

UNIVERSITY OF DUNDEE
UNIVERSITY COURT

A meeting of the University Court was held on 19 November 2018.

Present: Ronnie Bowie (in the Chair)
Janice Aitken
Alan Bainbridge
Richard Bint
Dr William Boyd
Shirley Campbell
Catherine Cavanagh
Principal Professor Sir Pete Downes
Rumana Kapadia
Rebecca Leiper
Bernadette Malone
Jane Marshall
Dr Alison Reeves
Karen Reid
Dr Jean Robson
Sofia Skevofylaka (DUSA President)
Jay Surti
Keith Winter

<u>In Attendance:</u>	Wendy Alexander	(Vice-Principal (International))
	Professor Nic Beech	(Vice-Principal (Provost))
	Claire Glancy	(Executive Support Officer)
	Naomi Jeffery	(Senior Planning Officer)(items 17 & 18)
	Dr Neale Laker	(Director of Academic & Corporate Governance)
	Ian Leith	(Director of Business Transformation) (Item 19);
	Professor Karl Leydecker	(Vice-Principal (Learning & Teaching))
	Afzal Mahmood	(External Consultant, Business
	Transformation)(Item 19)	
	Dr Jim McGeorge	(University Secretary)
	Dr Christine Milburn	(Policy Officer (Corporate Governance))
	Pam Milne	(Director of Human Resources and
		Organisational Development)
	Carol Prokopyszyn	(Director of Finance)
	Wesley Rennison	(Director of Strategic Planning)
	Dr Liz Rogers	(Assistant Policy Officer (Risk & Audit))
	Professor John Rowan	(Vice-Principal (Research, Knowledge Exchange
	& Wider Impact))	
	Thomas Veit	(Director of External Relations)

Apologies: Lord Provost Ian Borthwick
Lady Lynda Clark
Professor Tim Kelly
Allan Murray
Professor Mairi Scott
Sharon Sweeney

15. **MINUTES**

(1) Minutes of the Meeting of Court on 30 August 2018

The Court decided: to approve the minutes of the Court on 30 August 2018

16. **MATTERS ARISING**

(1) Action Log

The Court considered the action log and noted the updates provided. In response to questions regarding the DUSA Manifesto, the Dundee University Students' Association (DUSA) President drew members' attention to a flyer detailing the activities of the DUSA Executive in its first 100 days in office.

The Court decided: to note the updates provided and approve the log.

(2) Mapping of Joint Working with DUSA (Minute 4)

The Dundee University Students' Association (DUSA) President and University Secretary updated the Court on the outputs of activities to date in the review of joint working between the University and DUSA. In the presentation the DUSA President drew members' attention to the strong starting position for the review, and in doing so highlighted the strong relationship between DUSA and the University Executive Group (UEG), effective working between DUSA and Student Services, widespread recognition of the value of student representation, and the University's record on student experience and partnership working as being key areas of strength.

The President and University Secretary went on to highlight issues and proposed actions in the areas of: representation; partnership and engagement; and student support, and the Court noted the ambition to enhance current practice. Through discussion members were pleased to note that the working group planned to engage with the wider UEG membership to review and further develop the narrative and actions, with a view to reporting to the Court at its meeting in February 2019 and that this further work would also encompass the potentially differing expectations/requirements of international students.

Through discussion the Court sought assurance regarding how the University and DUSA ensured that existing best practice was resilient to changes in UEG/DUSA Executive membership, and it was agreed that this would be explored further in the report to the February Court.

The Court decided: to note the update and await a further paper at the meeting on 26 February 2019.

(3) Ratification of Changes Approved to Statute 4 (The Rector)

The Court decided: to note that the Senate had, for its part, approved changes proposed to Statute 4 (The Rector), further noting that these remained subject to the approval of, and any changes required by, the Privy Council (minute 6(3) of August 2018 meeting refers).

(4) Governance & Nominations Committee

The Court decided: to ratify the decision to approve changes to Ordinance 62 (Election of the Rector) and Regulations for the Conduct of the Election of the Rector, noting the approval of the Senate for its part (minute 9(2)(ii) of August 2018 meeting refers).

(5) Regulations for the Appointment of the Chair of Court

The Court decided: to homologate the decision taken by the Court by email on 11 November 2018 to approve changes to the Regulations for the Appointment of the Chair of Court as recommended by the Appointing Committee for the Chair of Court (**Appendix 1**).

(6) Vice-Principal (Learning & Teaching)

The Chair of Court reminded members that, since the last meeting of the Court, members had been informed of the resignation of the Vice-Principal (Learning & Teaching), effective from 1 March 2019, and had been consulted by email in relation to arrangements for the appointment of a successor.

The Court decided:

- (i) to homologate the decision taken by the Court by email on 12 November 2018 to approve the proposal that the position of Vice-Principal (Learning & Teaching) be advertised, and that an appointing panel be convened, with authority delegated to the Chair of Court and University Secretary to finalise its composition;
- (ii) to note that lay members of the Court had been invited to express their interest in serving on the Appointing Committee to the University Secretary;
- (iii) to homologate the decision to delegate authority to the Appointing Committee to make the appointment; and

- (iv) to note the proposal that, in discussion with the Chair of Court, an interim be appointed to serve in the intervening period.

17. ANNUAL REPORT ON LEAGUE TABLE PERFORMANCE

The Director of Strategic Planning introduced a paper which summarised the findings of the annual review of the University's performance in UK and World League Tables. Members noted that the University's performance in UK rankings had fallen slightly and that overall rankings were down in both the QS and Times Higher League Tables, with the University outside the world top 200 in both. Members noted the importance of the latter rankings with regard to developing partnerships with institutions overseas and recruiting international students. Through discussion members noted that the drop in overall world rankings, despite improvements in many subject rankings, was largely as a result of reputation survey outcomes. In this respect, members agreed that it would be useful to receive guidance on any actions which may be taken by Court members which were permissible by the survey rules. The Court also agreed that it would be helpful for future reports to refer to the actions being undertaken by the University Executive Group (UEG) to address matters highlighted in the surveys and those in the University Strategy to 2022 Action Plan.

Members also expressed an interest in references made to changes to the methodology for the Guardian League Table relating to retention which appeared to disadvantage Scottish Universities. Members noted the level of activity and monitoring within the University in this respect as well as noting that retention targets would be set as part of the University Strategy Key Performance Indicator (KPI)/Action Plan monitoring process.

The Court agreed that the Institutional Risk Register should be reviewed to ensure that it reflected issues relating to League Table performance.

- The Court decided:**
- (i) to note the report; and
 - (ii) to note that the Audit Committee would review the Institutional Risk Register in light of discussions.

18. UNIVERSITY STRATEGY TO 2022: REPORTING ON KEY PERFORMANCE INDICATORS

The Director of Strategic Planning outlined work undertaken following the Court Retreat to develop the dashboard for reporting to the Court on institutional performance against Key Performance Indicators (KPIs). In doing so he drew members' attention to a prototype of the formal report, which members welcomed as meeting the requirements and expectations set out at the Retreat. The Senior Planning Officer then demonstrated the dashboard.

The Court explored how financial sustainability would be reported, and how it was envisaged that the dashboard would be rolled out across the University for use as a management tool. The Principal highlighted feedback from stakeholder meetings across

the University to illustrate how the Strategy and Action Plans were already driving behaviours within schools and directorates.

The Court decided: to confirm that the dashboard and prototype report met the expectations and requirements of the Court.

19. **RESERVED BUSINESS: BUSINESS TRANSFORMATION UPDATE**

The University asserts that the paper and discussion are exempt from public disclosure and claims exemptions in S.30(b), 30(c) and 33(1)(b) of the Freedom of Information (Scotland) Act 2002.]. 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.

20. **EQUALLY SAFE IN HIGHER EDUCATION**

The Court considered a paper from Janice Aitken and the Director of Academic & Corporate Governance, in his capacity as the Chair of the University's Equally Safe Group, which set out the University's response to the Equally Safe agenda around gender-based violence in Higher Education (HE) in the context of the Ministerial Letter of Guidance dated 4 April 2018. The paper drew together aspects of previous discussions at meetings of the Court, and in doing so summarised relevant statistical information, the work of the Group and initiatives implemented across the University and in partnership with other external organisations.

The Court praised the work of the Group and highlighted the value of the work undertaken to date to raise awareness and ensure confidence in the system. Members noted how the work aligned with activities being undertaken by DUSA and the presenters highlighted the value of the contributions of the student members of the Group. Members were keen to emphasise the need to ensure that when individual cases/allegations arose all parties were handled fairly and that processes were concluded expeditiously.

In response to questions, the Director acknowledged the particular support requirements of international students and undertook to explore these further with the Group. Members went on to highlight opportunities for the work to be linked into international collaboration agreements, and the Director agreed to liaise with the Vice-Principal (International) in this respect. The Court also identified opportunities to ensure the Group's advice dovetailed and articulated with the Whistleblowing policy and for the Group to consider its most appropriate reporting route.

The Director agreed that it would be important to ensure that the activity in this area continued to be appropriately tracked and coordinated to enable it to become part of the culture and fabric of the University, and agreed to provide a further update on this subject at a meeting during the 2019/20 academic year.

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

21. CHAIR'S REPORT TO COURT

The Chair of Court provided members with an update on meetings and activities undertaken on behalf of the University since his last report at the time of the Court Retreat. The report focussed on discussions at meetings of the Committee of University Chairs (CUC) and Committee of Scottish Chairs (CSC). Members were particularly interested in the discussions relating to the 'UUK Step Change Framework' which would provide useful benchmarking of activities and developments relating to mental health, and which would be considered by the University's Health & Wellbeing Group.

The Court decided: to note the report

22. UNIVERSITY EXECUTIVE GROUP REPORT TO COURT

The Court received a report from the University Executive Group (UEG) (**Appendix 2**) which detailed strategic matters of sectoral and internal significance which had been the focus of UEG attention since the last meeting of the Court. The Principal drew members' attention to the five key strategic priorities for UEG for 2018/19, which had been refined following input from the Court at the Retreat. These were as follows:

- Develop a clear REF strategy for each School, and the University as a whole, aiming to maximise reputational and financial benefits. (Strategy area: Enhance University Reputation and Performance).
- Develop comprehensive people strategies for schools which define the projected future staffing establishments for each in relation to absolute numbers, balance of contract types and grade profiles. (Strategy area: Enable our people to flourish).
- Grow both income and the net financial contribution from unregulated teaching sources. (Strategy area: Grow and diversify our student community).
- Develop and implement new Estates and Infrastructure strategies, with an associated future funding strategy to ensure the University can meet its ambitions. (Strategy area: Deliver sustainable ambition).
- Deliver the income growth, cost savings and productivity benefits associated with the delivery of business transformation and in that context develop a plan or plans for new operating model(s) for Professional Services that better integrate activities across directorates. (Strategy area: Embrace One Dundee Approach).

Members were supportive of the priorities identified and discussions focussed on how aspects relating to financial sustainability were reflected within the objectives. The Chair of Court highlighted the routes by which progress against each of the priorities would be reported through the committees of the Court, with the exception of the first priority, which members noted would be subject to the oversight of Senate and its Research & Knowledge Exchange Committee. Members asked that Senate be advised of the level of importance Court placed on effective communication from the Senate regarding its oversight of this priority.

The Principal also highlighted to the Court the departure from the University of the Vice-Principal (Learning & Teaching), Professor Karl Leydecker, effective from 1 March 2019 and highlighted his contributions to the University during his tenure including: the development of promotions criteria for academic staff; leadership of matters relating to student experience; input into improvements in the University's approach to league table submissions; and leadership of the review of structures and values into action projects.

