & Policy Committee), both of whom had served the maximum term of office of 8 years as lay members of the Court. The Chair of Court paid tribute to their influence on the Court and their leadership of their respective committees during a period of focus on financial sustainability, and offered the thanks of the Court and the University for their outstanding contributions.

The Court also thanked the Interim Director of Finance for his contributions during his time at the University, noting that he would leave at the end of August 2018.

The Court decided: to note the Court's thanks to the members leaving the Court.

Mr Ronald Bowie
Chair of Court
University of Dundee

APPENDIX 1

PRINCIPAL'S REPORT (Minute 90)

Introduction

1. I am pleased to have the chance in this report to reflect on what has been a strong year for the University, despite some significant challenges – including, but not limited to, continuing funding pressures, the uncertainty around the ultimate effect of Brexit on the higher education sector, and the dispute relating to the valuation of the Universities Superannuation Scheme, and resulting industrial action. Against this background, we have again performed well in the main University league tables; our students continue to excel and be recognised for their hard work; and the impact of our research is being increasingly recognised. The implementation of Business Transformation, although not without its difficulties, is underway; we have created sufficient headroom in our budget to address investment priorities to help drive our ambitions; and the support from all across the institution for the University Strategy remains encouraging. I want to place on record my thanks to all staff, students, and Court members for all their efforts over the past year.

University Strategy to 2022

2. From the beginning, the new Strategy to 2022 has been developed as a high-level document, supported by operational action plans and KPIs which will transform high-level priorities into specific actions. It is the development and refining of these action plans and KPIs that has been the focus of our attention since the last meeting of Court, and we have a paper on today's agenda detailing our progress. I look forward to providing members with an update on our progress in this regard.

University Reputation

3. The publication of the 2019 Complete University Guide saw the University of Dundee placed top in Scotland and sixth in the UK for graduate prospects, with over 85% of our recent graduates now going on to graduate-level employment and further study. This is a testament to the quality of the education and training we provide, and the talent and hard work of our students. While our overall ranking of 31st is a decline of one place on 2018, it nonetheless reflects a strong position following our positive performance in recent years. We have made great progress across the subject rankings: we are top in the UK for Forensic Science, and have achieved top ten placings for Dentistry (2nd), Education (3rd), Medical Technology (5th), Anatomy and Physiology (6th), Biological Sciences (6th), Medicine (6th), Law (8th), and Art & Design (9th). Our student satisfaction, however, has fallen after four successive years of strong improvements, and an increase in our staff-student ratio resulted in a fall in ranking from 18 to 30. The Academic Services and Facilities Spend categories have also fallen in ranking, although a drop in the percentage of graduates with top honours qualifications (83 to 81) still maintains a level above previous years in both score and rank. A full report on the 2019 Complete University Guide results can be found on BOX.
4. In the latest Guardian University Guide, the University was ranked 29th in the UK, and again 4th in Scotland. While this is a fall of five places overall, we are now ranked 3rd in the UK for quality of teaching, 5th for graduate prospects, and 10th overall for student satisfaction. We have improved our ranking in six of the eight measures used in the main table last year. We did, however, rank 44th for a new measure of student retention included this year for the first time which accounts for our overall decline in ranking despite strong progress on other measures. In the subject rankings, Dentistry is our top performer, taking the number one position in the UK, with top 10 performances also in Law (3rd), Biosciences (6th), Medicine (8th), and Social Work (9th). A report on these results will be available shortly in the Learning and Teaching Data section of My Dundee. In the meantime, the full tables, including subject rankings, can be found here: <https://www.theguardian.com/education/ng-interactive/2018/may/29/university-league-tables-2019>
5. Members will be interested to note that a number of University projects have been named as finalists in this year's Herald Higher Education Awards. The awards highlight the ways in which institutions develop innovative materials and methods in teaching, and recognise universities' support for students, engagement with employers, and partnership working. More information on the awards can be found at: <http://newsquestscotlandevents.com/events/heawards/>

6. The winners will be announced at an awards ceremony on 28 June 2018. The following University of Dundee projects have been shortlisted:

Award	Project
Student Support Team of the Year	Centre of Entrepreneurship
Outstanding Contribution from a Student	Gary Jordan (School of Nursing & Health Sciences)
Enhancing Student Learning Award – supported by QAA	Global Health Challenge
Research Project of the Year	Prostate Cancer Research
	Hands of X

Internationalisation update

7. This last year has seen several notable developments in our international agenda, including the agreement to deliver a joint undergraduate degree with Asia's top university, the National University of Singapore. The new four-year Bachelor of Science degree programme will see students share their study time between Scotland and Singapore, and earn a qualification from both institutions. The first students will be welcomed onto the course in September.
8. The University has launched its first Dual Masters Degree, in collaboration with China's top university for studies in the field of energy, the China University of Petroleum Beijing (CUPB). The MSc in Energy Finance will see students spend their first year based at CUPB, where classes are taught in English by internationally-renowned lecturers and experts from the energy sector. Their second year will be based at the University's Centre for Energy, Petroleum and Mineral Law and Policy (CEPMLP). The first intake of students for this course will be welcomed in September.
9. A new partnership in Singapore with CSM Academy International will see the University provide a combination of in-country and online education for Singaporean registered nurses looking to top-up their diploma to degree qualification. The BSc Nursing and Health has been tailored specifically to ensure nurses are fully equipped to meet the challenges of Singapore's healthcare system, and has been accredited by the Singapore Nursing Board. The first intake of students will commence in September, with the next intake in May 2019. Following this, there will be three intakes per year (September, January and May).

Student Recruitment update

10. Recent changes to admissions policy have had a positive impact on the rate at which the University can make offers – something which is clearly demonstrated in the institution's current offer position, particularly for overseas Postgraduate Taught (PGT) courses. The latest data shows a similar position to last year in applications, offers, and acceptances for RUK. As in previous years, we expect to meet budget with a growth in matriculations through the Clearing process. Growth is also anticipated in overseas undergraduate admissions, with additional clearing activity using in-country staff planned. Meeting budget will be possible should trends continue, and clearing growth is positive as expected. The picture for PGT admissions is similar, while the data makes predicting performance in Postgraduate Research (PGR) more difficult. Members can find further details in the minutes from the May meeting of Finance & Policy Committee.

Tay Cities Deal update

11. At the last meeting of Court in May I updated members on the projected timeline for the agreement of the Tay Cities Deal Heads of Terms. Since that meeting there have been no indications from either the Scottish or UK Government as to when this might be expected, but we continue to lobby on behalf of the University's projects, and on behalf of the Deal itself, wherever possible. From recent conversations with local MPs I know that the timely completion of the Deal is also foremost in their minds, and that they continue to advocate strongly for it. I look forward to updating members further as the situation develops.

Duncan of Jordanstone College of Art and Design Degree Show

12. The Duncan of Jordanstone College of Art and Design (DJCAD) Degree Show once again proved to be an enormously popular event with staff, students and members of the public. More than 300 students exhibited this year, and at the time of writing it is expected that the show welcomed a record-breaking number of visitors. I hope Court members were able to attend.

Summer Graduation

13. I would like to thank Court members for the strong level of support for the graduation ceremonies later this month, where I will be performing the duties of Chancellor, as we await the official installation of Dame Jocelyn Bell Burnell in

September. The participation of members of the Court is always greatly appreciated, and a summary of the ceremonies has been circulated to members along with details of the honorary graduands.

Professor Sir Pete Downes
Principal & Vice-Chancellor

University Executive Group Meetings

Since the last full meeting of Court, the University Executive Group has met formally on 25 April, 2 May (for items to be brought forward to Finance & Policy Committee only), 9 May, 23 May and 6 June 2018. The following matters were considered:

Corporate Issues

- Scottish Code of Good Higher Education Governance
- Estates and Campus Services update
- SFC Strategic Dialogue Meeting
- University Strategy Action Plan
- Teaching Efficiency Project Update

Financial Issues

- University Budget
- Strategic Investment Priorities
- Management Accounts: Quarter 3 (February 2018 – April 2018)
- SFC Funding: Confirmed Final Allocation

Academic Management Issues

- Review of Core Systems to ensure they reflect the University structure: 2018-2019
- Biomedical Sciences Project: update
- Joint Educational Institute in China: update
- School of Humanities: Liberal Arts Project update

Human Resources issues

- Universities Superannuation Scheme dispute
- Dean of Medicine recruitment: next steps
- Appointment of Academic Lead for Distance and Blended Learning
- Remuneration of Professorial Staff
- Staff Recruitment: update
- Review of Deans Appointment Process

Major Grants and Awards

Professor DR Alessi (School of Life Sciences)

MRC QQR

£25,587,089 (£5,187,343 overhead) from the Medical Research Council

This grant provides vital core funding for the MRC-PPU for the next five years. The funding underpins much of the important research that takes place within both the MRC-PPU and the Division of Signal Transduction Therapy within the School of Life Sciences.

Dr MMK Muqit (School of Life Sciences)

Defining PINK1-regulated Signalling Pathways and Networks Linked to Parkinson's Disease

£2,088,664 (including £0 overhead) from the Wellcome Trust

Mutations in the PINK1 gene lead to Parkinson's disease. The renewal of this Wellcome fellowship will aid in the understanding of the PINK1 gene, with particular focus on its role in the dopamine neurons and brain regions that are most vulnerable in Parkinson's. This may lead to new insights into how to better treat the disease

Professor SM Parkes (School of Science and Engineering)

PANGU v5

£175,602 (including £58,992 overhead) from the European Space Agency

PANGU (Planet and Asteroid Natural-Scene Generation Utility) is a software tool used for testing vision-based navigation systems for spacecraft that land on other planets, and is widely used in Europe and other countries for testing and proving lander guidance systems. PANGU 5 is a continuation of funding from the European Space Agency to develop the PANGU software further.

Professor JS Rowan (School of Social Sciences)

Water, Sanitation and Hygiene in Sub-Saharan Africa: Understanding Policy and Practice

£160,534 (including £12,813 overhead) from the EC Horizon 2020 – Marie Skłodowska Curie Actions (MSCA)

This Marie Curie fellowship was awarded to Dr Emmanuel Akpabio from the University of Uyo, Nigeria. The project will explore the grand challenge of 'water and sanitation for all' as recently codified in UNESCO's Sustainable Development Goal 6, with particular focus on sub-Saharan Africa (SSA), exploring how formal and informal institutions intersect to shape policy practices.

Professor R Wolf (School of Medicine)

Developing New Paradigms for Overcoming Drug Resistance in Cancer Using Novel Humanised Mouse Models (joint with University of St Andrews)

£1,080,848 (including £342,267 overhead) from the Medical Research Council

This grant will support activity to exploit a unique panel of transgenic models to improve the development and use of anti-cancer drugs. A major goal of this pharmacology project is to establish how to combine new targeted anti-tumour agents in a manner which reduces toxicity and delays the onset of drug resistance. The model to be developed will also have applications in the personalised treatment of cancer.

People and Prizes

Four members of University staff have had their hard work recognised by the conferment of the Chancellor's Award for Outstanding Contributions to Teaching.

Winners of the Chancellor's Award must demonstrate enhancement to practice, sustainable change and impact as a result of their teaching. Furthermore, the Award demands evidence of support for transformational learning and a legacy from the changes and impact which the winners effected.

The winners were:

Name	Position	School
Janice Aitken	Reader and Associate Dean for Quality and Academic Standards	Duncan of Jordanstone College of Art and Design
Professor Stuart Cross	Professor of Law and Head of Discipline	School of Social Sciences
John Lee	Head of Undergraduate Studies	School of Nursing & Health Sciences
Professor John Peters	Professor of Pharmacology	School of Life Sciences

The DUSA Student Led Teaching Awards 2017/18 were held in May, giving our students the opportunity to recognise the best and brightest teachers from throughout the past year. An honorary award was also introduced for the first time to allow students to recognise other non-teaching staff. From a record-breaking 262 nominations submitted, the winners were:

Award	Name	Position	School / Directorate
Most Inspirational Teaching	Jason Nelson	Lecturer	Duncan of Jordanstone College of Art and Design
	Gil Martin	Lecturer	School of Education and Social work
	Sarah Halliday	Lecturer	School of Social Sciences
Innovation in Teaching	Jacques Hartmann	Senior Lecturer	School of Social Sciences
Best Assessment and Feedback	Carrie McLennan	Senior Lecturer	School of Education and Social Work
Best Advisor or Personal Tutor	Brenda Keatch	Lecturer	School of Education and Social Work
Outstanding Enhancement of the Student Experience (non-teaching)	Mahamadou Niakaté	Computing Specialist	School of Science and Engineering
Best Postgraduate Supervisor	Dr Kim Dale	Royal Associate University Research Fellow and Associate Dean (International)	School of Life Sciences
Outstanding Commitment to Student Welfare	Brenda Keatch	Lecturer	School of Education and Social Work
Honorary Award	Joan Muszynski	Student Support Advisor	Student Services
	Andrea Gibb	Enquiry Centre Coordinator	Student Services

Professor Tracy Palmer has been named a Fellow of the Royal Society (FRS), the world's oldest scientific academy in continuous existence.

Professor Palmer holds a Chair in Molecular Microbiology in the School of Life Sciences, and her research career has been focused on the study of bacteria. She is particularly interested in the processes by which bacteria such as E. coli interact with their surroundings and has published over 100 papers on the subject, gaining international recognition as one of the leading experts in the field.

The Royal Society is the national academy of science of the UK and the Commonwealth and is one of the world's most prestigious institutions of science. Its aim is to promote excellence in science.

Professor Bob Steele has been elected to join the prestigious Fellowship of the Academy of Medical Sciences. Professor Steele holds a Chair in Surgery in the School of Medicine. He is one of the UK's leading authorities on cancer screening, which plays a vital role in detecting the disease in its earliest stages and increasing survival rates.

The Academy of Medical Sciences is the independent body in the UK representing the diversity of medical science. Fellows are elected for their outstanding contributions to biomedical and health science, leading research discoveries, and translating developments into benefits for patients and the wider society.

Dr Cristiane Calixto has been awarded the prestigious Peter Massalski Prize for Meritorious Research for 2018.

Dr Calixto is a post-doctoral researcher in the Plant Sciences Division of the School of Life Sciences, based at the James Hutton Institute. Her work focuses on understanding how plant gene expression is regulated, and on using molecular and computational approaches to analyse crop stress responses.

The Peter Massalski Prize is administered by the Scottish Society for Crop Research (SSCR) and awarded through the generosity of Professor and the late Mrs T B Massalski, in memory of their son, Dr Peter R Massalski, who was a member of staff at the former Scottish Crop Research Institute.

APPENDIX 2

AUDIT COMMITTEE (Minute 92(1(a)))

A meeting of the Committee was held on 22 May 2018.

Present: Jo Elliot (Convener);
Karen Bassett;
Dr William Boyd;
Neil Menzies;
Karen Reid.

<u>In Attendance:</u>	Andrew Richmond	Convener, Finance and Policy Committee;
	Wendy Alexander	Vice-Principal (International);
	Andrew Jefferson	Interim Director of Finance;
	Naomi Jeffery	Senior Planning Officer (item 4);
	Dr Neale Laker	Director of Academic & Corporate Governance;
	Professor Karl Leydecker	Vice-Principal (Learning & Teaching) (item 8(3));
	Kevin Mallet	Deputy Director of Finance;
	Dr Jim McGeorge	University Secretary;
	Dr Jonathan Monk	Director of UoD IT (item 6);
	Keith MacPherson	(Ernst & Young);
	Chris Brown	(Scott-Moncrieff);
	Matthew Swann	(Scott-Moncrieff);
	Dr Liz Rogers	(Assistant Policy Officer (Risk & Audit);

1. MINUTES

The Committee reviewed the minutes from the meeting on 6 March 2018.

Resolved: to approve the minutes from the meeting of 6 March 2018.

2. MATTERS ARISING

(1) Action Log

The Committee considered a log of ongoing actions. The University Secretary provided members with an update on the development of the DUSA business plan.

Resolved: to approve the Audit Committee action log as presented.

(2) MBChB

Discussions under this item are exempt from public disclosure. The University claimed the exemptions in S.30 and S.33 of the Freedom of Information (Scotland) Act 2002. Members are therefore required to treat the discussion as strictly confidential.

[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 the item, which will then be included as an appendix to the minute of the meeting at which its release is approved.]

3. CONVENER'S REPORT

The Convener reported that he had met with the external and internal auditors since the last meeting and had attended the usual pre-meeting with officers. The Committee noted that discussions had focussed on matters raised on the agenda and that the Convener would highlight any issues arising at relevant points in the meeting.

Resolved: to note the update.

4. UNIVERSITY STRATEGY ACTION PLAN

The University Secretary introduced a paper on the University Strategy action plan from the Director of Strategic Planning. The Committee viewed the action plan dashboard and the proposed reporting structure to ensure the Court and its committees received assurance on the implementation of the Strategy, including appropriate narrative in support of significant points highlighted on the dashboard. Members noted that further work was underway to build in reporting against deadlines and the prioritisation of actions, taking into account resource constraints. The plan would be revised as and when priorities or the external environment changed.

Resolved: to note the update.

5. GENERAL DATA PROTECTION REGULATIONS (GDPR) UPDATE

The University Secretary provided members with an update on GDPR compliance, highlighting the revised data protection policy, the matrix documenting the lawfulness of University activities and the new GDPR website as areas where significant progress had been made. Members viewed the GDPR website, which included information for staff and students, GDPR toolkits and information on the right to deletion. Members also received a copy of the GDPR leaflets that had been provided to all staff. Members welcomed the update and progress to date and agreed that the University Secretary would discuss with the internal auditors a GDPR health check to provide external assurance.

Resolved: to note the update.

6. IT UPDATE

The Director of UoD IT attended to provide members with an update on cybersecurity. Members noted progress with patching, including the development of a patching policy and scheduled times during which patching would be carried out. The Director confirmed that there was strong support from the University Executive Group for the policy and that staff would become used to the new process. Members discussed the risk of continuing to use systems that could not be patched, and noted that this had been covered in IT's risk register. The Committee suggested that the University consider its risk appetite for non-patchable systems and agreed that the patching policy would be circulated to the Committee for information.

The Committee also received an update on cybersecurity training, noting that completion of the course was mandatory and that the sanction of suspending a user's account would be considered if training completion remained outstanding. The Director informed the Committee that a target date for a 100% completion rate had been set for October 2018 in order to qualify for Cyber Essentials accreditation. Members noted that a strong communication plan would be needed to support the achievement of this goal.

Resolved: (i) to await the circulation of the patching policy; and
(ii) to note the update.

7. EXTERNAL AUDIT

The External Auditors outlined the approach to be taken in carrying out the external audit for the year ending 31 July 2018, setting out the scope, fee and materiality thresholds for the audit. The external auditors also formally confirmed their independence.

Members noted a new risk in the valuation of intangible assets. Discussions focused on the rationale for capitalising the Business Transformation Programme expenditure. The Interim Director of Finance explained that capitalisation would spread costs, which would mirror the way in which the University would benefit from the asset over a number of years. The current policy was to depreciate over the length of the contract with TechnologyOne. The University's general accounting policy would allow for capitalisation over fifteen years. In recognition that it is unlikely that the University would not extend the current contract out to at least 10 years the Finance Directorate had discussed with EY revising the depreciation rate to ten years as this would be a more realistic period for economic benefit.

Members questioned the impact of delays to the implementation of the Business Transformation Programme on capitalisation of costs. The Interim Director confirmed that costs and assumed depreciation would be taken on a workstream-by-workstream basis. Any abortive expenditure as a result of delay would have to be written off as a current year expense.