The Principal highlighted the update on the Joint Educational Institute (China) project, and in response to questions the Vice-Principal (International) confirmed that negotiations had been delayed following a change in personnel and subject focus within the partner institution, and that the new Principal, Professor Andrew Atherton, would resume discussions in early 2019.

Turning to the Tay Cities Deal, members noted that the original date for the announcement of Heads of Terms had been delayed following the announcement of the closure of the Michelin factory in Dundee around that time, but that an announcement was now expected to be made on 22 November.

The Court also discussed aspects of the report which related to changes in the balance between staff on Teaching & Scholarship (T&S) and Teaching & Research (T&R) contracts over time, which members noted were also referred to in the minutes of the meeting of the People & Organisational Development Committee (see also item 24(4) below). Members noted the short-term measures taken in this respect, and that the UEG would engage the academic community in discussions on this matter at upcoming meetings of the Staff Council and Senate. Returning to the UEG key strategic priorities, members noted that the second of these reflected this focus on ensuring that staffing strategies were strategically aligned, but also covered matters such as Objective Setting and Review (OSaR), succession planning, communications and compliance.

With regard to the update on the outcomes of ballots by the campus unions in relation to the 2018-19 national pay negotiations, the Director of Human Resources & Organisational Development highlighted a change to circumstances since the report was issued, with members noting that UCU was now expected to ballot its members again in January 2019, this time in an aggregated ballot.

The Court decided: to note the report.

23. FINANCIAL STATEMENTS FOR THE YEAR ENDING 31 JULY 2018

(1) Annual Report from the Audit Committee

The Court received the annual report from the Audit Committee for 2017/18 (**Appendix 3**). The Convener of the Audit Committee highlighted the Committee's discussion of the report and decisions made in relation to adjustments referred to within it.

The Court noted that the report provided a summary of the activities of the Committee, including internal audits during the 2017/18 academic year. The

Convener advised the Court that the Committee was satisfied with the diligence of the internal and external auditors, and that on the basis of the report provided by management, the views of the Audit Committee, and the review undertaken by the external auditors, the Committee was comfortable to endorse both the report and the annual accounts to the Court for approval.

The Court decided: to approve the report for onward submission to the Scottish Funding Council.

(2) Letter of Representation

The Court considered the proposed draft letter of representation which was to be provided to the auditors.

The Court decided: to approve the letter of representation for signature by the Chairman and Principal.

(3) Annual Report and Financial Statements

The Court received the reports and financial statements for 2017/18 http://www.dundee.ac.uk/finance/procedures/financial_statements.htm. The Director outlined key elements of the report.

In terms of the operational results, the reported operating deficit before other gains was £9.1m, representing an increased deficit from 2016/17 of £1.5m. Members noted that a number of one-off gains, which were not repeated in 2017/18, had contributed to the difference between the 2016/17 and 2017/18 position. The University's cash position had reduced by £6.4m to stand at £40.5m. Net operating cash inflow had decreased from £14.9m to £5.1m, with a capital spend of £17.6m.

Total income increased by £2.3m compared to the previous year to stand at £246.6m, with income from the Scottish Funding Council reducing by £3.1m to £78.5m, income from research was down by £2.1m to £74m, and income from tuition fees increasing by £5.5m to £56.8m. Total expenditure increased by £3.8m to £255.7m, with staffing representing the largest category of costs at £144.9m (an increase of 1.7% from the previous year). Other operating expenses decreased by £1.2m to £86.3m. Depreciation and amortisation increased by 13.5% to £22.0m, including a software impairment of £4.2m.

The Director highlighted the challenging operating environment associated primarily with levels of public funding to Higher Education (HE) and the importance of ensuring that the approach to budget setting and management would lead to a position where the trend in the net operating cash inflow and deficit generation would reverse.

The Court decided: as recommended by the Finance & Policy and Audit Committees, to approve the Reports & Financial Statements for the year ended 31 July 2018.

24. **COMMITTEE REPORTS**

(1) Audit Committee

(i) Report of the Committee's Meeting on 29 October 2018

The Convener of the Audit Committee provided members with an overview of discussions at the meeting of the Committee on 29 October 2018 (**Appendix 4**). In doing so she highlighted areas where the Committee had requested reports from the internal auditors in areas relating to the long-term financial sustainability of the University and international exchange. The Convener drew members' attention to the Committee's review of the Institutional Risk Register, and following discussion members were satisfied that the Committee's review of risk areas rated as 'intolerable' had been appropriately robust.

The Court also noted that the Committee had, as noted in minute 23 (above), endorsed to the Court the Annual Financial Statements, Letter of Representation and Annual Report from the Audit Committee.

The Convener went on to highlight the Committee's discussions relating to Business Transformation, and members noted that the Committee had agreed that the first phase of a 'lessons learned' review, focussed on procurement, scoping, specification and contract would be commissioned, with a later phase focussed on implementation being carried out once the finance system had been implemented. Members were also advised of the Committee's endorsement of the Depreciation Policy for the OneUniversity System.

The Convener also drew members' attention to discussions relating to pension risks, and the Court agreed that the Finance & Policy Committee and its Pension Sub-Group should take a proactive role in monitoring the management of these schemes.

The Court also noted the Committee's review of its work plan, objectives and Remit & Terms of Reference.

- The Court decided:**
- (i) to approve the Remit & Terms of Reference for the Committee (**Appendix 4 annex a**);
 - (ii) to note the Committee's endorsement of the Annual Report from the Audit Committee, the letter of Representation and the Annual Financial Statements for the approval of the Court (see also minute 23 above);
 - (iii) to approve the Institutional Risk Register (<https://uod.app.box.com/v/institutionalriskregister>);

- (iv) to approve the Depreciation Policy for the OneUniversity System; and
- (v) otherwise to approve the report.

(ii) Reserved Business: Minutes 9 and 10 of the meeting on 29 October 2018

The Court received minutes 9 and 10 from the Committee's meeting on 29 October 2018. Noting that the University claimed the exemptions in Sections 30 and 33(1)(b) of the Freedom of Information (Scotland) Act 2002, the item was considered as reserved business and members were required to treat the discussion and associated papers as strictly confidential and exempt from public disclosure.

The Court decided: to approve minutes 9 and 10 of the meeting on 29 October 2018 which related to Business Transformation and the Legal Risk Report.

(2) Finance & Policy Committee

(i) Report of the Meeting on 22 October 2018

The Convener of the Finance & Policy Committee provided members with an overview of discussions at the meeting of the Committee on 22 October 2018 (**Appendix 5**). In doing so he highlighted the Committee's work plan and objectives for 2018/19, which members noted focussed on medium-to-long-term financial planning, estates strategy, benefit realisation mapping for the Business Transformation programme and the continued monitoring of developments relating to pensions matters.

The Convener drew members' attention to the annual report on fundraising and the significant progress made by the Development and Alumni Relations Office over the last three years.

The Court noted that the Committee had reviewed the Annual Treasury Report and had recommended that the Court approve the continued use of RBS as a deposit-taking institution, with a new counterparty limit of £30m.

- The Court decided:**
- (i) to approve the Remit & Terms of Reference for the Committee (**Appendix 5 annex a**);
 - (ii) to note the Committee's endorsement of the Annual Financial Statements (see also minute 23 above);
 - (iii) to approve the continued use of RBS as a deposit-taking institution, with a new counterparty limit of £30m; and
 - (iv) otherwise to approve the report.

(ii) Reserved Business: Minute 10(1) of the Meeting on 29 October 2018

The Court decided: to approve minute 10(1) of the meeting on 29 October 2018 which related to Business Transformation.

(3) Governance & Nominations Committee

The Court received a report from the meeting of the Governance & Nominations Committee on 22 October 2018 (**Appendix 6**). The Convener of the Committee drew to members' attention the Committee's work-plan and objectives for 2018/19 and associated revisions to the Remit & Terms of Reference for the Committee.

The Court noted that the membership of Jane Marshall, a Graduates' Association Member of the Court, had been renewed for a further period of 4 years from 1 August 2019, in accordance with Graduates' Association regulations.

The Convener also highlighted recommendations from the Committee that the Court renew the membership of Karen Reid for a further period of 4 years from 1 August 2019, and extend the membership of Shirley Campbell to 31 July 2020, in accordance with Statute 9(2)(i), to regularise the start and end dates of Court appointments.

The Court noted that the Committee had reviewed and endorsed to Court the 2018 update for the Modern Slavery and Human Trafficking statement, the publication of Register of Interest Returns for Court Members for 2018, and the publication of the Court Skills Matrix. Members also noted that the Committee had considered a summary of Equality, Diversity and Inclusion monitoring returns relating to the Court for 2018/19.

- The Court decided:**
- (i) to approve the Committee's Remit & Terms of Reference (**Appendix 6 annex a**);
 - (ii) to note the Committee's work plan and objectives for 2018/19;
 - (iii) to note the renewal of the membership of Jane Marshall as a Graduates' Association Member of the Court for the period 1 August 2019 to 31 July 2023 in accordance with the Graduates' Association Regulations and Statute 9(1)(f) and 9(2)(c);
 - (iv) to approve the renewal of the membership of Karen Reid as a member of the Court for the period 1 August 2019 to 31 July 2023 in accordance with Statute 9(2)(g);
 - (v) to approve the extension of the membership of Shirley Campbell for the period 20 February 2020 to 31 July 2020 in accordance with Statute 9(2)(i) and

9(2)(k) to regularise the start and end dates of periods of office and to maintain particular expertise on the Court during this period;

- (vi) to approve the Modern Slavery & Human Trafficking Statement 2018 update for publication on the University website (**Appendix 6 annex b**);
- (vii) to approve the continued publication of Register of Interest Returns for Court members and the Court Skills Matrix for 2018/19; and
- (viii) otherwise to approve the report.

(4) People & Organisational Development Committee

The Court received a report from the meeting of the People & Organisational Development Committee on 1 November 2018 (**Appendix 7**). Members noted the work-plan and were supportive of the objectives proposed for the Committee for 2018/19, subject to the inclusion of appropriate reference being made to the University Executive Group (UEG) key strategic priorities.

In introducing the report the Acting Convener highlighted the Committee's consideration of the revised Dignity at Work and Study Policy, which the Court approved.

The Court noted that the Committee continued to monitor progress with regard to matters raised in the staff survey. The Vice-Principal (Provost) updated the Court on developments relating to the Schools of Humanities and Dentistry where the survey had identified issues which the Committee had agreed should be addressed as a priority, and the Court noted the timescale for the completion of these actions. Overall, the Court was satisfied with the progress made.

Discussions focussed on the Annual Work-Force report, which the Committee had discussed at length. Noting the reported increase in staff numbers, and changes to the balance of staff profiles, the Court asked that officers provide a more detailed analysis to the next meeting of the Committee identifying the underlying reasons for changes and analysing any impacts on the University's budget and financial sustainability.

- The Court decided:**
- (i) to approve the Remit & Terms of Reference (annex a) for the Committee, and to note the work-plan and objectives for 2018/19;
 - (ii) to approve the revised Dignity at Work and Study Policy; and
 - (iii) otherwise to approve the report.

(5) Welfare & Ethical Use of Animals Committee

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The Court received the minutes from the meetings of the Welfare & Ethical Use of Animals Committee on 11 July (**Appendix 8**) and 3 October 2018 (**Appendix 9**). Members suggested that the School of Art & Design could be approached with regard to the development of computer simulation models.

The Court decided: to approve the report.

(6) Remuneration Committee

(i) Report of the Meeting on 30 August 2018

The Court received the report from the meeting of the Remuneration Committee on 30 August 2018 (**Appendix 10**), which had been verbally presented at the meeting of Court on 30 August 2018.

The Court decided: to approve the report.

(ii) Report of the Meeting on 19 November 2018

[Secretary's note: Officers, with the exception of the University Secretary, Director of Human Resources & Organisational Development, and Policy Officer (Corporate Governance) left the room for the duration of the item. The Principal also left the room and took no part in discussions].

The Court was advised that the Committee had met that morning to consider an amendment to the relocation package approved by the Committee in August 2018 for the new Principal, Professor Andrew Atherton. Members noted that the amendments had been approved by the Committee at its meeting earlier in the day on 19 November 2018.

The Court decided: to endorse the revised Relocation agreement as approved by the Remuneration Committee.

25. **SFC OUTCOME AGREEMENT: SELF EVALUATION REPORT**

The Court received a copy of the University's Outcome Agreement Self-Evaluation Report 2017/18 which had been submitted to the Scottish Funding Council (SFC).

The Court decided: to note the report.

26. **NARRATIVE FOR THE SENATE**

The Court highlighted to the Senate its discussions relating to: the mapping of joint working with DUSA (Minute 16(2)); the League Table Annual Report (Minute 17) and links between the University Strategy and actions being taken to optimise performance; the decision to delegate authority to the University Secretary, Director of Business

Transformation, and Director of Finance to conclude discussions with TechnologyOne regarding the implementation of the OneUniversity solution (Minute 19); the report from

the Equally Safe Group (minute 20); the five key strategic priorities identified by the University Executive Group, and in particular the Court's expectations of the Senate in terms of the monitoring and reporting of progress in relation to the REF strategy (minute 22); and the Court's interest in discussions relating to the balance of Teaching & Scholarship and Teaching & Research contracts (Minute 22).

The Court decided: to highlight matters detailed above in the Court report to the Senate.

27. COURT RETREAT

The Court received a report which summarised feedback from members and provided a high-level overview of discussions and outputs from the Court Retreat. The report also proposed arrangements for the 2019 Retreat.

The Court decided: to note the report and approve the proposal that the 2019 Retreat be held on 5 and 6 September 2019 at the Carnoustie Golf Hotel.

28. REPORT FROM THE SENATUS ACADEMICUS ON 10 OCTOBER 2018

The Court received a report from the meeting of the Senatus Academicus on 10 October 2018 (**Appendix 11**) and members noted in particular that the Senate had highlighted the work of its main committees, their priorities for the year, and their role in strategic planning and enhancement of the core academic activities in the University. The Court also noted the Senate's discussions in relation to the Enhancement-Led Institutional Review, and in particular the importance and benefits of the review.

The Court decided:

- (i) to approve the recommendations concerning the conferment of the title of Professor Emeritus upon Lord Naren Patel;
- (ii) to note the approval, for its part, of the Senate for amendments to Statute 4 (The Rector), Ordinance 62 (Election of the Rector) and Regulations relating to the appointment of the Rector; and
- (iii) otherwise to note the report.

29. PROCUREMENT STRATEGY & ACTION PLAN

The Court considered the Procurement Strategy and Action Plan for 2017-2019, which members noted had been prepared in accordance with legislative requirements. Members noted that the Finance & Policy Committee had been consulted on the strategy, and that consideration would be given to ensuring consistency between the Procurement Strategy and the Procurement Policy approved by the Committee. Through discussion

members suggested that the Strategy be updated to include reference to the Modern Slavery and Human Trafficking Statement approved elsewhere on the agenda (see also

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item 24(3)). Members also noted that the University was not currently a living-wage accredited employer and that the document therefore did not need to make reference to ensuring that suppliers were also living-wage accredited, but that the University Executive Group (UEG) was to review the position on accreditation in the near future, and that the Procurement Strategy would be updated at that point if required.

The Court decided: to approve the Procurement Strategy and Action Plan subject to minor amendment as outlined above.

30. STAFF

(1) Professorial and Grade 10 Appointments

The Court noted the appointment of the following staff:

Professor Kim Dale	Professor of Developmental Molecular Biology	1 October 2018
Professor Jonathan Knappett	Professor in Civil Engineering	1 October 2018
Professor Isla Mackenzie	Professor of Cardiovascular Medicine	1 October 2018
Professor Alison McFadden	Professor of Mother and Infant Public Health	1 October 2018
Professor Miratul Muqit	Professor of Experimental Neurology	1 October 2018
Carol Prokopyszyn	Director of Finance	30 August 2018
Professor Calum Sutherland	Professor of Molecular and Cellular Diabetes	1 October 2018
Professor Mel Woods	Professor in Creative Intelligence	1 October 2018

The Court decided: to note the appointments.

(2) Grievances, Appeals and Hearings

The Court decided: there were no matters to report.

31. PROFESSOR SIR PETE DOWNES

The Chair of Court highlighted to the Court that the present meeting would be the last for the Principal, Professor Sir Pete Downes, before he retired at the end of the calendar year. The Chair praised the Principal's outstanding devotion to the University, both as the Principal and over his entire period of employment, which amounted to 29 years. In

particular the Chair drew members' attention to the Principal's dedication to the University's values, and the importance he placed on the role of the University within the

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local and regional communities. He also praised the Principal's honesty and transparency as a member of the Court, and he went on to highlight ways in which the Principal's leadership had contributed to Dundee's growth and achievements over the last 10 years and previously in his time leading the School of Life Sciences to its position as one of the foremost departments of its kind in the world. The Court joined the Chair in thanking the Principal for all that he had done for the University, and wished him well for the future. For his part, the Principal thanked the Court for their kind wishes. He told the Court of his pride to have been in a position to have contributed to the growth and development of the University, and the City, and highlighted his genuine affection for both. He also praised Court members, past and present, for the way in which the Court had itself developed over this period to see it at the forefront of governance.

Mr Ronald Bowie
Chair of Court
University of Dundee

APPENDIX 1

REGULATIONS FOR THE APPOINTMENT OF THE CHAIR OF COURT (Minute 16(5))

1. These regulations are made in terms of Statute 9 and Ordinance 65. They have been approved by the Court on the recommendation of the Governance & Nominations Committee. They will be reviewed in advance of each process of recruitment of a Chairperson of Court by the Governance & Nominations Committee, in the absence of the incumbent Chairperson of Court, and the Committee will make recommendations on any changes to the Court.
2. These regulations have been written in a way to amplify the provisions of Statute 9 and Ordinance 65 and provide the additional regulatory framework within which the appointment and election processes as well as related issues should be managed. These regulations, however, do not replace or supersede the Statutes or Ordinances of the University. These regulations, alongside Statute 9 and Ordinance 65, have been written in accordance with the Higher Education Governance (Scotland) Act 2016 ('HEG(S)A').
3. These regulations should be used as the basis for drafting communications to staff, students, applicants and candidates about the appointment of the Chairperson of Court.

Eligibility and Period of Office

4. Students or members of staff of the University are not eligible to be appointed as Chairperson. In addition, no former member of staff or student of the University is eligible to be appointed until at least four years have elapsed from the point at which they ceased to be a student or a member of staff at the University.
5. Those members of Court who are not members of staff or students are eligible to be appointed as Chairperson. Former members of Court are not eligible to be appointed until at least four years have elapsed from the point at which their membership of Court ended.
6. A person appointed as Chairperson according to these regulations will serve as Chairperson for a period of three years, following which they will be eligible for re-appointment for a second and final period of three years. The process for re-appointment is set out below.

Appointment Process (outline)

7. The appointment of a Chairperson of Court is carried out in two stages: i) application and interview and ii) election.
8. The application and interview stage is overseen by an appointing committee established by the Court. By the end of this stage, the appointing committee will have determined a list of candidates deemed to have met the relevant criteria for appointment to the role and who will stand as candidates in an election. The election stage is overseen by a returning officer who manages the election process; the winner of the election will be appointed as Chairperson.

Appointing Committee

9. Under Ordinance 65, the Court will establish an appointing committee, the membership of which will include at least one member of staff, one student and one graduate of the University. The committee must not include any member of Court who wishes to be considered for the role of Chairperson. Whilst the committee will normally comprise only members of the Court, the Court may appoint other members of the University or members from outside the University to the committee. In establishing the appointing committee, the Court will take into consideration its commitment to widening representation of currently underrepresented groups on University committees.

10. The appointing committee will be chaired by the Deputy Chairperson of Court, unless that person wishes to be considered for the role of Chairperson, in which case the Court will appoint another of its lay members as chair of the committee.
11. The responsibilities of the appointing committee are to:
 - a. Devise the relevant criteria for appointment to the role of Chairperson. These should include: the experience, skills and knowledge necessary or desirable to exercise the functions of Chairperson and command the trust of the Court, Senate and the wider University community along with the expectations around availability and time commitments to carry out the role;
 - b. Ensure the efficiency and fairness of the process;
 - c. Publish anonymised data of the protected characteristics of the applicants, the interviewees and the candidates in the election;
 - d. Advertise the vacancy widely, sufficient to attract applications from a broad range of people;
 - e. Interview those applicants who appear to meet the relevant criteria;
 - f. Declare whether those applicants who have been interviewed have satisfactorily demonstrated that they meet the criteria; and
 - g. Declare those candidates who may stand in an election.
12. To meet the requirements of HEG(S)A, any advert for the position of Chairperson must contain the following information:
 - The functions exercisable by the Chairperson;
 - A summary of the criteria for appointment;
 - Guidance on how further information and any application form can be obtained;
 - An outline of the process;
 - Clarification on the reimbursement of expenses to attend interview or open meetings;
 - An indication of the remuneration and expenses payable if appointed to the role;
 - A commitment to diversity and inclusion, reflecting the desire to attract individuals from underrepresented groups.
13. In discharging its responsibilities, the appointing committee established under Ordinance 65 may decide to engage the services of an external search agency.
14. If it chooses to do so, the appointing committee cannot delegate any of its responsibilities for reaching its own decision about whether individual candidates appear to meet the relevant criteria and must ensure that the external search agency is able to operate within clear parameters which must be set by the appointing committee. The role of an external search agency engaged in this way is to provide the appointing committee with information to enable it to better reach its own decision.
15. The appointing committee will determine the format for applications, including any accompanying documentation that applicants may be required to submit.
16. The appointing committee will consider the applications against the criteria for appointment, and will reach a decision on which of the applicants appear to meet those criteria. The appointing committee will then arrange to interview such applicants.
17. As part of the interview process, the applicants will also be invited to meet with the Principal and members of the senior management, with a group of academic and professional services staff, and with a group of students. The appointing committee will seek comments from each of these groups to inform its decision about which applicants have demonstrated that they meet the relevant criteria.
18. The appointing committee, following the interview process and the receipt of comments from those other groups meeting the applicants, will then reach a decision on which applicants have demonstrated that they meet the relevant criteria. The committee will provide a list of such applicants to the returning officer of the election, who will then make arrangements for an election to take place as set out below.
19. An election can, however, only take place when there is more than one candidate who meets the criteria. In the event that only one candidate is identified, or where one of the candidates subsequently withdraws to leave a single candidate, the recruitment process must be re-opened to identify other candidates. The remaining candidate will be entitled to stand for election without further interview.