The Committee questioned the risk level for financial sustainability as 'lowered risk'. It had been rated as such to reflect the fact that in the current year there had been no significant risk to the University's being considered a going

concern, but the external auditors confirmed that this would be reviewed in the going concern statement, taking into accounts risks around the USS and UoDSS pension schemes.

Resolved: to note the update.

8. INTERNAL AUDIT

(1) Internal Audit Progress Report 2017/18

The internal auditors tabled the internal audit progress report summarising the audit activity during the year to date. Members noted that some internal audit work had been delayed to coordinate with the go-live for the finance element of the Business Transformation Programme, and that as a result several reports would be presented at the October meeting. There will be some carry-over of internal audit hours from 2017/18 into the following year.

Resolved: to note the update.

(2) Internal Audit Plan 2018/19

The Committee received a report from the internal auditors outlining a draft plan for internal audit work over the academic year 2018/19. Members suggested (i) that a GDPR health check be provided at the September meeting (ii) that the scheduled review on 'Implementation of the University Strategy - monitoring and reporting' focus on 'delivering sustainable ambition' to provide assurance in relation to long-term planning for financial sustainability and (iii) that IT should be reviewed again early in 2019/20.

Discussions focused on the style of reporting and future areas for internal audit. There was also discussion on assurance, it being noted that the Committee drew on a range of sources in that regard (including for example the input of senior officers) and not solely on internal and external audit.

Resolved: to ask Scott-Moncrieff to liaise with officers to update their plan in light of discussions referenced above.

(3) Student Experience Review

The internal auditors introduced their report which focused on the pastoral and academic advice provided by Academic Advisors in Schools. As part of the review, interviews were held with staff in the Schools of Art & Design, Science & Engineering and Social Sciences, and information was provided by the Schools of Humanities, Nursing & Health Sciences and Life Sciences to complement the interviews. The Committee noted that there were four recommendations, one at Grade 3 (high risk exposure), two at Grade 2 (moderate risk exposure) and one at Grade 1 (limited risk exposure). Members noted that the Grade 3 rating referred to enhancing early intervention processes, noting that best practice in this area had been identified in the School of Life Sciences. All recommendations had been accepted by management.

The Vice-Principal (Learning & Teaching) attended the meeting for this item. He stated that the review had been extremely valuable, and provided the Committee with information on how the recommendations would be implemented, such as the development of an advisors handbook and training.

Committee discussions focused on pastoral care for students, noting that the University would be taking a proactive approach in ensuring that students were aware of all the services available.

Resolved: to note the update.

9. GIFTS AND HOSPITALITY POLICY

Members considered the revised Gifts & Hospitality policy (annex), noting that the revisions brought it in line with the Scottish Code of Good HE Governance. The Director of Academic & Corporate Governance drew members' attention to the enhanced provisions relating to lay members of Court, explaining that gifts accepted in a different capacity could have a bearing on their University governance work.

Resolved: subject to a minor amendment, for its part to endorse the revised Gifts & Hospitality Policy to the Court for approval.

10. **RISK MANAGEMENT AND BUSINESS CONTINUITY**(1) Business Continuity Update

Members viewed a paper from the Assistant Policy Officer (Risk & Audit) providing an update on work towards enhanced business continuity planning. Members noted progress on the completion of local business analyses, the development of local business continuity plans and major incident response planning. The Committee agreed that the completion of business impact analyses would be critical in developing a comprehensive institutional business continuity plan. The Director of Academic & Corporate Governance informed members that the Risk Management Oversight Group would take a view on draft plans, and pending their approval, these could then be shared with the Committee.

Resolved: to note the update.

(2) Risk Management Oversight Group Minutes

Members viewed the minutes from the meeting of the Risk Management Oversight Group meeting on 13 March 2018. Members noted the Group's discussions on risk appetite at School/Directorate level and exercising and testing business continuity plans.

Resolved: to note the minutes.

11. **BUSINESS TRANSFORMATION**(1) Business Transformation Update

The University Secretary provided members with an update on the Business Transformation Programme, noting that the options appraisal exercise recommended by the Committee had been very helpful for the University Executive Group and the Court in the University's relationship with the supplier. Members noted that the Finance system currently remained on track for go-live in August. The Human Resources & Payroll system was presently planned to go-live in November. Members learned that progress had been made on the Research stream, but that the student system would likely be delayed. As such, steps were being taken to ensure that SITS remained fit for purpose and discussions would need to commence in relation to compensation for any delay. At the time of the meeting, the programme remained within budget (taking compensation into account).

Resolved: to note the update.

(2) Business Transformation Steering Committee minutes

Members viewed the minutes from the Steering Committee meeting on 17 April 2018.

Resolved: to note the minutes.

12. **LEGAL RISKS REPORT**

The Committee considered a report from the Director of Legal providing an update on legal risks and current open cases.

Resolved: to note the update.

13. **REVIEW OF EFFECTIVENESS**

As part of the Court's annual review of effectiveness, the Committee considered its own effectiveness. Members viewed the Committee workplan for 2017/18 alongside the results of a survey which had been distributed to members and officers prior to the meeting.

Members felt that it would be beneficial for the Court and its committees to review their remits to ensure that committees did not stray into other areas of governance or operational matters. For its own remit, the Committee agreed that the Financial Reporting Council guidelines should be consulted.

Resolved: to note the update.

14. HEALTH & SAFETY SUB-COMMITTEE MINUTES

The Committee viewed the minutes from the meeting of the Health & Safety Sub-Committee on 1 May 2018.

Resolved: to note the update.

15. PRIVATE MEETING WITH INTERNAL AND EXTERNAL AUDITORS

Officers withdrew from the meeting at this point so that the Committee could speak in private with the internal and external auditors. No issues were raised that had not been discussed during the meeting.

The Internal and External Auditors both indicated that the relationship with the University continued to be positive and no issues were raised.

16. PRIVATE MEETING WITH OFFICERS

The Auditors withdrew from the meeting at this point so that the Committee could speak in private with officers. No issues were raised.

17. NARRATIVE FOR COURT

During the meeting it was agreed that the Convener's next oral report to the Court would include the following: the update on cybersecurity training and the importance of a strong communication strategy to support the completion of this, the internal audit plan for 2018/19, discussions on the review of student experience, the revised Gifts & Hospitality policy, and discussions on the Committee's review of effectiveness.

18. CONVENER OF AUDIT COMMITTEE

Noting that it would be the Convener's last meeting of Audit Committee, members and officers thanked him for all of his work as Convener and as a member of Court, and wished him the best for the future.

19. DATE OF NEXT MEETING

Resolved: to be confirmed.

Gifts & Hospitality Policy

Introduction

1. This policy sets out the University's expectations of its staff and members of Court on the giving and receiving of gifts and hospitality. It also makes clear who is required to maintain a register of gifts and hospitality that have been declared under the policy. The policy should be read in conjunction with the University's Anti-Bribery Policy Statement¹.
2. The acceptance of gifts and excessive hospitality can cause damage to the University's reputation and may lead to prosecution under the Bribery Act 2010. This policy seeks to protect staff and lay members of Court (and any additional lay members of its Committees) from the suspicion of dishonesty as well as from the perception that their decision-making may have been influenced as a result of the acceptance or provision of gifts or hospitality. By doing so, the policy aims to ensure staff are free from any conflict of interest.

Definitions

3. Gifts are items or services given or received for which no payment has been made in return or where the item or service has been accepted or provided at a level clearly below an appropriate market value.
4. Hospitality can be defined as any food, drink, accommodation or entertainment which has been provided either without charge or at a heavily discounted rate.

Principles

5. All staff and members of the University Court must not accept, solicit or offer any personal benefit as an inducement or reward for taking specific action or for showing favour or disfavour to any other person. This includes the acceptance or solicitation of benefits on behalf of other related parties, such as partners, spouses, other family members or colleagues.
6. Moreover, staff must not accept gifts or hospitality or benefits of any kind if it might be perceived that their personal integrity or professionalism has been compromised, or that their decisions may have been influenced, or if they or the University might be seen to be placed under an obligation.
7. These principles notwithstanding, the University accepts that there may be circumstances where the unsolicited acceptance of gifts or hospitality will be appropriate, or indeed where declining such gifts or hospitality may cause offence that is detrimental to the University's interests.
8. The University expects its staff and also the members of the University Court to exercise the utmost care when giving and accepting gifts and hospitality when on University business. In particular, care should be taken when accepting a gift or hospitality from a person who, or organisation which, has or hopes to have a contract with the University.

Additionally, staff should take especial care when giving and accepting gifts or hospitality from a person who, or an organisation which, might be perceived to be seeking to gain academic advantage or influence. This will include, but is not limited to, such circumstances as acceptance onto a programme of study, assessing a student's work, or the interpretation or provision of favourable research results.

9. If, having previously accepted a gift or hospitality, a member of staff finds him or herself in a position where a decision might be construed as having been influenced by the acceptance of that gift or hospitality, the resulting conflict of interest should be declared in accordance with the table at Appendix 1.

¹ <https://uod.app.box.com/file/94011936019>, approved by the University Court, December 2015.

10. The guiding principle is that the gift or hospitality should be proportionate and appropriate to the circumstances in which it is offered or received. Staff should at all times avoid the risk of accepting or providing gifts or hospitality which might be perceived as immoderate, excessive or extravagant, whether by members of the University or the public.
11. Lay members of Court (alongside any additional lay members of its Committees) have a particular responsibility in relation to gifts or hospitality which are offered or received in fulfilment of duties relating to activities with their employer or with an organisation other than the University. In accepting or offering such gifts or hospitality, lay members should carefully consider whether doing so may lead to a perception that their decision-making in relation to University business or their personal integrity may be unduly affected. In such cases, lay members should consider declaring these gifts or hospitality to the University, alongside any gifts or hospitality they may have received by virtue of their role as a lay member. Careful thought needs to be given as to whether it may be more prudent to decline such gifts or hospitality.

Guidance

General

12. Before accepting unsolicited gifts, hospitality or other benefits and irrespective of the guidance given below, staff have a personal responsibility to consider in every case whether acceptance might put them in breach of the principles outlined above. Where this is, or may be perceived to be the case, staff should politely decline.

Receiving Gifts

13. Staff may accept gifts of low intrinsic value (generally taken to be below £30), such as tokens of gratitude; promotional and corporate gifts bearing the institutional or organisational logo or name of the giver; or books (including e-books) from publishers to academic staff where the books are relevant to the academic and/or professional interests of the staff concerned.
14. Gifts of greater than low intrinsic value should on the whole be declined or returned. All such gifts, whether declined or accepted, must be reported to the Dean of School or Director of a professional services directorate, as appropriate, to be entered into a Register of Gifts & Hospitality (see below). Deans, School Managers and Directors of Professional Services must report such gifts to their respective line managers, the Vice-Principals and Secretary to the Principal, and the Principal and lay members of the University Court to the Director of Academic & Corporate Governance (see Appendix 1 for detailed reporting structure).
15. Advice on whether a gift of greater than low intrinsic value can be accepted should be sought in the first instance from the relevant Dean or Director and thereafter from the Director of Academic & Corporate Governance, Director of Legal or the University Secretary.
16. Gifts of greater than low intrinsic value that are nevertheless accepted should normally be regarded as the property of the University and used or retained accordingly. It should be normal practice for such items, as well as any low value gifts of particular prominence, to be included within the University's museum collection, and contact should be made with the Curator of Museum Services to discuss whether this is appropriate. Such gifts should nevertheless be included on the Register of Gifts & Hospitality and note made of the action taken.
17. Personal gifts of money (or monetary instruments) should never be accepted regardless of amount. Gifts of money to the University should be received only if they are clearly charitable donations, co-ordinated through the Principal, the Director of Finance or the Director of External Relations.

Receiving Hospitality

18. Modest hospitality, provided it is reasonable in the circumstances, such as lunches or other meals in the course of working visits, is generally acceptable provided its acceptance is consistent with the principles set out above. Such hospitality should normally be similar to the scale of hospitality that the University would be likely to offer in similar circumstances.
19. Staff attendance at sporting, cultural or similar events at the invitation of suppliers, potential suppliers or consultants is not generally acceptable to the University. Similarly, the acceptance of invitations by suppliers, potential suppliers or consultants to participate in social, sporting and similar activities (for example golf days or activity days) is not generally acceptable to the University.

20. Regardless of whether it is accepted or declined, hospitality which falls outwith what is generally acceptable must be declared in the same way as for gifts as set out above and likewise entered into a Register of Gifts & Hospitality. In the same way, advice in cases of doubt should be sought from the relevant Dean or Director and thereafter from the Director of Academic & Corporate Governance, Director of Legal or the University Secretary.

Providing Gifts or Hospitality

21. Business gifts, including hospitality, may on occasion be provided by the University. This would normally be acceptable in circumstances where external or international visits take place and gifts are exchanged as a means of cementing goodwill, or as tokens of gratitude.
22. In this regard, gifts should normally be of a type and value which fall within the guidance set out above for the acceptance of gifts, and especially in accordance with the description given at paragraph 11.
23. Hospitality provided to external visitors should likewise fall within the description set out above for the receipt of hospitality, and in particular in accordance with paragraph 16.
24. Where gifts or hospitality are offered that fall outside the definitions and scope of the above principles and guidance, these must be entered into a Register of Gifts & Hospitality.

Register of Gifts & Hospitality

25. In the interests of transparency, Deans and Directors must ensure that local Registers of Gifts & Hospitality are kept within their areas of responsibility.
26. Each Register should record the following:
- Description and nature of gift or hospitality;
 - Whether the gift or hospitality was received or provided by a member of the University;
 - Value or estimated value;
 - Name of individual/company providing the gift or hospitality;
 - Whether the gift was accepted or declined;
 - Date of receipt;
 - Name of individual/company who received the gift, and if a University employee, whether personally or on behalf of the University;
 - The circumstances within which the gift or hospitality was offered.
27. In the case of members of the University Court (and lay members of any other of its Committees) and of the University Executive Group, gifts and hospitality should be recorded in the Corporate Register held by the Director of Academic & Corporate Governance. This register will be publicly available on the University's website.
28. Each local register shall be reported annually, or on request, to the Director of Academic & Corporate Governance for onward reporting to the University Audit Committee, as appropriate.
29. Failure to declare gifts or hospitality or failure to include them timeously on the Register of Gifts & Hospitality may constitute misconduct, particularly where acceptance or provision of such gifts or hospitality calls into question the integrity of the individual receiving or offering such gifts or hospitality or where as a result the University is brought into disrepute.

Appendix 1

Recipient/Provider	Who to report to	Which Register
Academic Staff within Schools	Dean	School Register
Professional Services Staff within Schools	School Manager	School Register
Deans	Vice-Principal (Provost)	School Register
School Managers	Director of Academic & Corporate Governance	School Register
Staff within Directorates	Director of Service	Directorate Register
Directors of Professional Services (except members of UEG)	University Secretary	Directorate Register
Vice-Principals	Principal	Corporate Register (held by ACG)
Secretary and the Directors of Finance, HR & OD and External Relations	Principal	Corporate Register (held by ACG)
Principal	Director of Academic & Corporate Governance	Corporate Register (held by ACG)
Lay Members of Court	Director of Academic & Corporate Governance	Corporate Register (held by ACG)
Lay Members of Court Committees	Director of Academic & Corporate Governance	Corporate Register (held by ACG)

APPENDIX 3

FINANCE & POLICY COMMITTEE (Minute 92(1)(b))

A meeting of the Committee was held on 15 May 2018.

Present: Andrew Richmond (Convener);
Richard Bint;
Ronald Bowie;
Principal, Professor Sir Pete Downes;
Jane Marshall.

In Attendance: Professor Nic Beech (Vice-Principal (Provost));
Jo Elliot (Chair, Audit Committee);
Andrew Jefferson (Interim Director of Finance);
Rose Jenkins (Director of Campus Services);
Dr Neale Laker (Director of Academic & Corporate Governance);
Professor Karl Leydecker (Vice-Principal, Learning & Teaching)(Item 6(3));
Kevin Mallett (Deputy Director of Finance)
Dr Jim McGeorge (University Secretary);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Wesley Rennison (Director of Strategic Planning);
Professor John Rowan (Vice-Principal Research, Knowledge Exchange & Wider Impact)

Apologies: Sean O'Connor;
Professor Mairi Scott;
Allan Murray; and
Sharon Sweeney.

The meeting was preceded by a Research Funding briefing session led by the Vice-Principal (Research, Knowledge Exchange & Wider Impact), and the Head of Research Finance Services. The Committee thanked them for the informative briefing and members welcomed the offer to explore the area further in individual meetings if desired.

Noting that the Committee was inquorate due to the number of apologies sent, members agreed that a note of decisions required should be circulated to members who were not present seeking their approval for those items in advance of the forthcoming Court meeting.

[Secretary's note: the note of decisions was subsequently circulated to members absent from the meeting, who confirmed their approval of the decisions proposed.]

1. MINUTES

Resolved: to approve the minutes of the meeting of 27 March 2018, including minute 9(3) which was considered as an item of reserved business.

2. MATTERS ARISING

Action Log

Secretary's note: The University Secretary and Director of Academic & Corporate Governance, as Directors of Dundee Student Villages Ltd, declared an interest in the discussions noted below and did not participate in the discussions.

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 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.

3. MANAGEMENT ACCOUNTS (Q3)

The Committee received the management accounts for the third quarter (Q3 accounts). The Deputy Director of Finance drew members' attention to the outturn on operational activity, which showed a positive variance of £3.4m against budget, with the forecast deficit for the full year reduced to £1.2m.

The Deputy Director of Finance highlighted reports within the accounts which detailed the quarterly movements for individual schools, and in particular drew members' attention to aspects relating to staff costs and tuition fees. Discussions focused on fee income, and members noted that both volume and price had contributed to improvements in this respect.

The Deputy Director highlighted a table which detailed the allocation of centrally incurred costs to Schools based on the TRAC drivers. He advised that the drivers had been updated following the finalisation of the 2016/17 TRAC return. The Committee also reviewed the balance sheet and noted in particular provisions relating to the Business Transformation Programme, and the analysis of the University's net cash position which was broadly similar to the 2016/17 profile.

The Committee was pleased to note that the Q3 results for individual Directorates and Schools would be reviewed by the relevant Directors/Deans with the University Secretary or Vice-Principal (Provost) respectively, as well as at meetings of the Professional Services Group/Deans' Group and UEG, and that any concerns would be escalated to the Committee as required or appropriate. The Deputy Director of Finance highlighted the review of the Management Accounts which was currently being undertaken and invited members to contribute thoughts as to how they might be developed.

Resolved: to note the accounts (available to Court members on BOX).

4. DRAFT BUDGET 2018/19, 3 YEAR PROJECTIONS FOR THE SFC, AND CAPITAL PLAN

Secretary's note: the Director of Academic & Corporate Governance, as a Trustee of the University of Dundee Superannuation Scheme (UoDSS), declared an interest in discussions relating to the scheme and left the room for the duration of those discussions.

The Interim Director of Finance outlined the proposed budget for 2018/19, and in doing-so highlighted the process by which the budget had been developed. Members noted in particular that the University Executive Group (UEG) had sought improvement on the performance previously projected for year two of the 2017/18 budget in order to provide capacity for investment of up to £2m in areas considered to be key to future growth, and to provide a contingency of £1m against under-recruitment of students and anticipated increases in employer pension contributions. Members noted that the UEG was reviewing and prioritising the allocation of investments against a number of strategic proposals, and would monitor the outcomes throughout 2018/19 to ensure value for money and the achievement of targets. Members questioned if a similar strategic investment fund should be included in years two and three of the budget, but noted that it was anticipated that the return on funds invested in year one would create this headroom. The Director went on to provide an overview of savings anticipated from Schools and Directorates, and members noted that the budget for the coming year also included projected in-year savings arising from staff vacancies and turnover.