Election rules

20. The University Secretary will be the returning officer. In the event of a vacancy in the position of University Secretary, the Court will appoint another senior officer of the University to act as returning officer. The returning officer may appoint deputies to assist them in carrying out the duties associated with the role, but the returning officer will be responsible for ensuring that the duties of the role are properly carried out.
21. The duties of the returning officer include:
- Managing the whole electoral process;
 - Ensuring the proper announcement of candidates and preparing the publication of election statements by candidates;
 - Providing an appropriate electronic voting platform;
 - Identifying an appropriate qualifying date for the determination of those eligible to vote in the election;
 - Ensuring the proper application of the election rules set out in these guidelines;
 - Ensuring the proper application of campaign rules set out in these guidelines;
 - Ensuring candidates are reimbursed for any expenses permitted under the campaign rules;
 - Reviewing election materials of candidates to ensure they meet the campaign rules;
 - Considering complaints raised in relation to the conduct of the campaign and the election itself and imposing sanctions as appropriate.
22. The election will take place by electronic voting.
23. The voting period for the election will take place on a date or dates to be agreed by the Court, preceded by a period of campaigning. The period from announcement of candidates to close of voting will take no longer than ten working days. In determining appropriate dates, the Court will have due regard to ensuring that a newly-elected Chairperson should have the opportunity to shadow an outgoing Chairperson ahead of the start of their term of office. An example of an appropriate timetable might be as follows:
- Day 1: Public Announcement of candidates and circulation of election statements to the electorate (see below);
 - Day 6: 'Open Meeting' events open to staff, students and Court members (see below)
 - Day 7: 9am – online voting opens
 - Day 10: 5pm – online voting closes; 5.30pm – results announced.
24. The electorate comprises:
- a. All students fully matriculated on the qualifying date, whether studying full-time or part-time and whether studying in Dundee or at distance, but to the exclusion of associate students;
 - b. All staff of the University employed on substantive contracts on the qualifying date, whether full-time or part-time and whether permanent or temporary but to the exclusion of associate and honorary members of staff;
 - c. All members of the University Court.
- All electors have a single vote, irrespective of whether they fall into more than one category.
25. The University currently uses election software provided under licence from Membership Solutions Ltd for its student and staff elections. The returning officer may choose to use this software or may choose to use a third party to carry out the election on the University's behalf. If the returning officer decides to use a third party, he or she must ensure that this complies with expectations under the General Data Protection Regulations (GDPR).
26. As part of the campaign, candidates will be entitled to the following:
- a. Attendance at an 'Open Meeting' before an audience of staff/Court members, at which candidates will be expected to address the audience and answer questions from the audience;
 - b. Attendance at an 'Open Meeting' before an audience of students, at which candidates will be expected to address the audience and answer questions from the audience.;
 - c. Distribution by the University of an election statement, including photograph of the candidate, of no more than 500 words by email to all electors. This statement will also be available for review by electors during the electronic voting process.
27. The distribution of any other campaign materials beyond that set out above, whether in electronic or hard-copy format, is not permitted.

28. In relation to the staff/Court and student 'Open Meetings' set out above: these events will take place in accordance with the timetable set out above and will be hosted by the returning officer (or by any deputy appointed by the returning officer). Every effort will be made to ensure the venue for the 'Open Meetings' is accessible. Expenses incurred by candidates in relation to attendance at such events will be covered by the University in line with the University's normal rules for the reimbursement of staff expenses. These rules will be made available to candidates.
29. In relation to the election statement set out above: this needs to be written in such a way as to be consistent with the responsibilities, skills, duties and limitations of the role of the Chairperson as set out in the role description.
30. Candidates will not have access to the electorate other than via i) the election statement distributed by the University on behalf of the candidates; and ii) the staff/Court and student 'Open Meetings' events. Candidates are not permitted access to the email addresses of electors. It follows, therefore, that current Court members or associate students or associate or honorary staff members who stand for election and who have dundee.ac.uk email addresses are not themselves permitted to use internal email channels for the purposes of canvassing the electorate.
31. Official endorsements of candidates by any organization, or by individuals representing or perceived to be representing, any organization are not permitted. Specifically, this includes endorsements by the University or by any of its constituent parts (whether Schools, Directorates or other units and centres); by any of the recognized campus unions or similar organizations; by the Students' Association; or by members of the Court.
32. The information contained on the online ballot relating to each candidate shall include first/given name (or name known by) and surname/family name only. A link will be provided so that electors can review the election statement of each candidate.
33. The results will be declared following the close of the voting period at a time determined by the returning officer and published to the electors and candidates. Candidates will be invited to attend the declaration. The returning officer should take appropriate steps to ensure that an observer representing each of the categories of electors is present at the declaration.
34. The candidate who achieves the most votes will be declared the winner. In the event of a tie between two or more candidates, the election will be decided by the drawing of names from a sealed bag.
35. Any complaint about the conduct of the election, any allegation of infringement of these rules or any allegation of misconduct by a candidate or one their agents or supporters should be brought as soon as possible to the attention of the returning officer, who will investigate the matter.
36. Having investigated the matter, the returning officer will determine whether the complaint or allegation should be upheld. If the complaint or allegation is upheld, the returning officer may impose an appropriate sanction on the offending party. The sanctions could include, but are not limited to, the instigation of disciplinary proceedings against students under Ordinance 40, the instigation of disciplinary proceedings against members of staff under the staff disciplinary procedure, or the removal of a candidate from the poll. The returning officer may also determine that the election should be suspended pending further investigation, abandoned or rescheduled.
37. In the event that an investigation leads to the removal of a candidate from the poll and this reduces the number of candidates to one, the election will proceed with a single candidate.
38. In the event that a candidate contests the results of the election, a case must be submitted within 10 working days of the declaration of the results. Where a case is submitted within the timeframe, the returning officer will arrange for an informal assessment of the case to determine whether there are grounds for an investigation. If as a result the returning officer determines that there are grounds, they will engage an independent solicitor or other professional person from outside the University to carry out a full investigation and report to the returning officer. On the basis of the report, the returning officer may decide to take no further action or may decide to declare the results of the election null and void and order a new election.

Arrangements during a vacancy caused by a delay in the electoral process

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39. Under normal election arrangements, an appointment to the role of Chairperson will be made such that the successful candidate can shadow the incumbent Chairperson prior to taking office. However, in the event that insufficient candidates are identified or candidates withdraw before the election leaving only a single candidate or in the event that the election is declared null and void and requires to be re-run, it is possible that the term of office of an incumbent may cease before a successor is appointed.
40. In these circumstances, the Deputy Chairperson will act as Chairperson until such time as a Chairperson is appointed. This will be the case even if an incumbent Chairperson remains a candidate, in which case the incumbent Chairperson will remain a member of Court until the result of a successful election is known.

Remuneration and expenses on appointment

41. On appointment, the Chairperson of Court will be entitled to a non-pensionable remuneration at a *per diem* rate equivalent to the Band 1 minimum for chairs set by the Scottish Government in its technical guide for the remuneration of chairs of NDPBs. For 2018-19 this equates to a daily gross rate of £321.¹
42. The Chairperson is entitled to the reimbursement of reasonable expenses incurred in carrying out the role in the same way as other members of the Court, and guidance on the reimbursement of expenses for Court members is contained within the Court Members' Handbook, which will be provided to the Chairperson on appointment.

Renewal of Appointment

43. A candidate elected under Ordinance 65 will be appointed as Chairperson for a period of three years. A Chairperson so appointed is eligible for re-appointment without further election for a second and final period of three years on the recommendation of the Governance & Nominations Committee.
44. When considering the re-appointment of the Chairperson, the Committee will be chaired by the Deputy Chairperson.
45. Any recommendation to re-appoint the Chairperson will be informed by the following considerations:
- The length of time the Chairperson has served on the Court in total, bearing in mind that a normal member of Court serves for a maximum of eight years (extendable by a maximum of a further two years to retain specific expertise), but that Statute 9 makes clear that a Chairperson begins a new period of office where they were a member of Court prior to appointment as Chairperson;
 - The extent to which the Chairperson continues to meet the criteria for appointment as Chairperson in force at the time of their first election;
 - The extent to which the Chairperson continues, on the whole, to command the trust and respect of the Court and Senate and the members of staff and students of the University; and
 - The willingness and capacity of the Chairperson to continue for a second term.
46. In the event that the Governance & Nominations Committee recommend that the Chairperson not be re-appointed and the Court, in the absence of the Chairperson, concurs with that recommendation, the Chairperson will have the right to seek a review of the decision. Such a review shall be conducted by a person not employed by the University, nor having been employed by the University within the previous four years, holding, or having held, judicial office or being an advocate or solicitor of at least ten years' standing. The decision of this person shall be final.
47. Upon expiry of a second period of office, the Chairperson is not eligible for re-appointment for a third term and is required to demit office.

¹ Public Sector Pay Policy for Senior Appointment 2018-19. Technical Guide for the remuneration of Chief Executives (of NDPBs, Public Corporations and other Scottish public bodies), NHS Executives, Chairs & Members February 2018.
<http://www.gov.scot/Topics/Government/public-sector-pay/senior-appointment-pay>

APPENDIX 2

**UNIVERSITY EXECUTIVE GROUP REPORT TO COURT
(Minute 22)**

Foreword from the Principal

1. This will be my last report to the Court before my retirement at the end of December 2018, and in that respect I would like to start by thanking members of the Court for their input, challenge and guidance over the last ten years. The relationship between the Court and the University Executive Group has been an important one, and the progress made at the Court Retreat in terms of working with the Court on matters such as the refinement of our strategic priorities for 2018/19 and the development of the estate was illustrative of how productive that relationship has been. I look forward to watching the University make further progress in developing the strategy over the coming years.
2. The following report from the UEG focusses on the strategic priorities identified by the UEG for 2018/19, and members will note that the 13 areas presented at the Court Retreat have been refined into 5 actions following input given by the Court. It is our intention to report to the Court on a regular basis regarding progress in each of these.
3. I would also like to highlight to members the three Strategy Update Sessions for staff that were scheduled through October and November – these sessions focused on progress in relation to our Strategy, but were also a valuable opportunity to hear directly from staff on developments in their areas which were inspired by the strategic objectives and plans within the University Strategy. As a result of the consultative way in which the strategy was developed, staff have engaged with and taken ownership of the strategy from the beginning, but it has nevertheless been valuable for us to take the opportunity to recognize the efforts which have been made to date toward realizing its goals.
4. Elsewhere on the agenda is the annual report on league table performance, which the Director of Strategic Planning will present to the Court. I don't intend to go into great detail here and repeat what is said in that paper, however I would like to highlight the progress made in national and international league tables over the last ten years, while also recognizing that it is disappointing that the University has dropped out of the World Top 200. It remains our aim to be sufficiently within the top 200 that year on year fluctuations do not threaten that status, and I am confident that the UEG, under the guidance of Professor Andrew Atherton as the new Principal, will prioritise actions to seek to address this.
5. Since the last meeting, members will have also noted the news that our Vice-Principal for Learning & Teaching, Professor Karl Leydecker, will leave the University at the end of February next year to become Senior Vice-Principal at the University of Aberdeen. Karl has one further meeting of the Court to attend, but I would like to draw to members' attention the progress that the University has made in the area of learning, teaching and the student experience under his guidance. The role is an appointment of the Court, and we recently sought Court's agreement (by email) to begin the process to appoint a successor. In the meantime, it is likely that an interim appointment will be sought to ensure continuity and effective leadership of the learning and teaching community during the interregnum, and we will keep the Court apprised of developments.
6. I would also like to highlight a successful development dinner hosted by the University in the House of Lords on 1st November, which was supported by Lord George Robertson, other leading Dundee alumni in Parliament and alumni and guests who had flown in from US and the Middle East. This was the inaugural event for The 1967 Club which was conceived at the dinner at University House during the 50th anniversary celebrations when David Briggs, Lord Lte. of Cheshire asked his fellow alumni to come together to support access to a Dundee education for students who face financial challenges. The event was organised by the Development and Alumni Relations team (DARO), with contributions from myself, Wendy Alexander (Vice-Principal (International)), the Head of Development & Alumni Relations, and Lord Robertson, and was attended by the Chair of Court. The 1967 Club is intended to become a group of senior supporters coming together to support the University across a range of activities and additionally acting as advocates and ambassadors for the university through their networks.
7. Finally, the Court will be interested in the arrangements being made for Professor Andrew Atherton to join the University as Principal from 1 January 2019. I have been in regular contact with Andrew since his appointment,

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and he has visited the University a number of times over the last semester to meet with the University Executive Group (UEG), University Management Group (UMG), and a range of other individuals and stakeholders. Andrew has already made clear his desire for effective and open communication with the University Community, and I wish him and the University well during the transition period.

8. I look forward to taking questions from members on the following report from the UEG, and wish the Court and members well for the future.

Professor Sir Pete Downes
Principal, University of Dundee.

Report from the University Executive Group

UEG Objectives

1. At the Court Retreat, the University Executive Group (UEG) presented 13 areas which it had identified as key strategic priorities for the University for 2018/19, and which had been arrived at following extensive consideration of the action plans and baskets of measures of the University Strategy to 2022. Following feedback at the Court Retreat, these were further reviewed and refined, with the result being the 5 key priorities for 2018/19 set out below. The process has been an important step in terms of ensuring we have the right balance of focus on business-as-usual and strategic priorities to enable us to drive the development agenda for the University, and future reports to the Court will reflect progress against these priorities as well as links to the segments of the Strategy to 2022 wheel.
 - Develop a clear REF strategy for each School, and the University as a whole, aiming to maximise reputational and financial benefits. (*Strategy area: Enhance University Reputation and Performance*).
 - Develop comprehensive people strategies for schools which define the projected future staffing establishments for each in relation to absolute numbers, balance of contract types and grade profiles. (*Strategy area: Enable our people to flourish*).
 - Grow both income and the net financial contribution from unregulated teaching sources. (*Strategy area: Grow and diversify our student community*).
 - Develop and implement new Estates and Infrastructure strategies, with an associated future funding strategy to ensure the University can meet its ambitions. (*Strategy area: Deliver sustainable ambition*).
 - Deliver the income growth, cost savings and productivity benefits associated with the delivery of business transformation and in that context develop a plan or plans for new operating model(s) for Professional Services that better integrate activities across directorates. (*Strategy area: Embrace One Dundee Approach*).

Research Excellence Framework Preparation

2. The first two strategic priorities identified are particularly relevant to our preparations for the Research Excellence Framework (REF) 2020. As a Group we have discussed the vital importance of recognising the distinctive qualities and strengths of our academic communities to enable us to continue to pursue an innovative approach to excellence and to deliver our integrated strategy, while also maintaining an appropriate balance between Teaching & Scholarship (T&S) and Teaching & Research (T&R) in the context of our position as a research-intensive institution. With this in mind, and noting the impact of recent changes to this ratio, we have placed a moratorium on T&S recruitment and appointments for the present, with Nic Beech reviewing and identifying exceptions where T&S appointments are necessary.
3. In terms of identifiable progress, members may be interested to note the completion of Annual Review of Research for the calendar year 2017, and the discussion by the UEG of associated performance management implications. There has also been substantial progress made by John Rowan and his team with regard to preparations for the REF, including for example the capture of publication performance in the University's Discovery (Pure) Research repository, and we expect to report more fully on the REF Strategy at the next meeting of the Court in February 2019. John has also been active in developing connections with Universities Scotland and UKRI.
4. The University has continued to pursue visits by major research funding councils such as the MRC, AHRC and BBSRC, while elsewhere, the Doctoral Academy Working Group (DAWG) has continued to make progress in developing plans for growth in research student numbers and an enhanced research student experience for consideration by the UEG in the near future, and the Public Engagement Forum (PEF) is actively seeking to achieve institutional Gold Watermark from the NCCPE.

Net Income Generation

5. Progress in relation to the third priority area is perhaps best illustrated by an update on our student recruitment outcomes for entry in 2018/19. We are pleased to report that there has been strong growth in overseas undergraduate and taught postgraduate intakes this September, and that we have exceeded our targets for

overseas student recruitment. Our RUK performance has, however, been flat and is under budget – reflecting the highly competitive UK market-place. Similarly, our Home/EU Taught Postgraduate intake is in line with the previous year, but below budget expectations. With regard to RUK recruitment, it has been interesting to note the strong and visible correlation between top 10 rankings at the subject level in the UK league tables and the performance of our Schools in clearing for RUK students.

6. Our final position relative to budget will not be known until the matriculations for the intakes later in the year are complete, and we must also be mindful that Research Postgraduate recruitment takes place throughout the year. However, data available so far indicates £7m of new income this September (representing a growth of 16% on the previous year), meaning that we will be close to the parameters of the 2018/19 budget approved by the Court in June 2018. We have also had 27% and 30% forecast tuition fee growth for Overseas UG and TPG respectively. A detailed paper is due to be prepared for the meeting of the Finance & Policy Committee on 11 December 2018.
7. Members will recall presentations from our Vice-Principal (International) regarding opportunities for income growth relating to China. The University's high-level mission to China in October was positive, with successful discussions with Wuhan around our Joint Educational Programme in Architecture and meetings with China University of Petroleum in Beijing (CUPB) regarding their relationship with the School of Social Sciences and CEPMLP. With regard to the proposed Joint Educational Programme with Northeastern University (for a 3+1 programme in Biomedical Engineering), we are pleased to report that this has been reviewed favorably at Provincial level and will now be advanced by NEU for review and decision by the Ministry of Education.
8. We also had discussions with Central South University in relation to the proposed Joint Educational Institute. There are a number of challenges around programme quotas and mix, local demand and fees which has implications for the business model. The conditions relating to the proposed business model and fEC set by the Court have not been met. We will therefore not be taking forward a formal application for a Joint Institute in March 2019, but have instead invited the CSU leadership to visit Dundee early in 2019 to meet with our new Principal and share their evolving vision for our collaboration.
9. Members will continue to note the ongoing Brexit negotiations, and this is something that we continue to monitor as a Group. Of particular interest to us are discussions at Scottish Government and Funding Council level in relation to the future funding of EU students, which pose a potential financial threat to the sector. Principals, through Universities Scotland, continues to make representations to the Scottish Government regarding the future allocation of this funding, which currently amounts to approximately £95m per annum.

Infrastructure Strategy

10. The fourth priority focusses on the development and implementation of new Estates and Infrastructure strategies, which will be linked to the associated future funding strategy to ensure the University can meet its ambitions. This was a significant feature of discussions at the Court Retreat, and the Finance & Policy Committee has been updated on the substantial progress being made in this respect by its Estates Sub-Group whose first phase of work is now approaching completion.

Business Transformation

11. The final priority focusses on the delivery of the income growth, cost savings and productivity benefits associated with the delivery of business transformation, and the development of associated operating model(s) for Professional Services that better integrate activities across directorates. There is a full update on Business Transformation elsewhere on the Court agenda, and members should be assured that the UEG has placed a high priority on setting the right tone for the continuing relationship with TechnologyOne. We also wish to draw attention to the huge amount of work which has been put in by the University's Business Transformation Team, including development, implementation, and scenario planning.

Other Areas for Noting

Tay Cities Deal

12. The Principal will provide an update at the meeting of Court with regard to the Tay Cities Deal following the postponement of the announcement of Heads of Terms on 6 November 2018.

Pensions

13. At the time of writing the University has submitted its response to the consultation by UUK with USS's participating employers on the Joint Expert Panel recommendations. This response was approved by the Court's Pension Sub-Group prior to its submission, and we believe is in line with the response from the sector in supporting the recommendations subject to caveats that seek meaningful and early engagement by UCU and UUK in discussions to ensure the longer-term stability and sustainability of the scheme and its structure, governance, funding and benefits.

ELIR

14. At the time of the meeting, the University will be in the middle of the Quality Assurance Agency (QAA) Scotland Enhancement Led Institutional Review (ELIR) visit. For those unfamiliar with ELIR, it is an evidence-based method of peer review, involving a review team which includes staff and a student from other institutions to assess how effectively each HEI manages quality assurance. It will result in a judgement, commendations and recommendations relating to the way in which the University secures its academic standards, and opportunities to improve the student experience. Karl will be able to provide a brief update at the meeting, and otherwise the Court will be advised of the outcomes in due course.

2018-19 National Pay Negotiations

15. The outcomes of the ballots for industrial action by the national and campus unions in relation to the 2018-19 National Pay Negotiations are reported elsewhere in the minutes of the People & Organisational Development Committee, but we are pleased to note here that there will be no industrial action in Dundee as a result of these negotiations and our implementation of the 2% pay rise recommended by UCEA.

SFC Outcome Agreement

16. Members may be interested to note that the process for the development of the 2019/20 Outcome Agreement with the Scottish Funding Council has begun, with meetings taking place between the University and the SFC Outcome Agreement team. The Self-Evaluation for the Outcome Agreement for 2017/18 has been included on the agenda for information.

UEG Appointments

17. We would also like to bring to members' attention the following appointments for members of the UEG:

Wendy Alexander	-	Appointed as Co-Chair of Universities UK network of Pro-Vice-Chancellors International.
Professor John Rowan	-	panel member for UKRI Future Leaders Fellowship Scheme

University Executive Group Meetings

Since the last University Executive Group report to Court, the Group has met formally on 12 September, 26 September, 10 October, 15 October and 24 October, and held their away day on 14 September. The following matters were considered:

Corporate Issues

- Business Transformation Updates
- Cyber Essentials
- Estates & Campus Services: Capital Authorisation
- Procurement Policy
- Ranking data and HESA data futures
- UEG Priority Actions
- Institutional Risk Register and Risk Management Oversight Group Report

Financial Issues

- A review of the Financial year
- Budget setting principles
- Development and Alumni Fundraising Annual Report for F&PC
- University Strategic Innovation Fund bids
- Scottish Funding Council Capital Funding proposals
- Tay Cities Deal

Academic Management Issues

- Graduate Outcomes
- Workload Model
- UK-wide quality developments and their impact on the Scottish sector
- Mandatory Development in Teaching for Probationers

Human Resources Issues

- Compulsory Training for Staff and Associated Completion Targets
- UCU and Unison Ballot for industrial action regarding pay
- USS Joint Expert Panel Report
- IP revenue handling for Drug Discovery Unit
- Organisational change proposals

Grants and Awards

The following represents a selection of the grants and awards that have been given by funders in open competition since my last report. The awards highlighted demonstrate the diversity of research that takes place across the university and the variety of different sources that fund our research. *Any joint awards with other institutions state the University of Dundee value only. Where an award is overhead bearing the level of overhead is indicated.