The Committee was pleased to note that the student recruitment targets previously set had been reviewed, and that the resulting forecasts were seen to be realistic and achievable - if challenging. In this respect members noted the importance of the International College Dundee and academic involvement in recruitment in terms of delivering the targets. The Director also drew members' attention to an analysis of the impact of volume, mix, and price on the achievement of fee income targets.

Discussions turned to the University's exposure in relation to the University of Dundee Superannuation Scheme (UoDSS) and the Universities Superannuation Scheme (USS), where increases in employer contributions were expected to be required. The Interim Director confirmed that a £1m provision had been included in the budget, with a further cash allocation being provided to cover anticipated liabilities. Members highlighted the potential for the required contributions to be above the level included in the budget, and also the importance of communicating with staff in relation to the potential impact of increased contribution levels on both the employer and employee. Members noted that this was an area which the Pension Sub-Group was paying close attention to, and that it would continue to report to the Committee on a regular basis.

The Director went on to present a summary of the projected cash flow, including scenario modelling for performance relative to the banking covenants on the 'revolver' loan up until its expiry in 2021. Members

welcomed the modelling and highlighted the importance of keeping tight control over trading and surplus figures to maintain compliance with the covenants.

Resolved: to endorse to the Court the budget and three year plan.

5. ESTATES AND CAMPUS SERVICES

The Director of Estates & Campus Services introduced a report summarising proposals for future reporting to the Committee in relation to Estates & Campus Services business. The paper also detailed proposals relating to accommodation for the School of Business, and perspectives on risks relating to estates aspects of the Tay Cities Deal. In introducing the report the Director highlighted work being undertaken across the Directorate to improve the availability of key performance data and thereby the visibility of trends which would inform both reporting to the Committee, and the development of the estates strategy.

Members' attention was drawn to the status of current estates projects, which had been assessed and categorised according to the eight stages of the Royal Institute of British Architects (RIBA) Plan of Work. In this manner, members were advised of the progress of projects ranging from feasibility assessment to on-site delivery. The Director highlighted two projects where the status had changed since the report had been drafted, and members noted that work on the demolition of the MicroCentre had been paused following the unexpected discovery of asbestos, and would re-start only once the risks had been fully assessed and mitigated.

The Director provided an overview of progress in relation to the development of the estates strategy, and members noted that the Estates Group had now met on three occasions and had agreed a comprehensive scope and context to its work.

The Director provided an update on the development of proposals relating to accommodation for the School of Business. Members noted that the Director had reviewed the brief and was now working with the School and the design team to develop a proposal which was of an appropriate size and specification, and that enabled a phased expansion of the accommodation in line with projected student numbers and income growth. Members were pleased to note that the revised proposals were based on a 'OneDundee' approach to teaching space, which would improve space utilization and foster an interdisciplinary community. Members noted that a formal proposal would be brought to the Committee for approval in due course.

Turning to the Tay Cities Deal, members noted that the Director had now met with representatives of the projects to review the requirements of the three developments detailed in the two bids going forward. Members noted that particular attention was being paid to risks and opportunities, and that the Director would provide a further report to the Committee once the operational level investigations had been completed.

Resolved: to thank the Director for the report.

6. UPDATES

(1) Business Transformation

The Committee received the minutes from the meeting of the Business Transformation Steering Group meeting on 17 April 2018. Members noted that the meeting pre-dated the presentation to the Court on 24 April, at which time an options appraisal had been presented and considered, and that the University Secretary would provide an update to the next meeting of the Court regarding the response from TechnologyOne to the conditions put forward by the Court.

Resolved: to note the update.

(2) Student Numbers Update

The Director of Strategic Planning provided the Committee with a paper which updated members on the current recruitment position for 2018/19. The Director drew members' attention to the forecast data and it was noted that the University was on track to meet the budget projection. However, as in previous years, this was reliant upon a strong performance in Clearing.

Resolved: to note the report.

(3) Efficiency in Learning & Teaching

The Vice-Principal (Learning & Teaching) provided the Committee with a report detailing progress in teaching efficiency over the previous six month period. In particular the Vice-Principal highlighted activities relating to the improvement of data and information, curriculum review, workload allocation, assessment, and efficient administration.

The Committee was particularly interested to note the review of modules with low numbers of students registered, and the Vice-Principal confirmed that each Associate Dean for Teaching was reviewing the module portfolio for their School with a view to identifying further efficiencies.

The Committee also highlighted the importance of data in understanding the cost of teaching. Members noted that there were a number of digital developments which would improve efficiency and practice, and that the University was focussing on the delivery of projects relating to attendance monitoring and workload allocation as two areas where efficiency and effectiveness could be improved. With regard to attendance monitoring, members noted that the focus was on improving the student experience and retention/progression rather than as a means to impose sanctions.

The Committee noted that the organisational management of teaching efficiency was fundamental to the University's ability to drive its reputation and recruit more students, as well as being key to the University's approach to addressing staff workloads.

Resolved: to note the report.

(4) Efficiency in Research

The Vice-Principal (Research, Knowledge Exchange & Wider Impact) provided the Committee with a report detailing progress in ongoing work to improve research efficiency at the University. The report focused on the impact of the Annual Research Review and the implementation of the Partnership Model of research grant proposal submissions, and also provided an overview of the operation of the University Research Office. The Vice-Principal highlighted the creation of the Dundee Interdisciplinary and Innovation Forum (DIIF) and its role in encouraging interdisciplinary collaborations and responding to funding opportunities.

The Committee was interested to note work to improve cost recovery on operating costs relating to facility usage and the work of the TRAC Steering Group to analyse costs and yield insight into the drivers of costs within the institution.

Resolved: to note the report.

7. **ANNUAL REVIEW OF THE EFFECTIVENESS OF THE COMMITTEE**

The Committee received a summary of members responses to its annual questionnaire focussed on the effectiveness of the committee. Members proposed that the convener and convener designate consider the responses and work with officers to determine any enhancements which could be implemented in relation to the operation of the Committee for the coming year.

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

8. **NARRATIVE FOR THE COURT**

Members asked the Convener to determine elements of the Committee's discussions which were to be highlighted to the Court.

Resolved: to note that the Convener would highlight key aspects of discussions to the Court.

9. **ENDOWMENTS SUB-COMMITTEE MINUTES**

The Committee received the minutes of the meeting of the Sub-Committee on 23 April 2018.

Resolved: to note the report.

10. **RESERVED BUSINESS: PENSION SUB-GROUP MINUTES**

The Committee received the minutes from the meetings of the Pensions Sub-Group on 27 March and 24 April 2018.

Resolved: to note the reports.

11. **USE OF DELEGATED AUTHORITY**

The Committee noted two instances of the use of delegated authority by the University Secretary since the last meeting. Members were satisfied that authority had been appropriately discharged.

Resolved: to note the update.

12. **APPROVAL OF LARGE RESEARCH BIDS**

The Committee received a report from the Head of Research Finance Services detailing approvals made by the Committee for the submission of grant applications of over £3m since its last meeting. The paper also provided oversight of upcoming applications where approval would be required by the Committee.

- Resolved:**
- (i) to ratify the approval of the submission of a grant application to the Bill and Melinda Gates Foundation by Professor Wyatt;
 - (ii) to ratify the approval of the submission of a grant application to the Medical Research Council by Professor Alessi; and
 - (iii) otherwise to note three applications in progress IDat the time of the meeting.

13. **PROJECT UPDATES**

The Committee received update report from the project leads for two of the growth and savings projects approved by the Court in June 2016: STEM-X; and International College Dundee (ICD). Members indicated that they found the reports valuable in terms of both the accountability of those leading the projects, and also in terms of shared learning on what had worked well and actions taken in areas which had been less successful. The Committee noted that updates on the other growth projects would be provided to the next meeting of the Committee on 14 August 2018, and members suggested that an equivalent approach to monitoring and reporting be considered for any future investment projects approved by the University Executive Group.

Resolved: to note the updates.

14. **CONVENER**

Noting that the meeting would be the last meeting for the Convener, Andrew Richmond, before he retired from the Court at the end of July 2018, members thanked him for his service both as a member and as the convener of the Committee. Members highlighted his dedication to the role, insight, and commitment to the improvement of the University's financial sustainability as well as his broader contributions as a member of the Court.

Resolved: to thank the Convener for his service to the Committee and the Court.

15. **DATE OF NEXT MEETING**

The Committee noted the next meeting of the Finance & Policy Committee was scheduled for 2.00 pm on 14 August 2018.

Resolved: to note the date.

APPENDIX 4

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 92(3))

A meeting of the Committee was held on 15 May 2018.

Present: Ronald Bowie (Convener);
Richard Bint;
Principal, Professor Sir Pete Downes;
Jane Marshall;
Bernadette Malone;
Toni McKinney.

In Attendance: Dr Neale Laker (Director of Academic & Corporate Governance).
Professor Karl Leydecker (Vice-Principal (Learning & Teaching))
Dr Jim McGeorge (University Secretary);
Dr Christine Milburn (Policy Officer (Corporate Governance))

Apologies: Professor Mairi Scott.

1. MINUTES

Resolved: to approve the minutes of the meeting of 27 March 2018.

2. MATTERS ARISING

(1) Action Log

The Committee received an action log summarising progress in relation to outstanding actions from previous meetings. Members agreed that one item relating to the internal control environment was of low priority given changes in circumstances and should be removed from the log.

Resolved: to note the log, and to remove one item from the tracking process.

(1) Media Summary (Minute 4)

Members noted that a further report had been provided to the Committee on BOX, and that the report would be updated to include social media activity in 2018/19. Officers confirmed that they would welcome the sharing of example dashboard reports referred to by members.

Resolved: to note the report.

(2) Oversight of Systems for Liaising with Stakeholders (Minute 8(3))

Members noted that the University Executive Group (UEG) had been consulted and was satisfied that the systems in place for liaising with stakeholders met the requirements of the provisions of the Scottish Code of Good HE Governance (2017).

The Committee highlighted the importance of considering the frequency of the review of compliance with the Code and noted that the Director of Academic & Corporate Governance would give consideration to a programme focused around the quinquennial review of the effectiveness of the Court.

Resolved: to note the update and await guidance from the Director of Academic & Corporate Governance in due course.

(3) Register of Interests (Minute 15)

Officers confirmed that 96 of 98 Register of Interest forms issued as part of the annual review process had been returned by members of University staff in positions of influence, including all returns relating to officers in regular attendance of meetings of the Court and its committees. Members noted that these had

been made available to members on BOX and did not raise any issues arising from their perspective. In response to questions the University Secretary confirmed that he had also reviewed the returns and there were no issues within them which he considered needed to be brought to the attention of the Committee, but that he would draw any potential conflicts to the attention of members at meetings if/when they arose. Members were also pleased to note that officers would continue to seek 100% compliance with returns.

Resolved: to note the update.

3. **CONVENER'S/SECTORAL UPDATE**

The Committee noted that the Chair of Court had circulated to members of the Court an update detailing his attendance at a number of meetings on behalf of the University. In summarising the report the Chair highlighted his involvement in the ongoing process to appoint a new Principal.

In light of the recent national focus on the topic of sexual harassment and gender-based violence in Higher Education, the Committee discussed the approach being taken by the University. The Committee was informed that a joint Group had been formed with DUSA to lead the holistic review and development of the University's approach to this area for both staff and students. The Director highlighted a number of specific initiatives being pursued by this Group, including the development of reporting tools and an associated website. He also outlined the membership of the Group, which included a member of the Court. Through discussion members were pleased to learn of the Group's engagement and collaboration with local organisations such as Dundee City Council and WRASAC (Women's Rape and Sexual Abuse Centre), and the University's intention to invest in this area through the current budget cycle. The Director highlighted the importance of the collaboration with the Dundee University Students' Association (DUSA) in developing policies, practice, sharing information and raising awareness, and members were pleased to note this collaborative approach. The Committee highlighted the importance of the Court being regularly updated and assured of the effectiveness of the approach being taken from a risk perspective.

The Director of Academic & Corporate Governance also drew members' attention to the publication of the implementation timeline for the Gender Representation on Public Boards Act (2018). Members noted that guidance and reporting requirements would be shared with the Committee when available, but that officers had been working for some time to ensure compliance with the Act.

Resolved: to note the update.

4. **MEMBERSHIP OF THE COURT AND COMMITTEES OF COURT 2018/19**

The Committee received a paper which summarised membership of the Court for 2018/19 as currently known, the attendance of members at meetings and other events during 2017/18, and considerations relating to the membership of the committees of the Court for 2018/19. In particular members noted the importance of ensuring an appropriate balance across the committees in terms of both skills and diversity, and were reminded of the skills required/desirable for each committee as approved by the Court on 24 April 2018, the skills matrix, and equality and diversity data for the Court.

The Convener of the Remuneration Committee updated members on discussions relating to the membership of the Remuneration Committee in light of the Scottish Code of Good HE Governance (2017). Members noted that the Convener was to meet with representatives of DUSA and the campus unions to develop a mechanism for consultation with staff and students in relation to senior officers' remuneration, and that the development of the framework would include a consideration of issues relating to possible staff/student membership of the Remuneration Committee. Members also noted that the Remuneration Committee was seeking to independently review its processes and practices, and that the outcome of this review was also relevant to the future membership of the Committee. Members agreed that these discussions should be completed before considering potential changes to the membership of the Remuneration Committee, and therefore recommended that the Remuneration Committee membership for 2018/19 continue unchanged from 2017/18, subject to further discussion at the meeting of the Committee on 14 August 2018.

In reviewing the proposed committee membership for 2018/19 members highlighted the Audit Committee as an area where it was particularly important to ensure continuity. The Committee also asked officers to review proposals and consider options where there was an emerging dependence on a small number of members. It also highlighted the importance of ensuring that the Court member assigned to the Business Transformation Steering Group had an appropriate skill set, and agreed to review this once the 2018/19 membership of the Court was confirmed.

Members noted that at the time of the meeting there were two positions on the Court which were vacant: an elected Non-Academic Staff Council Member of the Court, and the Rector's Assessor. Following discussion members asked the University Secretary to speak with the Rector regarding the need to identify an assessor to serve on the Court. Members also noted that the Staff Council election to the Court would close on 30 May 2018, and agreed that the final proposals for membership of committees should be circulated to the Committee once the outcome was known.

The Committee paid close attention to the skills balance on the Court and its committees, and noting that financial expertise would be highly valued in future appointments to the Court members asked officers to consider options for the possible co-option of an external (non-Court) lay member to the Finance & Policy Committee for the coming year to provide additional financial expertise.

- Resolved:**
- (i) to note members' attendance in 2017/18;
 - (ii) to recommend to the Court that consideration be given to the appointment of an external (non-Court) member to serve on the Finance & Policy Committee for the coming year to provide additional financial expertise; and
 - (iii) to ask that a revised proposal for membership of committees of the Court in 2018/19 be circulated once the vacancies had been resolved.

[Secretary's note: The Director of Academic & Corporate Governance subsequently circulated proposals for membership of the Committees of the Court for 2018/19 to members by email. Proposals as approved by the Committee by electronic circulation are enclosed as annex a].

5. **EMPLOYER NOMINATED PENSION TRUSTEE UoDSS**

The Committee received CVs for candidates for the two vacancies arising as Employer Nominated Pension Trustees of the University of Dundee Superannuation Scheme (UoDSS). Members were satisfied that both candidates were suitably qualified and committed to the role, including the need to undertake training to ensure that they could contribute effectively to the Board of Trustees.

- Resolved:** to endorse to the Court proposals that Dr Richard Parsons and Dr Shona Johnston be appointed as Employer Nominated Pension Trustees of the University of Dundee Superannuation Scheme.

6. **ELECTION OF THE CHAIR OF COURT**

[Secretary's note: the Chair of Court declared an interest in the item and left the room for the duration of discussions.]

The Director of Academic & Corporate Governance introduced a paper outlining a proposed timeline for the development and implementation of processes required in relation to the election of the Chair of Court in Spring 2019. Members were pleased to note that attention was being paid to the approach being taken across the sector, and highlighted the importance of sharing and benchmarking best practice in this respect.

Members discussed a number of specific areas for inclusion in the guidance being developed. In particular members explored some of the practical challenges, and noted that these would be addressed through the drafting and review of the Regulations.

- Resolved:** to note that officers would develop draft Regulations, criteria and guidance for an election.

7. **SCOTTISH CODE OF GOOD HE GOVERNANCE**

(1) Summary of Progress

Members received a paper summarising progress relative to the previously-agreed action plan for compliance with the Scottish Code of Good HE Governance (2017). Members approved the assessment subject to a number of minor amendments and noted that the University was likely to be able to report full compliance with the Code by the time the Annual Financial Statements were submitted to the Scottish Funding Council (SFC).

Discussions focussed around compliance with Section 1:3 of the Code, and in particular the expectation that the Court would 'approve an annual plan that identified aspects of the strategic plan being implemented in

the year in question'. Members noted the need to interpret the requirements in the context of the relatively unique approach taken in the new University Strategy, with its associated strategic framework of Key Performance Indicators and Action Plans rather than distinct individual strategies, and it was confirmed that the Director of Strategic Planning intended to address this in his presentation to the Court on 11 June 2018, with the annual plan being discussed at the Retreat. Members were, however, satisfied that the University already met the minimum requirements of the Code in this area.

Resolved: to endorse to the Court the updated assessment of compliance with the Code.

(2) Gifts & Hospitality and Register of Interests

Members received a paper highlighting proposed changes to the Gifts & Hospitality Policy. The Director of Academic & Corporate Governance drew members' attention to aspects which addressed the requirements of the Scottish Code of Good HE Governance (2017), and in particular those which applied to Court members. Members noted that the Gifts & Hospitality Register for members of the Court and the University Executive Group would be published on the Court website, and that the publication of Register of Interests Returns would be expanded to include the UEG as well as members of the Court.

Resolved: to endorse the revised policy to the Court

(3) Public Stakeholder Meeting of Court

Members received a paper outlining proposals for the first Annual Public Stakeholder meeting in January 2019. The Committee discussed the proposed format of the meeting and made a number of suggestions for further enhancement based upon the definition of objectives for the event as follows: to improve stakeholder confidence in the operation and governance of the University; to raise awareness of the Court and its role; to provide an opportunity for stakeholders to learn of the University's performance; and to provide the opportunity for stakeholders to ask questions about the work of the Court. In particular members suggested that the length of the meeting should be extended, and that the Dundee University Students' Association (DUSA) President should be invited to speak at the event alongside the Chair of Court and the Principal. Members suggested that the focus of the meeting should be on the University's contribution to the local community in terms of societal and economic benefits, and its aspirations for the future in this respect. Officers undertook to refine the proposals for further discussion at the next meeting of the Committee on 14 August 2018.

The Committee also suggested that consideration be given to repeating the event across a number of locations and time points, and to opportunities to engage with stakeholders such as the Scottish Government at other points in the year.

Resolved: to note the paper and await further refinement of proposals in due course.

(4) Remuneration Committee

Members noted the earlier discussions relating to the Code and the Remuneration Committee (minute 4), and agreed that the Remuneration Committee should pursue the development of an engagement framework to address the requirements of recommendation 8:80 of the Scottish Code of Good HE Governance (2018).

Resolved: to note the update and await further discussion at a future meeting.