Dr D Bulgarelli (Division of Plant Sciences, School of Life Sciences)

Unravelling the Barley Genetic Control of the Rhizosphere Microbiota

£623,377 (including £318,101 overhead) from the Biotechnology and Biological Sciences Research Council

This project aims to resolve the genetic relationships between plants and the microbial communities thriving at the root-soil interface, collectively referred to as the rhizosphere microbiota. The rhizosphere microbiota can promote the growth, development and health of their host plants. Therefore, the awarded grant has the potential to positively impact on global food security – the knowledge generated may allow for the development of crops which are less dependent on chemical inputs and more resilient to climatic changes. The grant will capitalise on the expertise of Dr Bulgarelli (microbiota), Professor Waugh (plant genetics) and Professor Barton (computational biology) from the School of Life Sciences.

Dr F Campbell (School of Education and Social Work)

Making "Masculine" Pettah (Sri Lanka) More Inclusive: Familiarisation of Spaces by Women and Gender-nonconforming Persons to Reduce Inequalities and Promote Good Health and Wellbeing

£105,243 from the Scottish Funding Council

This study will discuss the gendering of Pettah, the busiest commercial area in Colombo, and will explore how women and gender non-conforming people familiarise these spaces. Disadvantaged groups (women, LGBTI, disabled, sex workers) also contribute to urban development by supplementing more inclusive spaces to the urban fabric. This study will research 'alternative space' production and the processes of developing them. Knowledge on how marginalised people produce urban spaces will bring a more inclusive perspective to the urban planning in developing sustainable cities. The studentship has been awarded to Ms Kaushalya Herath.

Dr S Cunningham (School of Medicine)

Advancing Care Coordination and Telehealth deployment at Scale (ACT-at-Scale) (Joint with 13 other partners, Philips Healthcare, Boblingen, as the lead)

£173,469 (including £42,788.00 overhead) from European Commission

Advancing Care Coordination and Telehealth deployment at Scale aims to "identify, transfer and scale up existing and operational Care Coordination and Telehealth good practices across regions and programmes in multiple European countries." Specifically, the University of Dundee operates the My Diabetes My Way (www.mydiabetesmyway.scot.nhs.uk) service for NHS Scotland, providing self-management support and online records access for people with diabetes. This project aims to implement strategic approaches to further increase registration and active use of the service and to support a novel method of standardised diabetes foot screening for private podiatrists.

Dr Mark Cutler (School of Social Sciences)

Displaced Communities, Environmental Degradation & Sustainable Livelihoods in East Africa

£199,322 from the Scottish Funding Council

The displacement of people as a result of conflict and climate change places a huge strain on not only the aid response but on natural ecosystems. Funded as part of the SFC contribution to the Global Challenges Research Fund, this research brings together social and natural scientists to explore the impacts of population displacement on environmental degradation and the subsequent development of sustainable livelihoods in settlements in Uganda, using innovative remote sensing technology and qualitative methods to understand drivers of change and how best to mitigate degradation.

Professor J Dillon (School of Medicine)

Evaluating Population Impact of HCV DAA Treatment as Prevention to People Who Inject Drugs (EPI-TaP) (joint with University of Bristol)

£716,079 (including £48,788 overhead) from NHS National Institute for Health Research.

There are about 200,000 people in the UK with Hepatitis C Virus (HCV), the majority (75%) of which develop chronic disease which can progress to liver failure, cancer and early death. Mathematical models suggest that for each HCV-infected person who injects drugs and is cured, at least 2 new HCV infections are avoided in the future.

This suggests we should give treatment to people with mild disease who inject drugs, but there is no real-world

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evidence yet for such a policy. This study will treat over 500 people who inject drugs in Dundee and NHS Tayside which represents a large rapid increase in HCV treatment across multiple services. This should reduce the percentage of people who inject drugs with chronic HCV from 29% to 10% (a 65% reduction) and reduce the number of people who get new HCV infections.

Dr G Findlay (School of Life Sciences)

Functions and Applications of a Novel Pluripotency Signalling Pathway
£1,039,126 (including £55,000) from the Wellcome Trust

Dr Findlay has been awarded a prestigious Sir Henry Dale fellowship for a five-year research project into a newly discovered control mechanism for Embryonic Stem Cell (ESC) development that could help in the treatment of heart disease in the future. A major challenge is to understand how stem cells become a specialised cell such as a heart cell, and how instructions are sent and controlled for this happen. The award will support studies into a molecular signal which instructs ESCs to remain pluripotent, meaning that they can form all cell types, tissues and organs in the adult body rather than becoming specialised cell types such as heart tissue, and to use this knowledge to improve laboratory-based approaches to develop heart tissue from ESCs for cell replacement therapy and further research.

Professor Ruth Freeman (School of Dentistry)

Homeless and oral health: the Smile4life programme
£44,000 from the Scottish Government.

This multi-agency programme is for people experiencing homelessness and working in the homelessness sector. Its aims to promote social inclusion by addressing fundamental causes of inequality and construct interventions to advance social capital and community capacity building through oral health. This phase of the research is to co-design interventions with people experiencing multiple exclusion homelessness, to enable them to become peer researchers and peer oral health mentors and to provide inclusion oral health care for whatever stage people are at in their homelessness journey.

Professor A Gartner (School of Life Sciences)

Processing of Branched DNA Molecules During Cytokinesis, Uncovering New Mechanisms of Genome Maintenance
£750,607 (including £349,064 overhead) from the Biotechnology and Biological Sciences Research Council
Professor Anton Gartner's lab recently discovered a new mechanism used by cells to protect chromosome integrity. This mechanism allows cells to resolve DNA linkages between separating chromosomes just before cells divide. Failure in these mechanisms promote cancer development and the team now wants to understand this newly discovered process in greater detail; using the C. elegans model system Professor Gartner has worked with over the past 20 years and also human cells.

Professor J Rogers (DJCAD)

India, the internet and things (exploring decentralised digital futures with rural communities in India)
£161,992 from the Scottish Funding Council.

Decentralising India's Digital Futures will explore how to harness powerful developments in emerging technologies such as the Internet of Things, the voice enabled Internet, machine learning and artificial intelligence to support disempowered rural communities in India. Researchers from the University of Dundee will partner with India's foremost Art & Design institution, the National Institute of Design and Quicksand, one of India's leading design research organisations. Using design thinking and design-led research the partnership will work with some of the poorest people in India to build capacity around the co-creation and delivery of innovative, meaningful and desired new technologies, creating new narratives and communicating these through engaging case studies.

Professor E Trucco (School of Science and Engineering)

Automatic Measurement and assisted diagnosis for gonioscopy
£97,815 (including £26,724 overhead) from Nidek Technologies
NIDEK Technologies (Padova, Italy; controlled by NIDEK Japan) will be fully supporting a 3-year VAMPIRE (Vessel Assessment and Measurement Platform for images of the Retina) PhD studentship. Forming part of the VAMPIRE strategy development plan, the research will develop novel AI and medical image processing solutions for better glaucoma diagnosis using images from a recently launched NIDEK instrument.

Other notable grants for research have been awarded to:

Professor PRJ Birch (School of Life Sciences)

The Roles of Extracellular Vesicle Transport in Late Blight Disease Development (Industrial Partnership Award (IPA) with Syngenta) £667,497 (including £309,789 overhead) from Biotechnology and Biological Sciences Research Council

Professor H Hundal (School of Life Sciences)

Delineating the Roles of GPR55 in Cellular Metabolism and Energy Homeostasis (Joint with Robert Gordon University)
£411,233.00 (including £200,064.11 overhead) from Biotechnology and Biological Sciences Research Council

Professor JR Swedlow (School of Life Sciences)

The Image Data Resource: Making Biological Imaging Data FAIR (Joint with EMBL-EBI) (Biomedical Resources Grant)
£1,037,269.00 from the Wellcome Trust.

People and Prizes

The following represents a selection of the prizes and accolades that have been awarded to our staff and students since my last report to Court, and showcase the array of high-quality activity and initiatives that occur across the university:

Dundee University Students' Association (DUSA) has been named one of the top students' unions in the UK, according to the Student Crowd's Top 20 UK Student Union Awards 2018 list released today. The list, which is compiled by inviting nearly 8,000 current students and graduates to rate their own student unions, placed DUSA top in Scotland and third in the UK.

Professor Niamh Nic Daeid, Director of the Leverhulme Research Centre for Forensic Science (LRCFS) at the University of Dundee, has been named the recipient of the European Network of Forensic Science Institutes (ENFSI) Distinguished Forensic Scientist Award. Professor NicDaeid is both the first woman and also the first person from a UK academic institution to be presented with the honour. The award is highly prestigious and is only given once every three years to 'honour an individual who has performed outstanding scientific work in forensic science'.

Professor Angus Lamond and Atanas Chillingirov, both representing the University of Dundee, were shortlisted for the 2018 Converge Challenge, Scotland's premier company creation programme. Professor Lamond founded a Data Management spinout company Paltinum Informatics which looks to maximise efficiency and productivity in the modern workplace by enabling access to Big Data Technology. Immernova, Atanas Chillingirov's innovative business idea, focuses on converting 2D Medical MRI scans to 3D.

Dr Susan Wyllie and her team based in the Wellcome Centre for Anti-Infectives Research at the University's School of Life Sciences, have been awarded the GlaxoSmithKline Scientific Termination of Projects (STOP) Award for their work in understanding how a compound series aimed at treating visceral leishmaniasis and Chagas' diseases kill parasites that cause these diseases.

Fourteen graduates from the University were chosen to exhibit at the 10th annual New Contemporaries exhibition, which takes place at the Royal Scottish Academy Galleries in February. The artists who studied at the University's Duncan of Jordanstone College of Art & Design are Nicole Cumming, Elizabeth Day, Michael Doherty, Melina Doumy, Megan Goldie, Rachel McCreadie, Zen O'Connor, Catie O'Hara, Lara Orman, Senyn, Nina Stanger, Jamie Steedman, and Daniel Twist. Exhibiting architect Louisa Schmolke is a graduate of the University's School of Social Sciences.

APPENDIX 3

**ANNUAL REPORT FROM THE AUDIT COMMITTEE
(Minute 23(1))**

Membership and Meetings

1. The Committee meets four times per annum and the meetings for the year 2017/18 took place on 19 September 2017, 27 November 2017, 6 March 2018 and 22 May 2018.

Attendance by members was as follows:

		Sept.	Nov.	March	May
Jo Elliot (Convener)	Court member	Y	Y	Y	Y
Dr William Boyd	Court member	Y	Y	Y	Y
Karen Reid	Court member	N	N	Y	Y
Neil Menzies	Co-opted	Y	Y	Y	Y
Karen Bassett	Co-opted	Y	Y	Y	Y

2. Additionally, the Convener of the Finance & Policy Committee, Andrew Richmond, the Internal Auditors (Scott-Moncrieff) and External Auditors (Ernst & Young), University Secretary and Directors of Academic & Corporate Governance and Finance* attended all meetings of the Audit Committee in 2017/18.

*The Interim Director of Finance attended the May meeting.

Financial Statements***Year ended 31 July 2018***

3. The Committee received draft financial statements for the University for the year ended 31 July 2018 at its meeting on 29 October 2018, following their consideration by the Finance & Policy Committee at its meeting on 22 October 2018.
4. The Committee also received a report from the external auditors, Ernst & Young, who anticipated issuing unqualified audit opinions in respect of the University's financial statements and those of its subsidiary entities. The external auditors confirmed they had obtained appropriate and sufficient evidence to enable them to conclude satisfactorily on each of the significant accounting and audit matters identified.
5. The external auditors had no unadjusted audit differences to report, however, there had been a significant number of adjustments during the audit process in respect of impairment charges of £4.2 million and the release of a provision of £1.3 million in respect of possible repayment of grants from non-commercial research funders.
6. In relation to the corporate governance statement the external auditors concluded that in all material respects the University had met the requirements placed upon it.
7. The external auditors did not identify any significant or material circumstances of non-compliance and, based on the work undertaken, did not identify any significant deficiencies in the design or operation of an internal control that might result in a material misstatement in the financial statements.
8. Having carefully considered the report of the external auditors, the Audit Committee resolved to recommend to Court that the financial statements should be approved.

Terms of Reference and Procedures

9. The Committee undertook its annual review of its remit and terms of reference at its meeting on 19 September 2017.

10. When considering internal audit reports the Committee primarily focuses on critical or high risk recommendations where a control weakness that is fundamental to the area under review has been identified and where the University should take immediate or prompt action. When critical level recommendations are made, the internal auditors inform the Convener of the Audit Committee at the earliest possible time. For all internal audit reports, the audit sponsor or relevant Director is invited to attend the meeting of the Committee to provide appropriate contextual information to the Committee and to allow joint exploration of any issues reported.
11. A formal process of following-up and reporting on outstanding recommendations is in place. The Committee is presented with a report outlining the status of outstanding recommendations twice a year; once from the internal auditors and also from management. In 2017, an additional report was provided by the Assistant Policy Officer (Risk & Audit) to clarify the status of recommendations outlined in the report by the internal auditors, Scott-Moncrieff. In the event that there is evidence of repeated non-implementation of recommendations, the individual responsible may be asked to attend a meeting of Audit Committee for further discussion.
12. While recognising the essential role of internal audit in providing a framework and formal procedures for risk management, internal control and governance, the Committee maintains an independent interest in particular areas, assisted by discussions at Committee meetings with members of the University's senior management.

Internal Audit

13. Internal audit work for the year was provided by Scott-Moncrieff. Their appointment runs up to 31 July 2020. During 2017/18 the Committee received reports on the internal audit assignments with recommendations graded as shown in the table below:

	Red	Amber	Yellow	Green
Schools	-	1	3	1
Internal & External Communications	-	-	4	2
Student Experience	-	1	2	1
VAT & Corporation Tax*	-	-	-	-
TRAC	-	-	4	-
Research	-	-	-	1
Business Continuity	-	4	2	-
Total	0	6	15	5

*This review was in a different format to standard reports and did not comprise any 'formal' recommendations.

Schools

14. The review investigated the planning, governance and decision-making arrangements within Schools, in order to assess whether these arrangements were being applied consistently and were coordinated. The review included the Schools of Humanities, Nursing & Health Sciences and Science & Engineering.
15. The review found good practice in the involvement of the Strategic Planning team in the planning process, noting that budgeting and planning templates were provided to Schools and that the planning process was supported by Professional Services ensuring that School planning was in line with other planning activities across the institution. The audit also found that governance structures were consistent, and that School Executive Group remits were clearly documented. The auditors suggested that SMART action plans and a review of the Workload Allocation Model (to ensure that it was being used appropriately across all Schools) would be beneficial. The auditors also found that risk management processes could be further embedded, to ensure that School risk registers were regularly reviewed.

Internal & External Communications

16. The review of external & internal communications focused on the arrangements for communication with external stakeholders (such as governments, funding councils and funders, prospective students and parents/teachers) and internal stakeholders (such as staff and students).
17. The auditors found good practice in that the External Relations team had robust review and approval processes in place across all corporate communications and that the team developed bespoke communications for specific events, such as the release of the University Strategy to 2022. To further enhance processes, the auditors recommended that a Communication Strategy be developed, social media training be made available, and a Customer Relationship Management (CRM) system be implemented to record and monitor communications with all key stakeholders. The auditors also noted that whilst the Corporate Communications team had visited all Schools in order to ascertain the level of support required at a School level, this should become a regular exercise.

Student Experience

18. The 2018 review of Student Experience focused on student satisfaction and the academic support provided by Academic Advisors in Schools. The review considered information received from the Schools of Art & Design, Humanities, Life Sciences, Nursing & Health Sciences, Science & Engineering and Social Sciences. Good practice was identified in the School of Life Sciences, where students met their Advisors in small groups twice per semester to reflect on their progression, development and engagement with the curriculum. Good practice was also identified in the School of Science & Engineering, where Advisors met at a quarterly Advisors of Study Forum to share practice and solve problems.
19. The review found that revisions to the system for referring students to meet with their Academic Advisors should be made to ensure that students felt encouraged to attend these meetings. The auditors suggested using additional indicators to attendance such as non-completion of assignments, poor grades and lack of engagement with on-Campus facilities (such as the Library & Learning Centre).

VAT & Corporation Tax

20. This review was carried out at the request of the Director of Finance, in order to assess the potential liability for VAT and Corporation Tax in the School of Life Sciences. The auditors assessed activities taking place in the School and made a range of best practice recommendations.

TRAC

21. The review looked into how the University ensured it complied with TRAC guidance and principles consistently across the University. The review found several areas of good practice, including the use of the updated HEFCE TRAC Guidance to complete TRAC returns, reducing the risk of internal policy not being in line with current guidance, and the review process for all TRAC returns to reduce the risk of errors or omissions. The review was in accordance with the areas for improvement identified in the University's self-assessment document.

Research

22. The review on research investigated how the University planned, co-ordinated and maintained oversight of its research activity in order to achieve its strategic objectives. The review found many areas of good practice, including: the University's strategic approach to research being embedded in the University Strategy to 2022; a SMART action plan and associated KPIs in place; good governance through the Research & Knowledge Exchange Committee; the implementation of the University Partnership Model; and the Annual Review of Research. The auditors noted that the Research & Knowledge Exchange Committee could be more effective if the reports the Committee reviewed were revised to better identify key areas for attention and accompanying actions.

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Business Continuity

23. The review assessed the University's business continuity planning processes, considering whether the University had an adequate Business Continuity Management framework. Recognising that the University was in the process of revising such processes, the review provided the institution with advice on how to enhance business impact analyses and how to progress the planning process. The review recommended

consistent governance arrangements through the Risk Management Oversight Group to ensure that all Schools and Directorates engaged with this issue appropriately.

Business Transformation

24. Due to a delay in the implementation of the Finance Module of the new OneUniversity solution, the 2017/18 review of the implementation of the Business Transformation Programme will take place in the 2018/19 academic year.

Overall

25. Each report included management responses and was considered in detail with the auditors and officers addressing comments and questions from Committee members. The Committee was satisfied with the management responses to the issues raised and with the proposed timescales for the implementation of recommendations. The progress on this is routinely monitored through follow-up reports from the auditors and by University officers, as outlined above.

Internal Audit Opinion

26. The internal auditors provided the Committee with their overall assessment of the University's internal control systems. Based on the areas they examined in 2017-18 the auditors were of the opinion that the 'University of Dundee has a framework of internal controls in place that provides reasonable assurance regarding the organisation's governance, risk management, achievement of objectives and value for money'.

Risk Management

27. The Committee approved a new Risk Appetite Statement and the resulting new format of the institutional risk register which assessed the tolerance of each risk in relation to risk appetite. The Committee received regular updates on risk management processes in the format of the minutes from the Risk Management Oversight Group meetings and updates from the Assistant Policy Officer (Risk & Audit).
28. The Committee also received regular reports from the Director of Legal highlighting key legal risks and quantifying the potential costs arising from any anticipated litigation.

Business Continuity

29. The Committee approved a new Business Continuity policy and received regular updates on progress in business continuity planning in the format of the business continuity forward plan.

Other Activities

30. In November 2017 the Committee approved the reappointment of the internal and external auditors. The contract with the internal auditors, Scott-Moncrieff, is due to end on 31 July 2020. The external auditors, Ernst & Young, are contracted to provide audit services for the financial years 2018/19 and 2019/20.
31. In May 2018 the Audit Committee considered a draft internal audit plan for 2018/19. Reviews were scheduled in the following areas: general ledger, procurement & tendering, implementation of the University Strategy, readiness review of Higher Education Governance (Scotland) Act, business planning of curricula, equality & diversity, project & programme management, DUSA and Estates asset management.

32. The Committee maintains an interest in the planning and implementation of the Business Transformation Programme and in this respect receives copies of updates submitted to the Finance & Policy Committee, including minutes from the Business Transformation Steering Committee.
33. The Convener continued his practice of meeting both the internal and external auditors separately before each meeting of the Committee, and ensuring that the issues raised in these private meetings were communicated to University senior management and the Committee as appropriate.

Communication to the Court

34. Minutes of the meetings of the University Court are available from:
<http://www.dundee.ac.uk/governance/governance/court/court-agendas-minutes/>
35. Key matters communicated to the Court by the Audit Committee related to:
 - Summaries of Internal Audit reports;
 - The three-year internal audit plan;
 - Annual Financial Statements;
 - Risk Management matters including the risk appetite statement;
 - Business continuity planning, including the new Business Continuity Policy;
 - GDPR compliance.

Opinion

Auditors

36. The Committee is satisfied with the performance and diligence of the internal and external auditors.

Effectiveness of Internal Controls

37. On the basis of the internal audit work undertaken during the course of the year, comments from the external auditors on the University's financial statements and statements from management, the Audit Committee believes that the University has an adequate framework of risk management control and governance arrangements, and adequate arrangements for promoting efficiency and effectiveness (VfM). The Committee will continue to monitor the progress of the University on the implementation of the recommendations contained in the report from the external auditors and from the various reports by the internal auditors.

Karen Reid
October 2018

APPENDIX 4

AUDIT COMMITTEE (Minute 24(1)(i))

A meeting of the Committee was held on 29 October 2018.

Present: Karen Reid (Convener);
Karen Bassett;
Dr William Boyd;
Neil Menzies;
Keith Winter.

<u>In Attendance:</u>	Wendy Alexander	Vice-Principal (International);
	Dr Neale Laker	Director of Academic & Corporate Governance;
	Ian Leith	Director of Business Transformation (items 8-10);
	Dr Jim McGeorge	University Secretary;
	Carol Prokopyszyn	Director of Finance;
	Professor John Rowan	Vice-Principal (Research, Knowledge Exchange & Wider Impact) (item 7(2));
	Dr Liz Rogers	(Assistant Policy Officer (Risk & Audit);
	Umrar Sarwar	Director of Legal (items 8-10).
	Ken Baldwin	(Ernst & Young);
	Stephen Reid	(Ernst & Young);
	Chris Brown	(Scott-Moncrieff);
	Matthew Swann	(Scott-Moncrieff);

Apologies: Richard Bint, Kevin Mallet

The Convener welcomed Ken Baldwin, Carol Prokopyszyn and Keith Winter to their first meeting of the Audit Committee.

1. MINUTES

The Committee reviewed the minutes from the meeting on 22 May 2018.

Resolved: to approve the minutes from the meeting of 22 May 2018.

2. MATTERS ARISING

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, informing members that he would obtain a target completion date for this action. The Committee noted that a draft patching policy had been reviewed by the Cyber Essentials Working Group and confirmation that this was in place would be shared with the Committee as soon as it was finalised.

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

3. COMMITTEE OPERATIONS

The Committee considered a paper from the Assistant Policy Officer (Risk & Audit) which set out a revised remit and terms of reference (annex a), work-plan and Committee objectives for 2018/19. Following discussion members confirmed that they were satisfied with the content of the terms of reference and remit and objectives, and agreed minor revisions to ensure consistency across all committees of Court.