9. ELECTION OF THE RECTOR

The Director of Academic & Corporate Governance highlighted to the Committee a number of proposed revisions to governance instruments pertaining to the election of the Rector. Members noted that the proposals had been developed in consultation with the Dundee University Students' Association (DUSA), and that they aimed to improve and clarify current practice. Noting that the Director would continue to refine the proposals before their submission to the Court and Senate for approval, and the requirement that changes to Statutes be approved by the Privy Council, the Committee endorsed the suggestion that the Director approach the Privy Council at an early stage, and in advance of seeking final approval from the Court and Senate, to ensure that any changes approved could be processed before the start of the next rectorial election in February 2019. Members meantime provided a number of suggestions for the further enhancement of the approach, and one member agreed to share their specific expertise in this area with the Director.

Resolved: to endorse the proposed changes (annex b) and ask the Director of Academic & Corporate Governance to approach the Privy Council for informal discussions.

10. **EARLY STAGE COURT BUSINESS**

The Committee reviewed an early draft of the agenda for the meeting of the Court on 24 April 2018. Members made a number of suggestions regarding the timing of items, and in particular agreed that discussions on the Estates Strategy should be deferred until the Court Retreat to allow time for them to be further developed.

Resolved: to note the proposed agenda.

11. **ANNUAL REPORT FROM THE DIRECTOR OF QUALITY ASSURANCE AND ACADEMIC STANDARDS**

The Vice-Principal (Learning & Teaching) introduced the annual report from the Director of Quality Assurance & Academic Standards, which provided a summary of the activities of the Quality & Academic Standards Committee (QASC) during the previous 12 months.

Members praised the report as a means of ensuring that the Committee would be in a position to provide assurance to the Court when the Annual Statement of Assurance on Quality was reviewed by the Court for submission to the Scottish Funding Council (SFC) later in the year.

In response to questions the Vice-Principal confirmed that the University was actively considering issues relating to grade inflation, and members agreed that reports on this subject should be brought to the Court as part of the standard reporting on areas across the University Strategy wheel. Members also explored a number of specific areas detailed in the report, and were pleased to note that the annual statement to the SFC would contain further details of issues and actions taken.

Resolved: to thank the Director and her team for the comprehensive report.

12. **ANNUAL REVIEW OF THE EFFECTIVENESS OF THE COURT AND CHAIR OF COURT**

Members noted the processes and resources used for the annual review of the effectiveness of the Court and Chair of Court in 2016/17 and agreed that these should be used for the 2017/18 review.

Resolved: to note that the processes and resources used in the 2016/17 review would be used for the 2017/18 review.

13. **ANNUAL REVIEW OF THE EFFECTIVENESS OF THE COMMITTEE**

The Committee received a paper summarising feedback from members participating in the online questionnaire regarding the effectiveness of the Committee. Members agreed with the combined assessment that the operation and effectiveness of the Committee had improved over the last 12 months, and confirmed that they were satisfied that the Committee was meeting the objectives agreed with the Court at the start of the academic year. Members also asked that the work of the Academic & Corporate Governance team be acknowledged in terms of addressing the requirements of the Scottish Code of Good HE Governance (2017). The Convener acknowledged resource constraints, and drew members' attention to the need to consider the purpose and value of requests for additional activities to be undertaken by officers.

Looking to the future, members suggested that consideration might be given to the creation of a 'Chairs' Committee' to consider business which lay outside the remits of the existing committees, with a view to providing the Court with assurance. Members also suggested that it may be valuable to hold a joint meeting with the University Executive Group (UEG) to explore the relative responsibilities of the Governance & Nominations Committee and the UEG in a collegiate way.

The Committee proposed to continue its focus on equality, diversity and inclusion matters into 2018/19, and in particular undertook to consider further opportunities to enhance recruitment practice in this respect.

Resolved: to ask the Convener and Clerk to the Committee to consider the feedback when developing the forward plan for the Committee for 2018/19.

14. NARRATIVE FROM THE COMMITTEE TO THE COURT

The Committee agreed that the following items should be highlighted to the Court: changes to the Gifts & Hospitality policy, discussions regarding the sexual harassment agenda, progress relative to the implementation of the Scottish Code of Good HE Governance, discussions relating to the process for the election of the Chair of Court, the Quality Assurance report, and the Committee's own review of effectiveness.

Resolved: to note the narrative.

15. ETHICAL INVESTMENT POLICY

A member of the Endowments Sub-Committee of the Finance & Policy Committee drew members' attention to its discussion regarding an Ethical Investment Policy. Members noted the potentially broad scope for this policy and recommended that the Director of Academic & Corporate Governance, Chair of Court, and incoming Convener of the Finance & Policy Committee discuss the matter further and advise the Committee in due course of any recommended actions.

Resolved: to note that an update would be provided in due course.

16. DATE OF NEXT MEETING

The Committee noted the next meeting of the Governance & Nominations Committee was scheduled for 14 August 2018.

Resolved: to note the date of the next meeting.

COURT MEMBERSHIP 2018/19*(ranked ascending by end of current term)*

Name	Category	Contin. Start Date on Court	Start Date in this Category	End of Current Term	Max End Date
Downes, Pete	Principal	01/04/2009	01/04/2009	<i>ex officio</i>	<i>ex officio</i>
<i>Borthwick, Ian</i>	Lord Provost or nominee	May 2017	May 2017	<i>ex officio</i>	<i>ex officio</i>
Winter, Keith	Rector's Assessor	02/06/2018	02/06/2018	+	31/07/2026 ⁺
Skevofylaka, Sofia	President, DUSA	01/07/2018	01/07/2018	<i>ex officio</i>	<i>ex officio</i>
Kapadia, Rumana	Matriculated Student	01/08/2018	01/08/2018	31/07/2019	31/07/2020 [*]
Reeves, Alison	Senate	01/08/2011	01/08/2011	31/07/2019	31/07/2019
Scott, Mairi	Senate	01/08/2015	01/08/2015	31/07/2019	31/07/2023 [*]
Kelly, Timothy	Staff Council	01/08/2015	01/08/2015	31/07/2019	31/07/2023 [*]
Marshall, Jane	Graduates' Association Member of Court	01/08/2015	01/08/2015	31/07/2019	31/07/2023 [*]
Bowie, Ronald	Co-option. Chair	01/08/2013	01/08/2016	01/08/2019	31/07/2022 [*]
Reid, Karen	Co-option	01/08/2015	01/08/2015	31/07/2019	31/07/2023 [*]
Campbell, Shirley	Co-option	01/03/2012	01/03/2012	29/02/2020	29/02/2020
Murray, Allan	Co-option	01/08/2016	01/08/2016	31/07/2020	31/07/2024 [*]
Malone, Bernadette	Deputy Chair	25/02/2013	01/08/2017	25/02/2021	31/07/2021
Boyd, William	Graduates' Association Member of Court	01/08/2013	01/08/2013	31/07/2021	31/07/2021
Robson, Jean	Co-option	01/08/2017	01/08/2017	31/07/2021	31/07/2025 [*]
Bint, Richard	Co-option	22/04/2014	22/04/2014	31/07/2022	31/07/2022
Aitken, Janice	Senate	16/10/2014	16/10/2014	31/07/2021	31/07/2022 [*]
Anderson, Anne	Member nominated by the unions	30/11/2016	01/08/2017	31/07/2021	31/11/2024
Sweeney, Sharon	Member nominated by the unions	01/08/2017	01/08/2017	31/07/2021	31/07/2025
Bainbridge, Alan	Co-option	01/08/2018	01/08/2018	31/07/2022	31/07/2026 [*]

Clark, Lynda	Co-option	01/08/2018	01/08/2018	31/07/2022	31/07/2026*
Surti, Jay	Co-option	01/08/2018	01/08/2018	31/07/2022	31/07/2026*
Leiper, Rebecca	Staff Council	01/08/2018 ¹	01/08/2018 ¹	31/07/2022 ⁺	31/07/2026 ⁺

* Subject to re-election, or renewed co-option, nomination or appointment.

⁺ Under Statute 9(2)(f) the Rector's Assessor serves until the end of the term of office for the Rector, and membership may be renewable for up to 6 years in this capacity. The Statutes, Ordinances and Regulations governing the election of the Rector are currently subject to changes which would impact on the end date for the first term of office. The individual would be eligible to serve for a maximum total of 8 years across all categories of membership on Court.

¹ Elected 31/05/2018, Under statute 9(2)(k), where a casual vacancy occurs and is filled after 1 February, for the purpose of regulating the length of the term of office, it shall be deemed to have begun on 1 August following the appointment

Proposed Committee Membership 2018/19**1. Audit Committee (AC)**Members

Karen Reid (Convener)
 Dr William Boyd
 Keith Winter
 Karen Bassett (external)
 Neil Menzies (external)

Normally in attendance

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

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

Richard Bint (Convener)
 Principal
 Ronald Bowie
 Jane Marshall
 Allan Murray
 Professor Mairi Scott
 Sharon Sweeney
 Alan Bainbridge
 President of the Students' Association

Normally in attendance

Convener of Audit Committee
 University Secretary
 Vice-Principal (Knowledge Exchange & Wider Impact)
 Vice-Principal (Provost)
 Director of Finance
 Deputy Director of Finance
 Director of Academic & Corporate Governance
 Director of Estates & Campus Services
 Director of Strategic Planning
 Policy Officer (Corporate Governance) (Secretary)

3. Endowments Sub-Committee

Richard Bint (Convener)
 Ronnie Bowie
 President of the Students' Association
 Alan Young (lay Endowment Committee member)

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

Ronnie Bowie (Convener)
 Principal
 Bernadette Malone
 Jane Marshall
 Professor Mairi Scott
 Janice Aitken
 Lady Lynda Clark

Officers normally in attendance

University Secretary
 Vice-Principal (Learning & Teaching)
 Director of Academic & Corporate Governance
 Policy Officer (Corporate Governance) (Secretary)

5. **People & Organisational Development Committee (PODC)**Members

Shirley Campbell (Convener)
 Bernadette Malone
 Dr William Boyd
 Anne Anderson
 Professor Tim Kelly
 Dr Alison Reeves
 Dr Jean Robson
 Jay Surti
 Rebecca Leiper

Officers normally in attendance

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

6. **Remuneration Committee (RemC)**Members

Ms Bernadette Malone (Convener)
 Mr Ronald Bowie
 Ms Shirley Campbell
 Richard Bint

Officers normally in attendance

Principal (as required)
 University Secretary (as required)
 Director of Human Resources (as required)
 Policy Officer (Corporate Governance) (Secretary)

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

Dr William Boyd

8. **BT Steering Group**

Keith Winter

9. **Pensions Sub-Group**

Ronnie Bowie
 Jane Marshall
 Richard Bint

Officers normally in attendance

University Secretary
 Director of Human Resources
 Director of Finance
 Policy Officer (Corporate Governance) (Secretary)

[NEW] Statute 4 - The Rector

- (1) The Rector shall be elected by a general poll of the matriculated students.
- (2) No member of staff of the University and no matriculated student of any university shall be eligible to be elected to the office of Rector.
- (3) The Rector shall hold office for a period not exceeding three years and shall be eligible for re-election for a second term of three years but no longer.
- (4) The process for nominating and electing the Rector, along with the process in the event of a casual vacancy in the office of Rector, shall be as described in the Ordinances.

APPENDIX 5

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE (Minute 92(4))

A meeting of the Committee was held on 24 May 2018.

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

<u>In Attendance:</u>	Professor Nic Beech	Vice-Principal (Provost);
	Dr Jim McGeorge	University Secretary;
	Pamela Milne	Director of Human Resources & Organisational Development;
	Joan Robertson	Equality & Diversity Officer;
	Dr Liz Rogers	Assistant Policy Officer (Risk and Audit);
	Julie Strachan	Deputy Director of Human Resources & Organisational Development.

Apologies: Anne Anderson, Bernadette Malone.

1. MINUTES

Resolved: to approve the minutes of the meeting on 26 March 2018.

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.

Discussions focused on the completion rates for equality & diversity and health & safety training. Members noted that the University Secretary would be discussing this at the next meeting of the Professional Services Group, and that the Vice-Principal (Provost) would also be taking this forwards with the Deans. The University Secretary informed members that the University Executive Group remained focused on the issue, and that sanctions for non-completion of all types of compulsory training (for example users being denied access to elements of the University IT system) would be considered. The Committee suggested that the UEG consider establishing an 'essential suite' of staff training, with targets set for levels of completion by staff. It was also suggested that completion of this could then be linked to processes for rewards, such as promotions and remuneration. It was agreed that the University Secretary would take this matter to the University Executive Group for action and report back to the next meeting of the Committee.

It was also agreed that the Director of Human Resources & Organisational Development would review any 'ongoing' actions and provide a target date for completion to ensure that the action log could be monitored effectively.

Resolved:

- (i) the University Secretary would discuss compulsory training and associated completion targets with the University Executive Group;
- (ii) the Director of Human Resources & Organisational Development would revise the action log to include target completion dates for 'ongoing' actions; and
- (iii) to approve the People & Organisational Development Committee action log as presented.

3. CONVERNER'S REPORT

The Convener reported that the Principal's Appointing Committee had met to identify a longlist of candidates from those who had come forward through the advertisement and search process. The recruitment firm, Saxon-Bampfylde, would now interview each longlisted candidate in advance of the next meeting, at which a shortlist of candidates for interview would be agreed.

4. EQUALITY, DIVERSITY & INCLUSION

(1) Equality & Diversity Annual Report

The Director of Human Resources & Organisational Development introduced the annual equality & diversity report, highlighting areas where substantial progress had been made. Members noted that the Dignity at Work and Study Policy would be revised and that several staff networks had been re-established, including the Harassment Advisor Network. Members also noted that the equality & diversity training would be refreshed, and that it was hoped that this would have a positive impact on training completion rates.

- Resolved:**
- (i) to refresh the equality & diversity e-learning modules; and
 - (ii) to note the update.

(2) Equality Action Plan

The Equality & Diversity Officer attended to discuss the University Equality Action Plan. While recognising that it had been approved prior to the completion of the new University Strategy, members were of the view that the plan needed to demonstrate more clearly how it aligned to that Strategy, noting that it would be critical to 'advancing our values' in terms of promoting equality, diversity and inclusion. Members noted that a relationship needed to be developed between the annual Equality & Diversity Report and the Equality Action Plan.

The Equality & Diversity Officer explained that it was hard to evidence a change in culture but that the staff survey (2017) results indicated that the University was performing well in terms of equality, diversity and inclusion. Members requested that this evidence be built into the plan, to make this connection clear. Members felt that some of the current objectives were not measurable and stressed the importance of having SMART goals where appropriate. The Committee required a sense of when objectives would be met, and assurance of progress. It was agreed that when the plan was due to be revised, measures would be put in place from the outset.

Members noted that Athena SWAN required SMART outcomes, and as such, objectives had been assessed as part of this process. Members discussed ways in which objectives could be measured in future reporting.

The Committee thanked the Equality & Diversity team, noting the considerable progress they had made.

- Resolved:**
- (i) to develop a relationship between the Equality Action Plan and the annual Equality & Diversity report; and
 - (ii) to note the update.

5. 2017 STAFF SURVEY

The Deputy Director of Human Resources & Organisational Development provided members with an update on School and Directorate action plans. Members noted that all action plans would be shared with the Staff Survey Steering Group and the University Executive Group. The University Executive Group would also be looking at University-wide themes. The Deputy Director informed members that the themes emerging from the School/Directorate action plans largely mirrored those at a University-wide level: workload; communication; managing change; and wellbeing.

Discussions focused on the Schools of Dentistry and Humanities. The Vice-Principal (Provost) informed the Committee that he had had several meetings with the majority of individual members of staff in the School of Dentistry, that a cultural change review group had been put in place, and that coaching activities would also be taking place. Members welcomed this approach and, in reiterating their concerns about the results from the School of Humanities, requested that the same approach be taken there.

Members also praised the addition of 'areas the celebrate' identified by Schools and Directorates. The Committee questioned how 'best practice' could be shared across the University, with members suggesting blogs and personal leadership stories as ideas to consider.

Resolved: (i) to ensure that the process taken in the School of Humanities aligned to that taken in the School of Dentistry; and

(ii) to note the update.

6. ORGANISATIONAL CHANGE AND STRATEGIC PROJECTS

The Committee viewed a paper providing an update on strategic projects. Members noted two areas in particular where there was a risk of redundancy: the Newhouse European Screening Centre, Biocity and the Satellite Receiving Station.

Resolved: to note the update.

7. BUSINESS TRANSFORMATION

The Director of Human Resources & Organisational Development provided an update on the Human Resources & Payroll module of the Business Transformation Programme. Members noted that a lot of progress had been made in the design of the system, but that there had been a resource issue on TechnologyOne's part relating to configuration of the system following a recent staff resignation. Members noted that the current plan indicated that the system could be implemented in November 2018 subject to the resourcing requirement being met. The University Secretary informed the Committee that this matter was under active discussion with senior executives of TechnologyOne. He added that the Finance module remained on target at present and key user testing was going well.

Members also noted that the minutes from the Steering Group were available on BOX.

Resolved: to note the update.

8. PEOPLE RISK REVIEW

The Committee reviewed the risk register for Human Resources & Organisational Development, noting that there were no significant changes to inherent or residual risk levels. Members noted that Human Resources action plans would be aligned to the risk register, using the risk ratings as a means to prioritise tasks, and suggested that the risk register be revised to reference risk appetite.

Members questioned the level of resource available in the Human Resources & Organisational Development team in the context of the range of issues being considered or taken forward and suggested that this be raised to the University Executive Group to ensure appropriate prioritisation in the context of the resource available or consideration for investment.

Resolved: to note the update.

9. 2018/19 PAY ROUND NEGOTIATIONS

The Director of Human Resources & Organisational Development informed the Committee that a 2% increase had been offered through the national negotiations, incorporating a slightly higher increase to the lower grades of the scale as a full and final offer from the employers' side. The unions had yet to respond to the offer.

Resolved: to note the update.

10. USS AND UODSS

(1) Strike Action Summary

The Director of Human Resources & Organisational Development introduced a paper summarising the strike action during the period 22 February to 16 March 2018. Members noted the days lost and resulting deductions to staff wages.

Members observed that the numbers of staff striking were particularly high in the School of Humanities, and noted that whilst this was generally a highly unionised range of disciplines in the Higher Education sector, in this instance it might reflect the fact that staff were also unhappy about things in the School more generally as exemplified by the staff survey results.

Members noted the UEG's decision to allocate 50% of the monies arising from salary deductions to the Student Hardship Fund, with the balance allocated to Schools in proportion to the level of disruption they had suffered for activities to enhance the student experience.

Resolved: to note the update.

(2) USS

The Committee reviewed the communication from USS which had been distributed to USS members on 3 May 2018. Members noted that a Chair for the Joint Committee had been appointed, but that they would now not have a 'casting vote' regarding any decisions made.

Resolved: to note the update.

(3) University of Dundee Superannuation Scheme (UoDSS)

The Director of Human Resources & Organisational Development provided members with an update on discussions on UoDSS. Members noted that the Pensions Sub-Group had carried out some work on the affordability of the scheme and that Mercers had been appointed to carry out some further analysis.

Resolved: to note the update.

11. SHARED PARENTAL PAY POLICY

The Committee considered the revised shared parental pay policy (annex), noting that it had been approved by the Local Joint Committee at its meeting on 27 April 2018. Members suggested that the launch of the policy to staff consider how best to convey the policy in a user-friendly manner as it was felt that the language of the policy itself was very technical. It was also suggested that the FAQ section include reference to members of staff who had a partner working outwith the University and that the language was reviewed to ensure it applied appropriately to same-sex couples.

Resolved: to circulate the revised policy to members once available.

12. REVIEW OF EFFECTIVENESS

Members viewed a summary of responses to the survey for the People & Organisational Development Committee. The survey had been distributed as part of the Court Review of Effectiveness. Members noted that there had been an improvement in the results from the previous year.

Positive aspects of the Committee highlighted by members and officers included the responsiveness of the Committee, its willingness to challenge officers constructively and its commitment to the interests of staff. However, members commented that whilst people and community (and therefore the work of the Committee) were central to the delivery of University Strategy, they could have more impact on the work of Court and discussions and debates that took place there.

Discussions also centred on the boundaries of the Committee, in terms of the relationship between the Committee and the work of the Human Resources & Organisational Development directorate as well as the balance between governance and operational matters.

13. COMMITTEE REPORTS

(1) Local Joint Committee minutes

The Committee viewed the minutes from the meeting of the Local Joint Committee on 27 April 2018.

Resolved: to note the minutes.

(2) Equality & Diversity Committee minutes

The Committee viewed the minutes from the meeting of the Equality & Diversity Committee on 18 April 2018.

Resolved: to note the minutes.

(3) Health & Safety Sub-Committee minutes

The Committee viewed the minutes from the meeting of the Health & Safety Sub-Committee on 1 May 2018.

Resolved: to note the minutes.

14. **NARRATIVE FOR COURT**

The Committee agreed that the Convener should refer to the following items at the meeting of Court on 11 June 2018: the staff survey; the finance, resourcing and prioritisation of activities; and the Committee's discussions of its own effectiveness, noting that the Committee was key to the delivery of the people-centric University Strategy.

15. **DATE OF NEXT MEETING**

Resolved: to be confirmed.

Shared Parental Leave

Introduction

Shared Parental Leave is a way for parents to share leave and pay. It is intended that this allows partners to play a greater role in raising their child, and helps mothers and the nominated first carer for Adoption Leave return to work when they want to without losing leave entitlement, and allows them to return to work temporarily for a busy period or an important project. The University is fully supportive of Shared Parental Leave and every effort will be made to accommodate the timing of the request for Shared Parental leave.

The right allows the mother and the nominated first carer for Adoption Leave to choose to bring their maternity/adoption leave to an end at any point after the initial two week compulsory maternity/adoption leave period following the birth/matching date of the child. The parents can choose how to split up the remaining weeks of leave between them. Shared Parental Leave can be taken by each parent separately or at the same time. The intended parents in a surrogacy arrangement will also be entitled to take advantage of Shared Parental Leave.

Shared Parental Leave does not replace the current arrangements for maternity/adoption pay and leave (Section 8) and it is separate from the right to Unpaid Parental Leave (see Section 10).

The Shared Parental Leave Regulations 2014 was laid before Parliament in accordance with Section 236(3) of the Employment Rights Act 1996(1) and approved by a resolution of each House of Parliament; the regulations came into force on 1 December 2014.

Definitions/Abbreviations

SPL: Shared Parental Leave.

ShPP: Statutory Shared Parental Pay.

UoDShPP: University of Dundee Shared Parental Pay.

Continuous leave: a period of leave that is taken in one block e.g. four weeks' leave.

Discontinuous Leave: a period of leave that is arranged around weeks where the employee will return to work e.g. an arrangement where an employee will work every other week for a period of three months.

SPLIT day: Shared Parental Leave in Touch Day.

Unpaid Parental Leave: separate to SPL, entitles employees to take up to 18 weeks off work to look after a child's welfare, this leave is normally unpaid.

Match: when an adopter is approved to adopt a named child or children.

Curtail: where an eligible mother or the nominated first carer for Adoption Leave brings their maternity/adoption leave and, if appropriate, pay or allowance entitlement to an end early. This is sometimes referred to as reducing the maternity/adoption leave period or reducing the maternity/adoption pay or Maternity Allowance period.

Length of Leave

The maximum amount of leave that can be shared between the parents is 50 weeks.

The leave can be taken separately or at the same time subject to the following requirements (and provided the required notification has been given):

- The minimum period of leave must be one week,
- the leave must be in multiples of complete weeks, and
- the leave may be taken, normally as one continuous period.
- only 3 periods of leave notices in total can be given by each parent including requests to vary a period of leave that has already been arranged.

Timing of Leave

The leave can be taken during the 12 months following the birth of the child, but cannot begin earlier than the two weeks following the birth of the child.

Eligibility

To qualify for Shared Parental Leave **a mother or the nominated first carer for Adoption Leave** must meet certain eligibility criteria:

- have a partner
- be entitled to either maternity/adoption leave or to statutory maternity/adoption pay or maternity allowance
- have curtailed, or given notice to reduce, their maternity/adoption leave, or their payment/allowance (if not eligible for maternity/adoption leave).
-

A parent intending to take Shared Parental Leave must:

- be an employee
- share the primary responsibility for the child with the other parent at the time of the birth or placement for adoption
- have properly notified their employer of their entitlement and have provided the necessary declarations and evidence

In addition, a parent wanting to take Shared Parental leave, is required to satisfy the 'continuity of employment test' and their partner must meet the 'employment and earnings test'.

Continuity of Employment Test

The individual has worked for the same employer for at least 26 weeks before the end of the 15th week before the child's expected due date/matching date and is still working for the employer at the start of each leave period.

Employment and Earnings Test

The individual must have worked for at least 26 weeks in the 66 weeks leading up to the baby's expected due date/matching date and have earned above the maternity allowance threshold of £30 week in 13 of the 66 weeks.

Procedure

Firstly, a request to curtail Maternity leave must be made by the mother or nominated first carer for Adoption Leave giving at least 8 weeks' notice. The Applicant should complete the **Maternity/Adoption Leave and Pay [Curtailement Notice](#)** available from Human Resources.

A request for Shared Parental Leave must also be made (giving at least 8 weeks' notice) by completing the '[Shared Parental Leave - Notice of Entitlement](#)' request available from Human Resources.

Lastly, the parents must also provide their employer with a written '**Period of Leave**' notice, giving the start and end dates of the periods of leave requested. This can be given at the same time as the 'Notice of Entitlement' or can be given later. The notice can request one or more periods of leave but only three periods of leave notices in total can be given by each parent (including requests to vary a period of leave that has already been arranged).

The forms should be sent to the Head of Discipline Lead/Dean/Director. The Head of Discipline Lead/Dean/Director has responsibility for completing Section 2 of the Forms and for sending copies to the Applicant and Human Resources (for record keeping and payroll purposes).

If an employee requests one period of continuous Shared Parental Leave, the employee is entitled to take the period of leave provided they meet the eligibility criteria.

If discontinuous periods of Shared Parental Leave are requested, agreement must be reached with the employer. The employer may:

- agree, in exceptional circumstances to the periods of leave requested
- propose, in exceptional circumstances alternative dates, or
- refuse the leave without proposing alternative dates.

The default position is that leave should be taken in a single block commencing on the date specified by the employee but with at least 8 weeks' notice to the employer.

Every effort will be made to accommodate the timing of the request for Shared Parental leave, and any refusal must be justifiable, for example, by the business needs of the Discipline/Directorate/School.

The employee will maintain his / her employment rights, including those to continuity of service, while on Shared Parental Leave.

University of Dundee Shared Parental Pay (UoDShPP)

To qualify for the University of Dundee Shared Parental Leave Scheme a parent must have been continuously employed in the University's service for a minimum period of 12 months before the expected week of childbirth (EWC). It is mandatory that the first two weeks are taken by the mother as maternity leave and by the nominated first carer for Adoption Leave but thereafter the mother/first carer and co-parent may be eligible for University of Dundee Shared Parental Pay (UDShPP) at the rate of 6 weeks full pay and 16 weeks half pay. Where both are employed by the University this entitlement is shared across both parents and not applied individually. The week's pay is based on each individual parent's salary when they are on UDShPP. UDShPP must be taken within 24 weeks of the child's birth or placement. The co-parent can still take 2 weeks paid Paternity/Partner Support Leave while the first parent is on Maternity/Adoption leave before they move to UDShPP.

Statutory Shared Parental Pay (ShPP)

To qualify for Statutory Shared Parental Pay (ShPP) a parent must have been continuously employed in the University's service for a minimum period of 26 weeks by the end of the 15th week before the expected week of childbirth (EWC)/matching date. Eligible employees may be entitled to take up to 37 weeks Statutory Shared Parental Pay while taking Shared Parental Leave. The amount of weeks available will depend on the amount by which the mother/adopter reduces their maternity/adoption pay period or maternity allowance period. If the maximum amount of Shared Parental Leave available (50 weeks) is taken, 13 weeks will be unpaid.

Statutory Shared Parental Pay is paid at the statutory rate or 90% of the average weekly earnings (whichever is lower).

Statutory Shared Parental Pay increases on an annual basis on 5 April.

If the mother or nominated first carer for Adoption Leave curtails their entitlement to maternity/adoption pay or maternity allowance before they have used their full entitlement then Shared parental pay can be claimed for any remaining weeks.

Shared Parental Leave in Touch days (SPLIT)

Shared Parental Leave in Touch (SPLIT) days will be available for parents taking shared parental leave. Up to 20 SPLIT days can be agreed between employer and employee. These will be in addition to the Keeping in Touch (KIT) days already available for women or nominated first carer for Adoption Leave on statutory maternity or adoption leave. Arrangements will be similar to those in place for KIT days (See Section 8). Unused KIT entitlement cannot be carried forward into a period of SPL.

Your line manager will record the dates that you attend work for a SPLIT day and submit these dates (and the hours worked) to Payroll once these days have been worked.

Alternatively instead of receiving a payment for hours worked, by agreement with the manager, you may instead accrue time off in lieu for these hours.

Frequently Asked Questions

Can a partner take Shared Parental Leave if a mother or nominated first carer for Adoption Leave is still on maternity or adoption leave?

A partner can take SPL at the same time as the mother or nominated first carer for Adoption Leave is on maternity or adoption leave, provided that the mother or nominated first carer for Adoption Leave has given notice to curtail their maternity or adoption leave.

What happens if both the mother or nominated first carer for Adoption Leave and the partner work for the University and want to take a period of SPL?

Both employees will be entitled to take SPL provided that they meet the general eligibility and notice requirement.

Can same-sex couples take Shared Parental Leave?

Yes. You can take shared parental leave with your spouse, civil partner or partner. Partner is defined as someone (whether of a different sex or the same sex) who lives with you in an enduring family relationship (but who is not your child, parent, grandchild, grandparent, sibling, aunt, uncle, niece or nephew).

Updated, April 2018

APPENDIX 6

REMUNERATION COMMITTEE (Minute 92(5))

A meeting of the Committee was held on 24 April 2018.

Present: Bernadette Malone (Convener)
Richard Bint
Ronald Bowie

In Attendance: Christine Barr (Director of Human Resources, University of Glasgow) (item 1)
Principal Professor Sir Pete Downes (by invitation of the Convener)
Dr Jim McGeorge (University Secretary);
Pam Milne (Director of HR and Organisational Development); and
Dr Christine Milburn (Policy Officer (Corporate Governance)).

Apologies: Shirley Campbell.

1. CONTINUING PROFESSIONAL DEVELOPMENT PRESENTATION: GRADE 10 BANDING STRUCTURE

The Convener reminded the Committee that the People & Organisational Development Committee had asked that the Remuneration Committee consider the benefits and challenges of introducing a banding structure within Grade 10.

The Director of Human Resources at the University of Glasgow was invited to attend the meeting to provide an overview of the successes, challenges and future for 'Professorial Zoning' – the Grade 10 banding structure implemented at the University of Glasgow. In doing so she outlined the approach taken to the development of the project plan and its implementation. Members noted in particular that a comprehensive framework had been put in place to align academic performance deliverables with strategic ambitions, while recognizing excellence and rewarding sustained performance through effective performance and development, career progression and reward. The Director highlighted the way in which the professorial zoning project was aligned to the processes for performance development reviews, the development of evidence based academic promotion criteria, and early career development programmes to ensure that there was clarity in relation to progression through the system.

The Director also outlined the timeline and milestones for the project from concept to implementation, along with details of the four zones, including the general description, salary ranges, associated descriptors and the seven areas of criteria for each zone. Members noted that the distinct criteria had been created for different disciplines/areas of activity, and that the zones took account of different career paths as follows: Research & Teaching; Learning, Teaching & Scholarship; Academic Clinician; and University of Glasgow Singapore.

The Director went on to provide an overview and statistics for the assimilation and appeals processes and to detail the policies implemented for salary movement, zone movement, and use of attraction and retention premia. Members noted that of those reviewed, around 40% were aligned to zone one, 40% to zone two, 17% to zone three and 3 % to zone four. Members also noted that 68% of staff were directly matched to a zone, with 24 % being matched to a zone higher than their salary and 8% matched to a zone lower than their existing salary. In response to questions, the Director confirmed that for the 8% matched to a lower zone, the salary was protected for 2 years with a development plan put in place, and that at the end of this period a very small number of individuals' salaries were reduced.

In response to questions the Director confirmed that the professoriate at Glasgow University were eligible for the annual national pay award, but that this award was only made subject to satisfactory individual performance. Members also noted that there were no scales within the zones, and that remuneration rewards were capped such that no individual received more than the average increase for those on incremental scales, with the total award being capped and awarded on the basis of performance. The Director also highlighted the benefits of the process in terms of introducing fairness in pay and rewards, setting minimal expectations, equality and diversity balances, and career progression. Members however noted that the project was a substantial undertaking, and had taken 2 years to implement.

Turning to remuneration for senior professional services staff, the Director confirmed that the roles were individually evaluated into two bands based on UCEA benchmarking information, and that the same principles were applied as used in the Professorial Zoning.

Following the presentation the Committee indicated that it wished to review further information on the current practice at the University of Dundee, including the existing use of UCEA benchmarking bands, before determining the next steps. Members also noted the importance placed on being a 'high performance community' and suggested that a process which gave assurance of transparency, fairness and linked high performance to the University Strategy could be beneficial. Following discussion, the Director of Human Resources & Organisational Development undertook to prepare a paper for an additional meeting of the Committee on 11 June 2018 outlining current practice and criteria to enable the Committee to review current effectiveness, and identify areas where the University may want to make changes.

- Resolved:**
- (i) to thank the Director of Human Resources at the University of Glasgow for her presentation; and
 - (ii) to await a further paper from the Director of Human Resources & Organisational Development (University of Dundee) at the meeting on 11 June 2018.

2. MINUTES

- Resolved:** to approve the minutes of the meeting of 27 November 2017.

3. MATTERS ARISING

(1) Action Log

Members received the action log for the last meeting of the Committee and noted the updates provided. Through discussion members noted that the Director of Human Resources & Organisational Development would provide clarification of the process for in-year award decisions, including a reminder of the approval process for instances where a member of University staff was appointed to a remunerated role with another organization, when developing the guidance in this area.

- Resolved:** to note the updates.

(2) Remuneration Committee Annual Report

The Committee reviewed the 2017/18 Remuneration Committee Annual Report as approved by the Court at its meeting in February 2018. Members noted that had been the first such report, and that in future years the Remuneration Committee minutes and the report would be provided to the Court at the same time. The Convener summarised feedback she had received from members of the Court, and members proposed a number of useful additional sections and changes to the order of some sections.

- Resolved:**
- (i) members agreed to send comments and suggestions to the Director of Human Resources & Organisational Development; and
 - (ii) otherwise to formally approve the report.

(3) Consultation on the CUC HE Remuneration Code

The Committee asked that it be noted that the Committee had recommended the University support the position of the Committee of Scottish Chairs in response to the consultation. Noting that this response indicated that Scottish Institutions should meet the terms of the Scottish Code of Good HE Governance rather than the CUC HE Remuneration Code, the Committee suggested that it would nevertheless be valuable to remain cognisant of the CUC Code and consider for adoption any good practice within it.

- Resolved:** to note the discussions.

4. REMIT AND TERMS OF REFERENCE

The Committee received proposals for the update of its Remit and Terms of Reference to include skills and experience which was essential or desirable for membership of the Committee. Members approved the inclusion of this section, and made a number of suggestions for further enhancement.

The Committee also considered that it may be valuable for there to be an independent external advisor to advise the Committee, members also suggested that it may be useful for the work of the Committee to be independently

assessed and the Director of Human Resources & Organisational Development undertook to explore opportunities in that regard, while noting that this would be covered by the external quinquennial review of the effectiveness of the Court.

Resolved: to endorse to the Court changes to the Remit and Terms of Reference for the Committee (annex a).

5. SCOTTISH CODE OF GOOD HIGHER EDUCATION GOVERNANCE

The Committee received a generic Grade 10 contract for consideration in accordance with section 7:81 of the Scottish Code of Good HE Governance. Members noted the existing process for the approval of contracts, including the role of the campus unions, and asked that the role of the Committee in accordance with the Scottish Code of Good HE Governance be reflected in the Committee's Remit and Terms of Reference. Following discussion the Committee confirmed that it was satisfied that the contracts were compliant with regard to notice-period requirements specified within the Code. The Committee however indicated that it may be useful to consider benchmarking information to ensure best practice in relation to senior staff contracts, and the Director of Human Resources & Organisational Development undertook to take this forward. Members requested that this exercise be completed for both professorial and professional services senior contracts. Members also suggested an amendment to clause 7 of the contract to reflect the current role of the Remuneration Committee.

The Committee also discussed section 7:80 of the Code and, noting the discussions at the Governance & Nominations Committee meeting on 27 March, the Committee reiterated its commitment to meaningful engagement with staff and student stakeholder groups in relation to the remuneration of senior staff. The Committee considered various options for the consultation process, including: membership of the Committee; sharing of detailed information with the whole Court, which would include staff and student representatives; and the implementation of a consultation process. Following discussion, members agreed that it would be valuable to consult with the stakeholder groups in relation to the development of a consultation process, with a view to discussing this further at the Committee's next meeting on 11 June 2018.

Resolved:

- (i) to assure the Court that the contracts were compliant with regard to notice-period requirements specified within the Code;
- (ii) to note that the Director of Human Resources & Organisational Development would consider benchmarking in this area; and
- (ii) to consult with stakeholder groups regarding the response to section 7:80 of the Scottish Code of Good HE Governance.

6. REMUNERATION COMMITTEE BUDGET 2018/19

The Director of Human Resources & Organisational Development tabled a paper detailing how the budget for the Remuneration Committee was set, and practice across other Scottish institutions. Following discussion, members proposed that for the coming year the total for remuneration awards to senior staff should not exceed the average of the incremental and cost of living inflation for other grades.

Resolved: to ask the Director of Human Resources & Organisational Development to review the Remuneration Committee budget for 2018/19 with the Director of Finance.

7. PRINCIPAL'S REMUNERATION

The Committee reviewed the Times Higher Education Article dated 22 February 2018 which set out the national context for the governance around and the setting of Vice-Chancellor and Principals' pay. Members indicated that this was a useful report against which practice at the University could be considered.

Discussions focussed on the salary for the new Principal, when appointed, and members noted the commitment that this should be within the envelope of the remuneration package for the current Principal, and that thereafter the University would be sensitive to any increases beyond the cost of living inflation allowance awarded to all staff.

Resolved: to note the article.

8. ANNUAL TAX ALLOWANCE

The Director of Human Resources & Organisational Development outlined her discussions with the University's Pension Officer, and members noted that the USS informed its members when their life-time allowance threshold

was near. Members also noted that the University contacted staff at the time of salary increases when annual allowance considerations would be relevant, and that in addition to information on the USS website regarding both of these matters, they also delivered presentations on these topics to staff on a regular basis. The Committee confirmed that it was satisfied that the University was taking reasonable steps to ensure that staff were made aware of the issues.

Resolved: to note the update.

9. **REPORT TO COURT**

The Committee agreed that the Convener should highlight discussions relating to Grade 10 banding structures, improvements to the Committee's operations, its review of the Remuneration Committee Annual Report, and the salary for the new Principal.

Remuneration Committee Remit and Terms of Reference

Contents

1. Purpose of the Remuneration Committee
2. Context
3. Composition of the Remuneration Committee
4. Key Responsibilities
5. Core Values
6. Support for the Remuneration Committee
7. Meetings of the Remuneration Committee
8. Delegated Authority
9. Governance

Appendix – Framework of Information for the Remuneration Committee

1. Purpose of the Remuneration Committee

The role of the Remuneration Committee is to recommend to the University Court the remuneration strategy and policy framework for the staff at grade 10, including the Principal and the University Executive Group (UEG). In so doing, the Committee's aim is to be an exemplar of sector-wide good governance and best practice in relation to remuneration and reward matters for senior staff.

The Committee will consider and make recommendations to Court on the salary, emoluments and terms and conditions of service for the members of the UEG, including the Principal.

The Committee will delegate authority to the UEG the application of the Remuneration Policy and procedure for all other staff at grade 10, but will receive and consider appropriate reports and monitoring data from the UEG in relation to its decisions in discharging this delegated authority.

In so doing, the Committee must:

- take account of SFC's guidance on the governance of senior salaries.
- give due regard to the academic, institutional and financial wellbeing of the University.
- ensure the University's principles of fairness, equity and diversity are applied and monitored.
- ensure that the Principal, the members of the UEG and staff at grade 10 are fairly rewarded for their individual contribution to the University's overall performance.
- ensure compliance with the financial parameters within which the Committee and the UEG must operate when making salary/monetary awards.
- satisfy itself that the grade 10 staff who have been made salary/monetary awards have actively engaged in the University's Objective-setting and Review process and demonstrate performance which supports the University's Vision and Strategy.

2. Context

The Scottish Funding Council (SFC) requires that the University follows the principles of the Financial Reporting Council's *UK Corporate Governance Code* (FRC Code), insofar as they apply to the University sector and the recently-published Scottish Code of Good Higher Education Governance 2017. The University is also required to follow the guidance to institutions set out by the Committee of University Chairs in its Guide for *Members of Higher Education Bodies in the UK* (CUC Guide).

The guidance requires the University to establish a Remuneration Committee to determine and review the salaries, terms and conditions (and, where appropriate, severance payments) of the head of the institution and such other members of staff as the governing body deems appropriate. They also emphasise that the composition of the Committee should be of independent/lay members, with best practice suggesting that the chair of the governing body should not chair the Committee.

The University is required to adhere to the principles of the Scottish Code of Good HE Governance, specifically under Main Principle 15 on Remuneration Committees.

The CUC Guide states that the reports of the Remuneration Committee to the governing body should provide sufficient detail of the broad criteria and policies against which decisions have been made. However, the FRC Code requires the production of a tabulated report setting out Directors' remuneration (i.e. members of UEG in the University context), covering salary, severance payments, benefits in kind, pension contributions and individual pension fund valuations. This report on the remuneration of UEG members is presented each year to the Remuneration Committee and to the University Court. In addition, a simplified version setting out the salaries of members of the UEG by salary band is published each year in the University's Annual Report and Accounts. The SFC imposes specific requirements on Remuneration Committees in respect of setting policy statements on severance and overseeing severance arrangements. The SFC annual accounts direction also gives guidance on the information that should be disclosed in an institution's annual financial statements about the Principal's remuneration and any severance payments to staff earning over £70,000 per annum or where the costs of all elements of a proposed arrangement amount to more than £100,000.

3. **Composition of the Remuneration Committee**

The Remuneration Committee must have the expertise to review and determine the salaries, emoluments and terms and conditions of service for the most senior members of the University (i.e. the Principal and the UEG) and to monitor the application of the Remuneration Policy to ensure it is being applied fairly, effectively and consistently, in the University's interests.

The membership of the Committee will comprise:

- The Chair of Court.
- Three lay members of Court, one appointed as Convener. The Convener of the Audit Committee will not normally be a member.
- The Committee may seek independent advice as may be required from time to time.

The quorum of the Remuneration Committee will be three.

The following University Officers will be invited to be in attendance of meetings to be held to account for the decisions taken at previous stages within their area of responsibility, and otherwise to provide advice, guidance, and answer questions when requested:

- The Principal.
- The Vice-Principal (Provost).
- The University Secretary & Chief Operating Officer.
- The Director of Human Resources & Organisational Development, (Secretary to the Committee)
- The Policy Officer (Corporate Governance), (Minute Secretary)

The University Officers in attendance will withdraw from the appropriate sections of any meeting at which their personal salary, emoluments and/or terms and conditions of service are being discussed by the Remuneration Committee.

The following skills/experience are particularly valued by the Committee

- General understanding of, and commitment to, good governance;
- Experience or qualifications relating to Human Resources matters;
- Experience in reward and remuneration strategies and their application;
- Experience of performance management systems;
- Experience of the operation of appraisal systems;
- Experience of employee engagement/stakeholder consultation, ideally with staff and students;
- Understanding of the broader political, media, and governance environment relating to senior pay across the public and private sector;
- Awareness of sector-wide legislation and requirements relating to remuneration;
- Knowledge/experience and understanding of equality, diversity and inclusion legislation and approaches;

In addition, the following abilities and attributes would be valued

- Ability to challenge based on material and data presented;
- Ability to interpret the Committee's remit within the wider context of the University Strategy; and

The above skills should be covered by the Committee as a whole, with individual skill-sets contributing towards this.

4. **Key Responsibilities**

The key responsibilities of the Remuneration Committee are:

- To maintain an overview of good practice in remuneration in the HE sector, other public and private sectors to inform the University's Remuneration Policy.
- To approve the University's remuneration strategy and policy framework that ensures the most talented leaders, both academic and professional, are recruited, retained and motivated to deliver results in line with the University's vision and strategy.
- To review the Remuneration Policy for Grade 10 staff at least every 3 years to ensure its effectiveness in terms of impact and compatibility with the salary arrangements applicable to the rest of the University.
- To approve the design of any incentives and bonuses applicable to grade 10 staff.
- To review and determine the total reward package of the Principal taking account of performance and report accordingly to Court.
- To oversee contracts of employment for senior staff in accordance with the provisions of the Scottish Code of Good HE Governance Section 7:81.
- To review and determine the total reward package of members of the UEG taking account of performance and report accordingly to Court.
- To oversee and report to Court on the outcomes of the delegation of responsibility to the UEG for reviewing and determining any annual salary increases and awards to those grade 10 staff of the University who are not members of the UEG.
- To review any gender pay gap for grade 10 staff and be informed of any necessary actions.
- To oversee severance or early retirement arrangements for grade 10 staff taking account of the *SFC Guidance on Severance Arrangements in respect of Senior Staff*.
- To approve exceptional removal and other expenses where the amount is greater than £12,000.
- To consider requests by UEG members only, to undertake consultancy; other paid work or serve as a non-executive director or similar having due regard to issues which could adversely impact the University.
- To review the Deans' Honoraria periodically as necessary.
- To deal with any such other relevant matters as may be referred to the Remuneration Committee by Court.

5. Core Values

The core values of the University:

- Valuing people
- Working Together
- Integrity
- Making a Difference
- Excellence

must be central to all the processes and decisions made leading up to and at the Remuneration Committee.

- Merit (defined as clear contribution to the Vision and Strategy of the University), including the retention of key employees and the need to address any pay gap issues arising from an analysis of protected characteristics, will be the only basis on which remuneration awards will be distributed.
- Fairness, equality and diversity. No discrimination will be permitted arising from a protected characteristic as defined by the Equality Act 2010.
- Any conflicts of interest throughout the process, leading up to and at the Remuneration Committee must be declared and action taken to rectify the situation.

6. Support for the Remuneration Committee

In undertaking these responsibilities the Committee will receive support from the Principal, University Secretary, Director of Finance and the Director of Human Resources & Organisational Development.

It will be provided in the form of a report, co-ordinated by the Director of Human Resources and Organisational Development, including information on:

- Background information in respect of the HE sector and the University's position contextualised within the overview, together with the University's strategy.
- Contextualisation of the School or Directorate's performance within the University by the UEG.
- The current and projected financial position of the University; the recommended budget to be allocated for grade 10 awards and the recommended financial value to be assigned according to performance rating (see Reward Policy).

- Relevant benchmarking salary data for the sector provided by UCEA covering both academic and senior professional staff.
- Any relevant retention issues.
- The recommended spread of financial awards across performance ratings.
- Proposed awards for individuals taking account of the above.
- An Equality Impact Assessment analysis of the statistical data relating to the full group of senior staff; those nominated and not; those successful and unsuccessful together with an explanatory narrative, with particular attention being paid to any indication of a gender or other pay gap.

This information will take the form of a report as shown in Appendix 1.

In addition, the Director of Human Resources & Organisational Development will produce an Annual Remuneration Report for Court detailing the outcomes of the decisions taken by both the Remuneration Committee and the UEG, including an anonymised statistical report.

Where considered necessary, the Remuneration Committee may commission research and information externally and/or independent scrutiny and challenge, in order to ensure the University is an exemplar of 'best practice' in terms of governance, policy and process.

The University will support training and development for the members of the Remuneration Committee to ensure members are well-informed and up-to-date with remuneration matters.

7. **Meetings of the Remuneration Committee**

The arrangements for meetings of the Remuneration Committee are as follows.

- Typically, the Committee will meet in November and February of each year. An additional meeting can be arranged if considered necessary by the Committee.
- Minutes, agendas and papers will normally be circulated to the Committee and attendees at least five working days in advance of the meeting.
- A formal minute of the meeting will be produced for approval by the Convener and remitted to Court as a report of each meeting.
- The Committee will be serviced by the Policy Officer (Corporate Governance).
- Papers will include any action required and the status of the paper in respect of Freedom of Information legislation.

8. **Delegated Authority**

Court has delegated authority to the Remuneration Committee for the remuneration of the Principal and members of the UEG and to the UEG for the remuneration of other grade 10 staff across the University, subject to appropriate reporting.

9. **Governance**

Details of the salaries and other appropriate remuneration information will be published annually relating to the following officers who are members of the UEG:

- The Principal
- The Vice-Principals
- The Director of Finance
- The University Secretary
- The Director of Human Resources & Organisational Development
- The Director of External Relations.

University of Dundee

Reward Policy for Grade 10 Staff

Contents

1. Introduction
2. Aim of Policy
3. Scope
4. The Principles of Fairness, Equity, Consistency and Transparency
5. University Values in Practice
6. The Purpose of the Reward Policy
7. The University's Reward Policy for Grade 10 Staff
8. Core Employee Benefits for grade 10 Staff
9. Other Benefits

1. Introduction

Strategic reward is based on the design and implementation of reward policies and practices which will support and advance the University's academic, organisational, cultural and financial objectives as well as its employees' aspirations. It aims to attract, develop and engage exceptional staff and reward and recognise exceptional performance and/or special contribution.

'Total reward' includes everything the employee perceives to be of value resulting from the employment relationship. These can include financial and non-financial rewards for example, learning and development opportunities and flexible benefits as well as access to a range of University resources and facilities within its working environment.

It is recognised that grade 10 roles, including those of the Principal and members of the University Executive Group (UEG) are complex and diverse and the University must be able to attract and retain high calibre leaders capable of delivering a demanding agenda. Nevertheless, as a charity in receipt of significant public funds and during times of financial challenge, there is a tension between paying salaries which are sufficient to secure, motivate and retain high quality staff in leadership positions and being excessively generous, which is likely to be unsustainable and may be inappropriate. However, to meet future challenges it is vital to support and engage with the development of talent and high performance within the senior group of staff of the University.

In the simplest terms, pay is part of the contractual obligations between employer and employee for work done and paid for. This does not take account of individuals' intrinsic needs above and beyond monetary reward (in its various forms) alone. Whilst remuneration plays a key role in motivation, a reward system that combines this extrinsic aspect and the intrinsic needs of the individual for recognition, being treated well, status, flexibility, opportunities for promotion, personal development and fulfilment provides the ideal combination, allowing staff to realise their potential.

In creating a performance culture at the University, grade 10 individuals whose outputs are excellent will be offered a commensurate reward in order to retain their services to the benefit of the University; those whose performance is satisfactory will be rewarded appropriately and support will be provided to those staff who are performing at a level that is not satisfactory for their grade and the extent of experience. In the last resort if performance does not reach satisfactory levels, alternatives, including dismissal on the grounds of capability will require to be considered.

Careful monitoring will be necessary to ensure that no discrimination of individuals or groups occur due to protected characteristics as defined in the Equality Act 2010 and that positive action can be taken in respect of under-represented groups.

In accordance with the Remit of the Remuneration Committee, the Remuneration Committee will be responsible for approving base salary increases and related matters for the Principal and UEG members and UEG will be responsible approving the base salary increases and related matters for all other grade 10 staff in line with the budgetary guidance given by the Finance & Policy Committee.

2. Aim of Policy

This policy aims to set out the approach to rewarding grade 10 senior staff, both academic and professional, which is appropriate, transparent, provides fair reward and recognition for the work they perform, provides value for the University and is fully understood.

3. **Scope**

This policy applies to all grade 10 employees of the University, including the Principal.

4. **The Principles of Fairness, Equity, Consistency and Transparency**

Fairness of treatment amongst staff is central to the University's core values of Integrity and Valuing People and is an essential requirement when considering reward for individuals.

The principle of equity will be applied to ensure that no member of grade 10 staff will be disadvantaged due to any protected characteristic: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion and belief; sex or sexual orientation. Factoring in considerations that may put particular groups at a disadvantage in the process will ensure there is equality of outcomes. There may be occasion when it is necessary to redress inequities which have occurred in the past.

The Director of Human Resources and Organisational Development will produce an Equality Impact Assessment analysis of the statistical data relating to the full group of senior staff and those staff on grades immediately below for comparative purposes; those nominated and not; those successful and unsuccessful together with an explanatory narrative, with particular attention being paid to any indication of a gender or other pay gap. In addition the Director of Human Resources & Organisational Development will produce an Annual Remuneration Report for Court detailing the outcomes of the decisions taken by both the Remuneration Committee and the UEG, including an anonymised statistical report.

The approach to be taken (see Annual Reward Procedure for Grade 10 staff) will apply consistently throughout the cohort, irrespective of levels of seniority within the group.

The procedure is designed to encourage transparency in discussions, feedback and the process itself.

5. **University Values in Practice**

As well as focussing on performance in relation to reward and recognition the Reward Policy will be aligned to the University's core values of:

- Valuing People
- Working Together
- Integrity
- Making a Difference
- Excellence.

For staff at grade 10 personal effectiveness in leading and managing people must be fundamental to the manner in which the University and School strategies are achieved.

A prime expectation of senior staff at grade 10 is to be alert to individuals' abilities, skills, qualities and potential as well as recognising their performance, and to provide them with appropriate opportunities to develop in their areas of strength as well as publicly recognising their contribution, where appropriate. A key objective on which grade 10 staff's performance will be measured is the extent to which they have developed and recognised their direct reports and promulgated this culture amongst their School or Professional Services staff with a view to succession planning. Grade 10 staff will be expected to demonstrate their actions in this respect.

Valuing People, however, does not mean that difficult decisions and actions in relation to staff are avoided. Rather, it means that when difficult decisions and actions are necessary they are put into effect with humanity and respect. Consideration should be given to good management methods and practice. The leadership of the University in this senior group will have a particular responsibility for role modelling this behaviour both in respect of taking difficult decisions, where necessary, and for the manner in which these decisions are executed.

No member of grade 10 staff will be considered for a salary increase unless they have engaged fully in the OSaR process: be it personally, conducting OSaR meetings for their direct reports and, where necessary, nominating Reviewers. Deans, the University Secretary and Directors must have a full understanding of the contributions their grade 10 staff are making in order that they may recognise achievements or intervene where there are performance difficulties.

6. The Purpose of the Reward Policy

The purpose of the Reward Policy for Grade 10 staff is to:

- Deliver the University's, School's or Directorate's strategic objectives and plans.
- Reinforce the University's values.
- Attract and retain high calibre academic and professional leaders.
- Motivate, engage and develop academic and professional leaders.
- Recognise and reward excellent performance in the group.
- Ensure academic and professional leaders foster a workforce which encourages creativity, originality, flexibility and builds future capacity which is capable of adapting to changing circumstances and environment.
- Promote flexibility amongst the group in terms of development and the future leadership needs of the University.
- Ensure affordability, financial sustainability and value for money in the short and long-term, taking account of the unpredictability of government and research/charitable funding and where necessary, market rate factors.
- Provide transparency in the way reward operates for Grade 10 staff.

7. The University's Reward Policy for Grade 10 Staff

Starting Salary on Appointment to G10

The Remuneration Committee will determine the starting salaries of the University Executive Group members, including the Principal.

The starting salary in the case of appointment to a Personal Chair or an Established Chair will be determined by the Chair of the Appointing Committee (either the Principal or the Vice-Principal Academic, Planning & Performance) together with the Dean of School and the Director of HR & Organisational Development.

The starting salary in the case of appointment to a Director or other grade 10 post in Professional Services will be determined by the Chair of the Appointing Committee (either the Principal or the University Secretary) together with the relevant Director in the case of grade 10 posts below Director level and the Director of HR & Organisational Development.

Typically, consideration will be given to the appointee's current salary level; the contribution which has led to promotion in the case of internal appointments, or the knowledge, skills and competencies in the case of external appointments, together with relativities relating to peers. The UCEA benchmarking salary data will be made available by the Director of HR & Organisational Development to those making the starting salary decisions.

As the cultural expectation will be to recruit only exceptional people at Grade 10, the UCEA salary data should not preclude the option of departing from typical salaries when necessary to attract and recruit exceptional talent and leadership to the University at market rates, provided the reason is justifiable and recorded for audit/governance purposes.

When setting starting salaries the University's equal pay profile must be used in addition to market pay data to avoid a gender pay difference or a difference in salary as a result of any protected characteristics, which could lead to unlawful discrimination.

When making internal appointments, starting salary must be compared with salaries offered to recent external appointees to ensure internal appointees are not disadvantaged.

Increases to Base Salary and Related Decisions

Grade 10 salaries sit outside the nationally negotiated salary framework in operation for staff at grades 1-9 in the University, only the starting salary for Grade 10 being noted on the salary scale which is the equivalent of the first contribution point at Grade 9.

However, the University provides the opportunity for grade 10 base salaries to be considered annually and awards are made, where appropriate, dependent on performance.

At the beginning of the annual cycle, on the recommendation of the Finance & Policy Committee, Court considers its overall approach to senior staff remuneration, including the budget available and gives guidance on its

expectations to the Remuneration Committee. It should be noted that the University's financial position in any year will influence the distribution of base salary increase awards.

The responsibility for increases to performance-related base salary and related decisions will be as follows:

- The Remuneration Committee will make decisions relating to the Principal and members of UEG. (Authority delegated by Court).
- UEG will make decisions relating to individual Deans and Directors. (Authority delegated by Court).
- The Deans will collectively make recommendations on the professorial staff and submit their recommendations for approval to UEG. (UEG has authority delegated by Court for the remuneration of Grade 10 staff).
- The University Secretary, in conjunction with the Professional Services members of UEG, will collectively make recommendations on the Professional Services grade 10 staff and submit their recommendations for approval to the full UEG. (UEG has authority delegated by Court for the remuneration of Grade 10 staff).

Performance Ratings

The following performance ratings apply to all grade 10 staff for the previous assessment period and should be used in conjunction with the Indicators of Excellence and the relevant criteria for Academic Promotion for professorial staff in assessing merit for an annual base salary increase.

E - Exceptional

Performance far exceeded expectations due to the exceptionally high quality of work performed in all areas of responsibility, resulting in overall work being superior. Made an exceptional or unique contribution to the School or University objectives or has received a marker of esteem. This assessment is given infrequently.

EE - Exceeds Expectations

Performance consistently exceeded expectations in all areas of responsibility and the quality of work overall was excellent. OSaR objectives were met.

ME - Meets Expectations

Performance consistently met expectations in all areas of responsibility, at times performance may have exceeded expectations and the quality of work overall was very good. The most critical OSaR objectives were met.

IR - Improvement Required

Performance did not consistently meet expectations. Performance did not meet expectations in one or more areas of responsibility and/or one or more of the most critical OSaR objectives were not met.

A development plan under the University's Capability Procedure must commence or the procedure continue, detailing timescales and be reviewed frequently to measure progress.

Base Salary Increase Awards

Various factors are taken into account in deciding the base salary increase awards. The awards are not necessarily in direct relationship to the Performance Rating, for example, factors such as salary award history, salary in relation to benchmarking data and the financial situation of the University are considered.

Objectives, Achievements and Markers of Esteem

It is appreciated that, on occasion, an opportunity may arise which is agreed takes priority over the previously set objectives or a marker of esteem is awarded (e.g. FRS, recognition in the Honours list) and the process allows for these aspects to be taken into account in the performance and reward decisions.

Process

The process for the consideration for awarding base salary increases and related decisions is outlined in the procedural document which accompanies this policy.

Honoraria

As part of the University restructure a new level of honorarium of £10K has been determined for Deans only. No other honoraria will apply. The Remuneration Committee will review honoraria periodically.

8. Core Employee Benefits for Grade 10 Staff

These employee benefits represent the core of employee benefits without which the University would find it difficult to compete for and retain the highest quality grade 10 staff.

Pension

From 1 October 2016, the Universities' Superannuation Scheme (USS) provides for a defined contribution scheme whereby contributions paid by the employer and employee are invested to provide benefits in retirement.

The University is committed to continuing making the appropriate employer's contribution.

Death-in-Service Benefit

The USS Death-in Service benefit is 3 x salary, which provides valuable life cover and pension for eligible dependants.

Withdrawal from the USS Pension Scheme

Some of the University's highest earners may choose to withdraw from the USS Pension Scheme for personal taxation reasons, which means they do not obtain the benefit of the employer's contribution. In such circumstances no compensatory payment will be made in respect of the employers' contribution.

Occupational Sick Pay

All University staff have a progressive Occupational Sick Pay Scheme, which culminates in entitlement to 6 months' full salary and 6 months' half salary after 5 years' service.

9. Other Benefits

Grade 10 members of staff also have access to the following benefits, where applicable:

- Subsidised membership of the Institute of Sport & Exercise: employee wellbeing is a high priority issue at present for employers.
- Nursery facilities on the city campus.
- Services which would ordinarily incur professional fees should they be used:
 - Occupational Health
 - University Health Service
 - Counselling Services
 - Mediation Services.
- A salary sacrifice scheme offering benefits in relation to pension payments, childcare vouchers and cycle-to-work scheme.
- Relocation Allowance: one month's gross pay.
- Benefits-in-kind: mobile phones; ipads; laptops etc.
- Generous annual leave entitlement: 39 days per annum compared with the statutory 28 days.
- Encouragement to take advantage of free Training & Development opportunities on the OPD programme.
- Flexibility of work hours for academic and senior professional staff.
- Work/Life Balance Policies.

The Reward Policy for Grade 10 staff is effective from September 2015.

University of Dundee
Information for the Remuneration Committee

1. Background information in respect of the HE sector and the University's position contextualised within the overview, together with the University's strategy.
2. Contextualisation of the School or Directorate's performance within the University by the UEG.
3. The current and projected financial position of the University; the recommended budget to be allocated for grade 10 awards and the recommended financial value to be assigned according to performance rating (see Reward Policy).
4. Relevant benchmarking salary data for the sector provided by UCEA covering both academic and senior professional staff.
5. Any relevant retention issues.
6. The recommended spread of financial awards across performance ratings (see Reward Policy).
7. Proposed awards for individuals taking account of the above.
8. An Equality Impact Assessment analysis of the statistical data relating to the full group of senior staff; those nominated and not; those successful and unsuccessful together with an explanatory narrative, with particular attention being paid to any indication of a gender or other pay gap.

APPENDIX 7

WELFARE & ETHICAL USE OF ANIMALS COMMITTEE (Minute 92(6))

A meeting of the Committee was held on 17 April 2018.

Present: The Convener, the Director of Biological Services (DBS), the University Veterinary Surgeon (UVS), the training coordinator (TC), three NACWOs, two holders of Home Office licences and one other member.

In Attendance: Assistant to the DBS.

1. MINUTES OF LAST MEETING

The minutes of the meeting held on 18 January 2018 were approved.

2. MATTERS ARISING

None not covered in the agenda.

3. ANIMAL USE IN 2017

The report by the DBS on regulated procedures, animals used for a scientific purpose in non-regulated procedures and tissue biopsies carried out for genotyping purposes was discussed. The Committee agreed that, in general, the numbers of regulated procedures were broadly in line with those for 2016. Very few procedures were assigned an actual severity of "Severe". The UVS explained how this severity was only assigned when the event (most usually an animal being found dead) could be linked to the regulated procedure. In cases of doubt, or when it was not possible to perform a post-mortem examination to determine the cause of death, this would be the default assignment. The number was therefore likely to be an over-estimate. Nevertheless, it was imperative to continue to insist on good monitoring programmes during regulated procedure so that, if an animal's condition could be seen to be deteriorating (as apart from this process happening very rapidly and perhaps overnight), then it could be treated or euthanased promptly. The Committee found it useful to have the additional data on animals used for scientific purposes, but that did not undergo any regulated procedure. The Committee also noted the ubiquitous use of ear-notching simultaneously to identify animals and to collect tissue for genotyping. In the small number of cases when a second biopsy was required, some research groups were plucking a few hairs to analyse the follicles, rather than taking a second ear-notch.

- Resolved:**
- (i) to support the UVS in analysing all reported actual severities of "severe", to ensure that preventable events of this nature do not occur;
 - (ii) to collect data on the use of animals in non-regulated procedures in 2018 and future years. The DBS is to write to all investigators to ensure that these data will be made available at the same time as the animal Home Office returns of procedures;
 - (iii) to commend the use of hair follicle sampling in those few instances when a second tissue biopsy is required for genotyping purposes. The DBS is to collate the methods used by the groups currently analysing such samples. A video of the sampling technique will be produced, together with advice as to how the severity of the method is to be assessed (essentially, the Home Office regards hair follicle sampling, competently done, as being non-invasive and non-regulated).
 - (iv) to support the publication of the data on the University web-site, with care taken to explain the difference between counting *procedures* for the annual Home Office return and counting *animals* used in non-regulated activities.

4. RISK REGISTER FOR BIOLOGICAL SERVICES

The Committee discussed the register. It noted that variability in environmental conditions, even when this did not seem to influence the outward welfare of animals, could influence the outcome of scientific programmes and was therefore a significant risk to be managed and minimised.

Resolved: to forward the risk register to the University Audit Committee, so it can be incorporated into similar registers held elsewhere in the University.

5. REPORT FROM THE UNIVERSITY VETERINARY SURGEON (UVS)

Standing agenda item. The UVS reported on several matters:

- (a) Further testing in the facility in which there had been a positive finding for the presence of *Klebsiella* had revealed that two species were circulating among the mouse breeding colonies, at a combined prevalence of about 20%. The only realistic means of eradicating the contamination was to embark on a programme of rederivation into another facility. This would also eradicate the *Helicobacter* and mouse norovirus, which are both long-standing historical contaminants in the affected facility. In future, investigators will be expected to keep core colonies in the higher-barrier facility and there will be some further changes in practice to reduce the risk of contamination, should it be introduced, from spreading between colonies. The UVS was in contact with the Crick Institute in London (a very large establishment, recently purpose-built) to determine whether there were any further improvements in practice that could be considered;
- (b) The recent difficulties with dual cannulation had been resolved in wild-type mice. The genetically altered line of interest, though, showed signs of low-grade lung pathology, which might have contributed to the observed difficulties in recovery from anaesthesia. The investigator was in the process of switching to a conditional GA line, which should reduce the risk substantially. The UVS and training coordinator (TC) are continuing to investigate the use of intubation anaesthesia in mice, which may provide more controllable ventilation than the standard face-mask method;
- (c) The recent issues with osmotic mini-pumps in rats had been resolved;
- (d) One set of related GA mouse lines was showing signs of anaemia (30% packed cell volume, vs. 40% in unrelated animals), but this appeared to be to do with the overall genetic background, rather than any specific altered gene. The UVS and investigators were discussing how to back-cross the lines with genuinely wild-type animals to eliminate the problem;
- (e) Stereotypical and “waltzing” behaviours had been noted in another GA line. The UVS suspected an inner-ear problem, possibly not a direct effect of the GA, and will be collecting samples for pathological analysis;
- (f) Another GA line was showing signs of liver enlargement. This was being analysed carefully, as it may be of considerable scientific importance. In the mean-time, all animals are euthanased for tissue analysis at relatively young ages, to prevent the emergence of any significant welfare issues;
- (g) Previous issues with hip dysplasia in some mouse lines have been resolved by the careful selection of breeding stock;

6. TRAINING

The DBS introduced the TC to the Committee. The DBS and UVS reported that there will be a further workshop for project licence-holders in May and a Dundee ScotPIL course in June. The UVS observed that some investigators persisted in submitting study plans that, when she checked the project licence, were not compliant with the legal authorities and had to be amended before they could be approved to start. It also appeared that some personal licence-holders found difficulty in gaining access to the relevant project perhaps, perhaps thereby contributing to this problem. The UVS also pointed out that all training to competence as to be completed before a study can start, unless the person is to be supervised throughout the study, and that last-minute requests for such training cannot always be filled. Training in Schedule 1 methods is to be delivered and assessed by Biological Services staff or the UVS only. Work on developing directly observation of procedural skills (DOPS) as a framework for training was progressing. The UVS noted that attitudinal attributes such as consideration for others, tidiness, gentle return of animals to their home cage, etc, are all amenable to DOPS assessment. The TC reported that the manager for the local clinical Research Ethics Committee had been given a tour of one of the animal facilities and the remaining members of that Committee were due to visit later in the year.

- Resolved:**
- (i) the UVS to return non-compliant study plans as simply not approved, to investigators who persist in submitting them. The Associate Dean for Research (ADR) of the relevant School will be informed at the same time;
 - (ii) the DBS to remind all project licence-holders of their obligation to share the contents of their licences with relevant personal licence-holders;

- (iii) the DBS to remind all current project licence-holders of their obligation to undertake continuing professional development. The Committee has mandated that all licence-holders should attend at least one work-shop in any two-year period, and that the one scheduled for May is the last one in the current series that started in June 2016. Any current licence-holder who has not already attended a workshop and does not attend the one in May will be in default, and the ADR will be informed;
- (iv) the DBS to remind all current personal licence-holders of the value of attending regular CPD events;
- (v) to invite members of the University Court to visit one or more of the animal facilities (the Court representative on the Committee to issue this invitation).

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

Standing agenda item. The DBS produced a written report on licensing activity since the last meeting of the Committee, including any feedback on project licence applications that had been received from the Home Office inspector. It did not appear that the Committee had missed any substantive issued that had required the inspector's intervention to resolve. The Committee agreed to adopt the format of the report in future meetings.

8. **ANY OTHER COMPETENT BUSINESS**

The DBS reported that the Concordat on Openness on Animal Research: Annual Report 2017 had just been published and would be circulated in due course. A scientific member of the Committee noted his involvement in a University-wide public engagement project on "models for research".

9. **DATE OF NEXT MEETING**

11 July 2018.

APPENDIX 8

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 98)

A meeting of the Senatus Academicus was held on 23 May 2018.

1. **REPORTING TO COURT**

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

The discussions on the USS Pension Scheme, the University's financial position and on the appointment of the next Principal.

2. **PRELIMINARY REMARKS**

The Principal gave details of the Students' Association Executive members elected for 2018-19 and thanked the outgoing DUSA Executive Team for their contributions to the work of Senate and the University.

The Principal also thanked Professor Gary Mires and Professor Iain Stewart who were attending their last meeting of the Senate and wished them well for the future.

3. **PRINCIPAL'S REPORT**

USS Pensions

The Principal gave an update on developments in the USS pensions negotiations. He explained that agreement on the membership and terms of reference of a Joint Expert Panel (JEP) would be announced in the near future.

He explained that the JEP would meet over the summer to develop an agreed understanding on the USS valuation and the need for any changes to benefits or contributions in the light of the valuation.

He observed that the JEP would have an equal number of Universities UK and University & College Union nominees and that the Chair of the Panel would not have a casting vote. He concluded that under these arrangements the prospect of continuing disagreement was not an unlikely outcome from the JEP's discussions.

He noted that in the absence of agreement the USS Trustee might revert to the previous valuation and recommendations, meaning that a substantial increase in employers' and employee contributions to the Scheme would be required. He asked Senate to note that the impact of such an eventuality on the University's financial situation and the take home pay of USS members would be considerable.

The Principal concluded that the best outcome would be if there were agreement on the Scheme's deficit and a clear plan for its future sustainability.

Public Engagement

The Principal highlighted the award made to the School of Life Sciences by the National Co-ordinating Centre for Public Engagement. He noted that Paul Manners, NCCPE Director, had emphasised that the Award was made for a truly outstanding application.

He asked Senate to join him in congratulating Professor Nicola Stanley-Wall and her team for their work in public engagement. Senate endorsed the Principal's suggestion that Professor Stanley-Wall should be invited to a future meeting to present on the topic of public engagement.

Honorary Degrees Committee

The Principal asked Senate to endorse the recommendation of the Honorary Degrees Committee to award former Chancellor, Lord Naren Patel, a second honorary degree in recognition of his extensive service to the University. He noted that with Senate's approval the award would be during the June 2018 Degree Ceremonies.

Senate warmly endorsed the proposal to award the Degree of Doctor of Science to Lord Naren Patel.

Dean of Medicine

The Principal explained that an Interim Dean would be appointed in the School of Medicine following the retirement of Professor Gary Mires. He asked Senate to note that the interim appointment would be decided in the near future, after an internal consultation and interview process. Senate also noted that a full recruitment process would commence in the next academic year to allow for the possible involvement of the new Principal in the appointment process.

Research Grant Income

The Principal highlighted information on Major Research Grants listed in Appendix 2 of his Report and congratulated those who had recently been awarded external research grants. He asked Senate to note the £25m Medical Research Council funding awarded to the MRC Protein Phosphorylation & Ubiquitylation Unit, led by Professor Dario Alessi. Members noted that the continuation of funding for the PPU Unit involved very detailed assessment and evaluation.

The Principal also welcomed the progress made in attracting high levels of research funding with contributions to research overhead costs and the growing international recognition of the University's research activity. Members noted that research overheads included the salary costs of research staff working on the funded projects.

Royal Society Fellowship

The Principal congratulated Professor Tracey Palmer (School of Life Sciences) who had been made a Fellow of the Royal Society.

V&A Museum of Design Dundee

In response to a question, members of Senate discussed the University's involvement with the opening of V&A Dundee in September 2018.

The Principal noted that the University was a founding partner of the project to bring the V&A to Dundee and remained an important stakeholder for the new Museum. He noted that as part of the on-going relationship with the Museum the University would be able to use certain facilities to support teaching and research activity. He explained that there would also be opportunities for co-ordination and engagement on curriculum development.

Members noted that although staff from the School of Art & Design would be best suited to initiate discussions on future collaborations it was important that all parts of the University realised the opportunities available and that design in its broadest sense underpinned most aspects of the academic work of the institution.

Senate noted that the Museum was now moving into its operational phase and that discussions were underway to ensure the University had clarity over future interactions and influence. Members noted that Professor Nic Beech would co-ordinate these discussions with input from across the University including the recently formed Public Engagement Forum.

The Principal urged all members to consider ways in which the University might develop its relationship with the Museum and to continue discussions in Schools and Directorates.

Senate Away Day

The Principal asked members to consider ways of utilising the Senate Away Day discussions on academic freedom and widening access to prompt further discussions at their respective School Boards.

4. UNIVERSITY COURT

The Senatus received a communication from the Court meeting held on 24 April 2018.

The Senatus decided: to note the Report.

5. BUDGET PLANNING & REVIEW

Presentation

Senate received a presentation from Dr Jim McGeorge (University Secretary) on the 2018/19 Budget Planning process that had recently concluded.

The Secretary explained that budget setting had been challenging and he commended those involved in the process for their efforts in reaching a positive outcome. He outlined the context for the discussions and explained that there had been good improvement in improving the current in-year position thanks to the careful work in Schools and Directorates to effectively manage costs. Senate noted that this meant the year-end position would be well ahead of the deficit budget originally set and that the University was still on course to move into modest surplus in 2020/21.

Senate noted that the £1m deficit budget set for next year included a contingency for risks related to student numbers and additional USS Pensions contributions as well as funds for high priority strategic investments.

The Secretary then set out some of the movements in costs and income in the budget from the current year levels. He noted in particular the focus on unregulated student fee income that would help produce £9m+ income growth. He also explained that although efforts to contain core costs had been largely successful there would still be substantial increases in staff costs next year due to normal pay and incremental drift and other inflationary pressures.

Senate considered the planned growth in student numbers contained in the budget and was asked to compare these to forecasts and actual numbers reported in previous years. The Secretary explained that to meet next year's targets the University would need to repeat past success in recruiting rUK undergraduate students through UCAS Clearing and maintain growth in international student numbers. He noted that some targets had been scaled back but were still stretching and based on growth in student numbers in all unregulated areas.

Senate noted that fee-paying postgraduate research student recruitment remained an area for improvement and that there would be scope for re-evaluating School ambitions in this area.

The Secretary observed that the budget was also founded on relatively consistent levels of research income achieved by the University in recent years. He explained that any shift in the balance toward overhead-bearing research grants would have a positive effect on the University's overall financial out turn.

The Secretary concluded his presentation by emphasising that the final budget for 2018/19 represented a very good outcome in the circumstances and would enable the University to move forward with clarity on the challenges ahead.

Members discussed the challenges involved in maintaining high levels of international student recruitment and expressed a hope that the immigration policy climate might improve. The importance of allocating adequate academic time to unregulated recruitment activity was also emphasised.

Members also discussed the need for the University to address any underlying causes for under-performance in recruiting international research students. It was noted that, in general, international research students had fewer difficulties in obtaining visas as there was some flexibility in when they started their studies at the University.

It was noted that existing international partnerships should be re-examined to ensure that all opportunities for facilitating research student recruitment are developed.

Members also noted that the establishment of International College Dundee would provide an alternative route into the University for students who would otherwise face difficulty in meeting immigration requirements.

A Member emphasised the important role of the Library in supporting research and providing resources for the research community, including postgraduate research students. Senate noted that a dedicated Graduate School might have the potential to provide further space and resources for research students.

Senate welcomed the intention to invest in admissions and student mental health and associated support and members asked for clarification on how investment decisions would be made in the future. The Secretary confirmed that most of the investment funds had not been allocated and that proposals would be discussed with Deans and Directors to fund good ideas, in-year, to ensure the maximum strategic impact.

Senate discussed the University's progress towards longer-term financial sustainability.

The Principal explained that there continued to be systemic risks for the University to manage in terms of the potential costs related to the USS pensions deficit and the pernicious effects of eroding public funding for higher education in Scotland. He explained that the University would need to continue to grow its way out of these external financial constraints and to make the case for a more sustainable approach to funding, including the need for 3-5 year funding settlements to promote stability.

The Principal agreed that the University was moving towards becoming more resilient and that better levels of growth had, in turn, boosted confidence. He also agreed that mature, realistic and transparent decision making had helped in the development of plans for future financial security.

Members also discussed the possible gains from investing in distance learning provision and welcomed plans for development of the University's Digital Strategy.

The Senatus decided:

- (i) to thank the Secretary for his presentation; and
- (ii) to welcome the positive outcome of the Budget Setting process.

6. QUALITY & ACADEMIC STANDARDS COMMITTEE

The Senatus received a Report from the Quality & Academic Standards Committee meeting of 26 March 2018.

Dr Lesley McLellan (Director of Quality & Academic Standards) introduced the Report and asked Senate to note the Committee's discussions on ensuring procedural consistency in the submission and consideration of students' mitigating circumstances.

The Senatus decided: to approve the Report

7. LEARNING & TEACHING COMMITTEE

The Senatus received a Report from the Learning & Teaching Committee meeting of 8 May 2018.

Professor Jeanette Paul (Acting Convener of the Committee) introduced the Report and asked Senate to note the presentations from Web Development and Business Transformation and the Committee's discussions on the challenges in maintaining a high response rate to the National Student Survey.

Senate also noted the Committee's concerns about the apparent increase in the number of students reporting mental health and other mitigating circumstances and acknowledged both the need for the University to do more to support these students and the additional strain on Schools and student support services. In that regard members welcomed the commitment given earlier in the meeting to funding additional Professional Services posts in this area.

Senate welcomed the news that Dr Susie Schofield had been appointed as the University's Distance Learning Lead and noted the plans to ensure back-fill for those appointed to University Lead positions.

Members from the School of Education & Social work raised a concern on the planned timing of the VLE upgrade and the process for rolling over modules.

The Senatus decided:

- (i) to ask the University Secretary to investigate concerns over the VLE Upgrade timetable; and
- (ii) to approve the Report.

8. INTERNATIONALISATION COMMITTEE

The Senatus received a Report from the Internationalisation Committee meeting of 8 May 2018.

Wendy Alexander (Vice-Principal Internationalisation) introduced the Report and asked Senate to note the Committee's discussions on the importance of full recognition and prioritisation of international recruitment and conversion activity in the academic workload model. Senate noted that re-development of the model might provide an opportunity for this recognition to be built in to the model.

Senate welcomed the news that Dr Bill Russell had been appointed as the University's Lead on International Programme Development.

Members of Senate discussed the importance of international students for the life of the University and the City.

The Senatus decided: to approve the Report.

9. **RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE**

The Senatus received a Report from the Research & Knowledge Exchange Committee meeting of 3 May 2018.

Professor Tim Croudace (Associate Dean Research, School of Nursing & Health Sciences) reported that the Committee had considered reports on the Annual Review of Research from the Associate Deans. He explained that the Review process was reaching a level of maturity that would enable the University to take informed decisions in its preparations for REF 2021.

The Senatus decided: to approve the Report

10. **SUMMARY REPORTS OF SCHOOL BOARDS**

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

School of Education & Social Work

Professor Tim Kelly (Dean of Education & Social Work) reported on discussion at the School Board on processes related to approving requests for extensions and discounts of time for research students in the School. He reported that given the need for confidentiality in many cases some members of School Board had questioned the basis for approval in the absence of what they felt was adequate information to do so.

Senate agreed to ask the Dean to consult with the Director of Academic & Corporate Governance to explore the issue further.

The Senatus decided: to approve the Reports.

11. **ELIR REFLECTIVE ANALYSIS**

The Senatus received the draft Reflective Analysis prepared as part of the Enhancement–Led Institutional Review.

Dr Lesley McLellan (Director of Quality & Academic Standards) introduced the Draft Analysis and asked Senate to (i) approve the general direction being taken in the Review and (ii) to delegate authority for the approval of the final document to the Senate Quality & Academic Standards Committee who would meet in June 2018, for this purpose.

The Senatus decided:

- (i) to endorse the preparations and general direction of approach taken with regards to the Enhancement–Led Institutional Review; and
- (ii) to delegate authority for the approval of the final document to the Senate Quality & Academic Standards Committee.

12. **ACADEMIC CALENDAR 2018-19**

The Senatus received the Academic Calendar 2018-19, for information.

The Senatus decided: to note the 2018-19 Academic Calendar (annex a).

13. **HONORARY DEGREES COMMITTEE**

The Senatus received a Report from the Honorary Degrees Committee meeting held on 2 May 2018, for approval.

The Senatus decided: to approve the Report.

14. **SENATE AWAY DAY REPORT**

The Senatus received a Report from the Senate Away Day held on 4 May 2018, for approval.

The Senatus decided: to approve the Report.

15. **THE CHANCELLOR'S AWARD FOR OUTSTANDING CONTRIBUTIONS TO TEACHING**

The Senatus ratified the recommendations of the Judging Panel to make an Award to

Janice Aitken	School of Art & Design
Professor Stuart Cross	School of Social Sciences
Dr John Lee	School of Nursing & Health Sciences
Professor John Peters	School of Life Sciences

16. AMENDMENTS TO ORDINANCES

- The Senatus decided:**
- (i) to concur with the decision of Court to approve the amendment to Ordinance 18 (Staff Council members elected to Court);
 - (ii) to approve the addition of Professional Doctorate Awards to Ordinance 39 subject to the approval and subsequent confirmation by Court; (annex b) and
 - (iii) to concur with the decision of Court to revoke Ordinances 49 and 50 subject to confirmation by Court.

17. AMENDMENTS TO POLICY & REGULATIONS

(a) Senate Elections

The Senatus approved the proposed schedule of Senate Elections and noted each School would elect or re-elect 2 members in 2019 and elect or re-elect at least one member in 2021.

(b) Academic Misconduct Policy

The Senatus received the revised Senate Regulation on Academic Misconduct.

Senate noted that this Regulation needed to be read in conjunction with the Code of Practice approved by the Quality & Academic Standards Committee, Learning & Teaching Committee and reported to Senate in January 2018.

Members agreed that Schools should continue to make early interventions in line with the Code of Practice.

The Senatus decided: to approve the Regulations

(c) Fitness to Practice Policy

The Senatus received the Fitness to Practice Policy, for approval.

The Senatus decided: to approve the Policy in principle and subject to amendments agreed with the relevant Schools and the provision of written confirmation of approval from the Deans in the Schools of Medicine, Dentistry, Nursing & Health Sciences and Education & Social Work.

18. APPOINTMENT OF THE PRINCIPAL

(Note: Dr Jim McGeorge (University Secretary) took the Chair and the Principal left the meeting.)

The Secretary gave an update of the process to identify and appoint the next Principal of the University.

Senate noted that the Appointment Committee had met to agree a long-list of suitable candidates and that short-listing would follow extensive analysis and one-to-one discussions with the long-listed candidates facilitated by the recruitment consultants.

Senate noted that there would be a visit day in June and that members of Senate and UMG would be involved in scheduled meetings.

Senate also noted that final interviews would take place at the end of June with the expectation of a proposed appointment that would be discussed with special meetings of Senate and Court on 2 July.

Members of Senate welcomed early indications of diversity, the commitment to openness within the limits of confidentiality and the inclusion of a range of staff and student representatives in the process. Dr McGeorge agreed to discuss with the appointing committee the level of engagement by Deans with shortlisted candidates during the visit day.

Senate noted that there was a reasonable expectation that a newly appointed Principal would take up post from 1 January 2019.

Annex A

Academic Calendar 2018-19

MONTH			MEETING	START TIME	WEEK
JULY	2018				
6	FRI		Last day of resit examinations		
11	WED	C	Welfare & Ethical use of Animals Committee	2pm	
20	FRI		Last day for announcement of results/issue of Termination Letters		
24	TUE		Professional Services Group	10am	
AUGUST	2018				
8	WED		Culture & Arts Committee	9.30am	
			Space Management Group	3pm	
10	FRI		Last day for lodging Appeals		
14	TUE		LGBT Staff Network	9.30am	
		C	Governance & Nominations Committee	10am	
		C	Finance & Policy Committee	2pm	
17	FRI		First issue of Termination of Studies (Appeals) Committee agenda		
			Masters Degree Show		
21	TUE		Professional Services Group	10am	
			Learning & Teaching Spaces Sub-Committee	2.30pm	
22	WED		University Management Group	9.30am	
23	THU		Senate ToS (Appeals) Committee	9.15am	
28	TUE		International Deans Operational Committee	9.30am	
30	THU	C	Court Retreat	Starts 4pm	
31	FRI	C	Court Retreat	Ends 4pm	
SEPTEMBER	2018				
3	MON		Welcome Week		Week 0
4	TUE	C	Health & Safety Sub-Committee	2pm	0

5	WED		Risk Management Oversight Group	10.00am	0
7	FRI		Last day for Matriculation		0
		S	Research Degrees Sub-Committee	10am	0
10	MON		Semester 1 begins		Week 1
			Equality, Diversity & Inclusion Committee	2pm	1
11	TUE	S	Quality & Academic Standards Committee	10.00am	1
			University Research Ethics Committee	2pm	
13	THU		Union Local Joint Committee	9am	1
		S	Employability & Enterprise Committee	2pm	
17	MON				Week 2
18	TUE	S	Internationalisation Committee	9am	2
		S	Research & Knowledge Exchange Committee	2pm	
21	FRI		Professional Services Group	10am	2
24	MON		School Boards in Week 3		Week 3
		S	Senate Business Committee	4pm	
25	TUE	S	Learning & Teaching Committee	10am	3
			Distance Learning Forum	2pm	
OCTOBER	2018				
1	MON		Dundee Autumn Holiday		Week 4
3	WED		Readership & Personal Chairs Committee	2pm	4
		C	Welfare & Ethical use of Animals Committee	2pm	
8	MON				Week 5
9	TUE		International Deans Operational Committee	9.30am	
10	WED	S	Senate	2pm	5
15	MON				Week 6
22	MON		Governance & Nominations Committee	10am	Week 7
			Finance & Policy Committee	2pm	
23	TUE	S	Quality & Academic Standards Committee	10am	Week 7
24	WED		Professional Services Group	2pm	7
25	THU	S	Research Governance & Policy Sub-Committee	10am	7

26	FRI		Digital Strategy Committee	10.30am	7
		S	Research Degrees Sub-Committee	2pm	
29	MON	C	Audit Committee	2pm	Week 8
30	TUE		Staff Council Standing Committee	1pm	8
				2pm	
31	WED		University Management Group	11am	
NOVEMBER	2018				
1	THU		School of Nursing & Health Sciences Planning Meeting	9am	8
		C	People & Organisational Development Committee	2pm	
		S	Employability & Enterprise Committee	2pm	
5	MON		School Boards in Week 9		Week 9
			Space Management Group	11am	
			Directorate group for Student Experience Planning meeting	2pm	
6	TUE	S	Internationalisation Committee	9am	9
		S	Honorary Degrees Committee	2pm	
7	WED		Directorate group for Corporate Infrastructure Planning meeting	3pm	9
8	THU	S	Senate Business Committee	9am	9
			School of Education & Social Work Planning Meeting	10am	
9	FRI	S	Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures	10am	9
12	MON	S	Research & Knowledge Exchange Committee	2pm	Week 10
14	WED	S	Graduation		10
		S	Learning & Teaching Committee	10am	
			School of Life Sciences Planning Meeting	2pm	
15	THU	S	Graduation		10
16	FRI	S	Graduation		10
19	MON	C	Finance & Policy Committee (accounts and student numbers)	12noon	Week 11
		C	Court	2pm	
			School of Art & Design Planning Meeting	2pm	
20	TUE		Endowments Sub-Committee	10.00am	11
			School of Humanities Planning meeting	2pm	

21	WED		Staff Council – Principal's Question Time	1pm	11
			School of Social Sciences Planning Meeting	2pm	
22	THU		School of Dentistry Planning Meeting	9am	11
			Professional Services Group	11am	
23	FRI		Directorate Group for Income Generation Planning meeting	9am	11
24	SAT		Graduates' Association Business Meeting	10am	11
26	MON				Week 12
27	TUES		School of Medicine Planning meeting	2pm	12
28	WED		Culture & Arts Committee	9.30am	12
		S	Senate	2pm	
29	THU		Distance Learning Forum	2pm	12
			School of Science & Engineering Planning Meeting	2pm	
DECEMBER	2018				
3	MON		Semester 1 Examination begin		Week 13
			Quality & Academic Standards Committee	10am	13
4	TUE		Risk Management Oversight Group	9am	13
			Readership & Personal Chairs Committee	2pm	
9	SUN		University Carol Service	5pm	13
10	MON	C	Health & Safety Sub-Committee	2pm	Week 14
11	TUE	C	Remuneration Committee	11am	14
		C	Finance & Policy Committee (provisional)	2pm	
			University Research Ethics Committee	2pm	
12	WED		Union Local Joint Committee	9am	14
			Equality, Diversity & Inclusion Committee	2pm	
13	THU		Professional Services Group	10am	
14	FRI		Semester 1 Examinations end		14
			End of Semester 1		
			Digital Strategy Committee	10.30am	
17	MON		University Management Group	2pm	VACATION
21	FRI		University Closed after business until start of business on 3 January 2019		
JANUARY	2019				

3	THU		Start of Business		
7	MON		Welcome Week – January intake		
8	TUE	S	Senate Business Committee	9am	
10	THU		Discovery Day		
11	FRI		Discovery Day		
14	MON		School Boards in Week 15		Week 15
			Start of Semester 2		
17	THU	S	Learning & Teaching Committee	2pm	15
		C	Welfare & Ethical Use of Animals Committee	2pm	
21	MON				Week 16
22	TUE	C	Audit Committee	2pm	16
23	WED	S	Research Governance & Policy Sub-Committee	2pm	16
24	THU		Professional Services Group	10am	16
28	MON				Week 17
30	WED	S	Senate	2pm	17
31	THU	C	People & Organisational Development Committee	2pm	17
		S	Employability & Enterprise Committee	2pm	
FEBRUARY	2019				
1	FRI		Digital Strategy Committee	10.30am	17
4	MON		Staff Council Standing Committee	1pm	Week 18
5	TUE	C	Governance & Nominations Committee	10am	Week 18
		C	Finance & Policy Committee	2pm	
6	WED		International Deans Operational Committee	9.30am	18
			Quality & Academic Standards Committee	10am	
			Learning & Teaching Spaces Sub-Committee	2.30pm	
11	MON				Week 19
12	TUE		Risk Management Oversight Group	10am	
13	WED		Culture & Arts Committee	9.30am	19

18	MON				Week 20
19	TUE	S	Internationalisation Committee	9.30am	20
20	WED		University Management Group	9.30am	20
		S	Research Degrees Sub-Committee	2pm	
21	THU		Student Recruitment & Admissions Committee	2pm	20
25	MON		Space Management Group	2pm	Week 21
26	TUE	C	Finance & Policy Committee (accounts and student numbers)	12noon	21
		C	Court	2pm	
27	WED		Staff Council – Principal’s Question Time	1pm	21
28	THU		Professional Services Group	10am	21
			Research & Knowledge Exchange Committee	2pm	
MARCH	2019				
4	MON		School Boards in Week 22		Week 22
		S	Senate Business Committee	4pm	
		S	Learning & Teaching Committee	10am	
5	TUE	C	Audit Committee	2pm	22
			Distance Learning Forum	2pm	
11	MON				Week 23
12	TUE		Learning & Teaching Development Forum	2pm	23
13	WED	S	University Research Ethics Committee	2pm	23
14	THU		Student Recruitment & Admissions Committee	2pm	23
18	MON				Week 24
19	TUE		Professional Services Group	10am	24
20	WED	S	Senate	2pm	24
21	THU		Remuneration Committee	11am	24
			People & Organisational Development Committee	2pm	
25	MON	S	Quality & Academic Standards Committee	10am	Week 25
26	TUE	C	Governance & Nominations Committee	10am	25

		C	Finance & Policy Committee	2pm	
29	FRI		End of Teaching		25
APRIL	2019				
1	MON				VACATION
2	TUE		Staff Council Standing Committee	1pm	
8	MON				
9	TUE		International Deans Operational Committee	9.30am	
10	WED		Welfare & Ethical Use of Animals Committee	2pm	
15	MON				
16	TUE	S	Research Governance & Policy Sub-Committee	2pm	
18	THU		Risk Management Oversight Group	10am	
		S	Employability & Enterprise Committee	2pm	
19	FRI		Good Friday		
			Digital Strategy Committee	10.30am	
22	MON		Start of Semester 2		Week 26
			Easter Monday		
23			University Management Group	9.30am	26
			Equality, Diversity & Inclusion Committee	2pm	
24	WED		Union Local Joint Committee	9am	26
			Staff Council – Principal’s Question Time	1pm	
		C	Endowments Sub-Committee	2pm	
25	THU		Professional Services Group	10am	26
		S	Research Degrees Sub-Committee	2pm	
29	MON	C	Health & Safety Sub-Committee	2pm	Week 27
30	TUE	C	Court	2pm	27
MAY	2019				
1	WED		Readership & Personal Chairs Committee	2pm	27
2	THU	S	Research & Knowledge Exchange Committee	2pm	27

6	MON		May Day (Dundee Holiday)		Week 28
			School Boards in Week 28		
7	TUE	S	Learning & Teaching Committee	10am	28
		S	Internationalisation Committee	2pm	
9	THU	S	Senate Business Committee	9am	28
		S	Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures	10am	
			Distance Learning Forum	2pm	
11	SAT		Graduates' Association Business Meeting	10am	28
13	MON				Week 29
14	TUE	S	Student Recruitment & Admissions Committee	10am	29
16	THU		Learning & Teaching Development Forum	2pm	29
17	FRI		Degree Show		29
20	MON	C	Remuneration Committee	11am	30
		C	People & Organisational Development Committee	2pm	30
21	TUE	C	Audit Committee	2pm	
22	WED	S	Culture & Arts Committee	9.30am	30
			Senate	2pm	
23	THU	S	Quality & Academic Standards Committee	10am	30
24	FRI		End of Semester 2 Examinations		30
			End of Semester 2		
27	MON		Victoria Day (Dundee Holiday)		VACATION
28	TUE		Governance & Nominations Committee	10am	
			Finance & Policy Committee	2pm	
29	WED		Space Management Group	2pm	
30	THU		Professional Services Group	10am	
JUNE	2019				
3	MON				
10	MON				

12	WED		University Management Group	9.30am	
18	TUE		Graduation		
19	WED		Graduation		
20	THU		Graduation		
21	FRI		Graduation		
24	MON		Court	2pm	
26	WED	S	Quality & Academic Standards Committee	10am	
			Readership & Personal Chairs Committee	2pm	
27	THU		Professional Services Group	10am	
28	FRI		Digital Strategy Committee	10.30am	
JULY	2019				
5	FRI		Last day of resit examinations		
17	WED	C	Welfare & Ethical use of Animals Committee	2pm	
19	FRI		Last day for announcement of results/issue of Termination Letters		
25	THU		Professional Services Group	10am	

Changes to Ordinance 39 – Degrees, Diplomas and Certificates

Following the Introduction of a range of new interdisciplinary Professional Doctorate Programmes in the University the following new Degrees need to be added to the list of awards in Paragraph 1 of Ordinance 39 as follows:

- Doctor of Professional Practice (DProf)
- Doctor of Health Sciences (DHSci)
- Doctor of Social Sciences (DSSci)
- Doctor of Business Administration (DBA)
- Doctor of Management (DMan)

Senate approved these additions to Ordinance 39 at its meeting held on 23 May 2018. The approval of the programmes will follow normal quality assurance approval procedures