Members raised the importance of the Committee's oversight of whistleblowing, and questioned whether an annual report on whistleblowing might be beneficial.

The Committee went on to consider the Committee's role in the delivery of the University Strategy to 2022. Noting that the Court had responsibility for oversight of the performance measures, the Committee noted its responsibility in maintaining oversight of the risks associated with failing to deliver the Strategy. Members agreed that this could be managed via the institutional risk register, which the Committee viewed on a biannual basis, but also noted the particular role of the People & Organisational Development Committee given the emphasis on people and community in the Strategy. The Committee agreed that it would be helpful to invite that Committee's Convener and the Director of Human Resources & Organisational Development to attend a future meeting to discuss how it intended to oversee progress in these areas to avoid duplication.

Members also requested that the external auditors, Ernst & Young, share their transparency report with the Committee.

- Resolved:**
- (i) subject to minor amendments, to endorse to the Court the revised Remit and Terms of Reference for the Committee (annex a) and the business plan for 2017/18;
 - (ii) to view the transparency report from Ernst & Young; and
 - (iii) to invite the Convener of the People & Organisational Development Committee and Director of Human Resources & Organisational Development to a future meeting of the Audit Committee.

4. **CONVENER'S REPORT**

The Convener reported that she had spoken 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 focused on matters raised on the agenda and that the Convener would highlight any issues arising at relevant points in the meeting. The Convener was also to meet with the Deputy Chair of Court, University Secretary and Director of Strategic Planning to discuss KPI reporting for the University Strategy to 2022.

Resolved: to note the update.

5. **FINANCIAL STATEMENTS FOR YEAR ENDING 31 JULY 2018**

(1) Review of Financial Year and of Going Concern

The Director of Finance presented the financial review of the year ended 31 July 2018, highlighting a reduction in the cash flow and balance and a larger deficit than the previous year, although better than budget expectations. Members noted that the Finance & Policy Committee had reviewed the accounts at its meeting on 22 October 2018 and therefore focused its consideration on the basis for the University being considered a going concern and on the implementation of the accounting policies.

Committee discussions focused on the financial sustainability of the University in the longer term, noting that little investment had been possible in the estate and that staff costs (including pension costs) continued to rise. Members noted that these matters were a central focus of the work of the UEG as it took forward the next planning and budgeting round and included discussions around the future size and shape of the institution and its individual Schools and Directorates. Members also discussed the differences in the relative financial contributions across and between Schools.

Having noted a range of factors, including levels of cash balances, the Committee agreed to support the conclusion that the University should be considered a going concern.

Resolved: for its part, to advise the Court that the University should be considered a going concern.

(2) External Auditors Annual Report and Letter of Representation

The external auditors, Ernst & Young, introduced their annual report to the Committee, confirming that their work had almost been completed and that they had encountered no delays. It was noted that there had been no amendments to the scope of the external audit as set out in

the original audit plan reviewed by the Committee previously, and confirmed that they were in agreement with the University being considered a going concern.

The external auditors had no unadjusted audit differences to report for the University and subsidiary statements. They informed the Committee that a number of significant adjustments had been made during the audit process in respect of impairment charges of £4.2m as a result of delays to the business transformation project and the release of a provision of £1.3m in respect of possible repayment of grants from non-commercial research funders.

The Committee also noted the draft letter of representation.

Resolved: (i) to approve the external audit report; and
(ii) to approve the letter of representation for signature by the Chair of Court.

(3) Draft Financial Statements

The Director of Finance introduced the draft financial statements for the period to 31 July 2018. The Committee made some minor suggestions for amendments to the wording in relation to the statement on the use of public funds.

Resolved: having received the report of the external auditors and having considered the points made therein, to recommend that Court approve the Annual Report and Financial Statements.

6. **FINANCIAL STATEMENTS OF SUBSIDIARY AND ASSOCIATED ACCOUNTS**

(1) Subsidiary Accounts

The Committee viewed financial statements for the subsidiary accounts, noting that Ernst & Young would continue work on these and that no issues had arisen.

Resolved: to note the subsidiary accounts.

(2) Dundee Student Villages

The Committee viewed financial statements for Dundee Student Villages Ltd. Members noted that the I&E difference between the years ended 31 July 2017 and 31 July 2018 was due to movements in working capital.

Resolved: to note the Dundee Student Villages Ltd accounts.

7. **INTERNAL AUDIT**

(1) TRAC Review

The Committee reviewed the internal audit report on Transparent Approach to Costing (TRAC), noting that the review had focused on how the University ensured it was compliant with TRAC guidance and principles. The report contained three grade two (moderate risk exposure) recommendations, all of which had been accepted by management. The Director of Finance confirmed that TRAC provided a fair statement of costs, and noted its importance in relation to financial sustainability.

Resolved: to note the report.

(2) Research Review

The Committee reviewed the internal audit report on Research with the Vice-Principal (Research, Knowledge Exchange & Wider Impact) in attendance. The review focused on how the University planned, co-ordinated and maintained oversight of its research activity in order to achieve its

strategic objectives, and contained one grade one (limited risk exposure) recommendation which had been accepted by management.

Following discussion, it was agreed that the internal auditors would amend control objective 2 'the University only engages in research activity that is financially sustainable and aligned to the University's strategy' to make it clear that this related to grant applications and the affordability of research.

Resolved: subject to the above amendment, to note the report.

(3) Business Continuity Review

The Committee reviewed the internal audit report on business continuity, noting that the review had had an advisory nature due to the University being at a stage where it was redeveloping its business continuity processes. Members noted that the report contained four grade three (high risk exposure) recommendations and two grade two (moderate risk exposure) recommendations, with the findings being consistent with management reports to Audit Committee.

The Director of Academic & Corporate Governance reminded members that whilst business impact analyses were being carried out to inform a new institutional business continuity plan, the University did have an existing tested plan. Following discussion it was agreed that, as noted in the Committee work-plan, an update on business continuity planning would be provided at its meeting in March and a further update provided once the new plan had been tested.

Resolved: to note the report.

(4) Internal Audit Follow-Up

The internal auditors introduced their report which summarised their assessment of the current status of recommendations made in previous reports. Members noted that 56 recommendations had been followed up, with 30 being classified as outstanding at the time of the meeting. Discussions focused on the outstanding actions, many of which were partially or substantially complete and the Committee questioned the validity of some of them given the likelihood of their having been superseded by other activities. It was agreed that the University Secretary would discuss this matter with the internal auditors. Members also felt that, subject to the outcome of these discussions, it might be beneficial for the Committee to consider whether to review outstanding actions on a more regular basis.

Resolved:

- (i) the University Secretary and internal auditors to discuss the outstanding recommendations; and
- (ii) thereafter to consider the frequency at which outstanding recommendations should be reviewed.

(5) Internal Audit Annual Report & Statement of Assurance

The Committee viewed the draft internal auditors' annual report. Overall the assessment was that 'the University has a framework of controls in place that provides reasonable assurance regarding the organisation's governance, risk management, achievement of objectives and value for money', despite some reviews being re-scheduled into the 2018/19 academic year due to delays in the go-live for the Business Transformation Programme.

Discussions focused on the internal audit plan and the number of days per annum. The Committee questioned how the internal auditors approached the internal audit plan, and whether it was based on risk or the budget available to them. It was noted that the internal auditors took a risk-based approach to planning, and that additional audit days had been commissioned to provide additional assurance as needed, such as in the GDPR review. The University Secretary and internal auditors agreed that this process was robust, with internal audit focusing on primary areas of concern linked to the institutional risk register and the internal auditor's view of the 'audit universe' as set out in its three year plan. The Committee noted that internal audit coordinated with other assurance

providers, such as internal processes and external audit, and that internal audit was used to provide an overall picture rather than provide assurance on all areas of the institution. The Committee also

noted that the Senate was responsible for the academic work of the University, both in teaching, research and the discipline of students (as stipulated in the Charter), and that this was reported to Court through the regular Senate reports. The Committee recognised that the primary source of assurance should be University management rather than through internal audit.

It was agreed that it would be beneficial for assurance mapping to be carried out, in order to identify any significant risks to internal processes.

Resolved: to undertake an assurance mapping exercise.

8. **INSTITUTIONAL RISK REGISTER**

Members reviewed the institutional risk register, noting that the University Executive Group had discussed this at its meeting on 10 October 2018. The Committee noted how the risk register had evolved over the past year, with several actions moving into existing controls and new actions being identified to enhance the risk mitigations. Members suggested that the risk register be amended to better reflect the cybersecurity risk and capital planning. Members also felt it would be useful for the Court to re-consider its tolerance to risks, particularly financial sustainability.

Resolved: to ask the Court to consider its tolerance to risk relating to financial sustainability.

9. **RESERVED BUSINESS: LEGAL RISK REPORT**

[Secretary's note: The University asserts that this information is exempt from public disclosure and claims exemptions in S.30(b), 30(c), S.33(1)(b) and 38 of the Freedom of information (Scotland) Act 2002].

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.

10. **BUSINESS TRANSFORMATION**

(1) RESERVED BUSINESS: Business Transformation Update: RESERVED BUSINESS

[Secretary's note: The University asserts that this information is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and S.33(1)(b) of the Freedom of information (Scotland) Act 2002].

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.

(2) RESERVED BUSINESS: Business Transformation: Impairment Review re OneUniversity Capitalisation

[Secretary's note: The Committee considered the item as reserved business. The University asserts that the paper is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and 33(1)(b) of the Freedom of Information (Scotland) Act 2002.]

Members viewed a paper from the Director of Finance which considered the appropriate accounting treatment at 31 July 2018 for the costs incurred in the development of the

OneUniversity system. The Committee noted that the Finance & Policy Committee had agreed to the adjustment referred to by the external auditors.

Resolved: to note the update.

(3) RESERVED BUSINESS: Business Transformation Steering Committee minutes

[Secretary's note: The Committee considered the item as reserved business. The University asserts that the paper is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and 33(1)(b) of the Freedom of Information (Scotland) Act 2002.]

The Committee received the minutes from the meeting of the Business Transformation Steering Committee on 24 August 2018 and 27 September 2018.

Resolved: to note the minutes.

11. **DEPRECIATION POLICY RE: ONEUNIVERSITY**

The Committee considered proposed changes to the depreciation policy for the OneUniversity system (annex b), noting that the policy had been endorsed by the Finance & Policy Committee at its meeting on 14 August 2018.

Resolved: to approve the policy (annex b).

12. **DRAFT ANNUAL AUDIT COMMITTEE REPORT**

The Committee considered a draft of its annual report to Court. It was noted that this report would also be submitted to the Scottish Funding Council and would be amended to include the external audit report.

Resolved: subject to a minor amendment, to approve the report for submission to the Court and the Scottish Funding Council.

13. **RISK MANAGEMENT OVERSIGHT GROUP MINUTES**

The Committee viewed minutes from the Risk Management Oversight Group meetings on 5 July 2018 and 5 September 2018.

Resolved: to note the minutes.

14. **HEALTH, SAFETY & WELFARE SUB-COMMITTEE MINUTES**

The Committee viewed the minutes from the meeting of the Health, Safety & Wellbeing Sub-Committee on 4 September 2018. Members noted that the Head of Safety Services would be invited to attend the meeting on 22 January 2018 to provide members with an update on reporting systems and training.

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 Court's tolerance for risk regarding the institution's long term financial sustainability; the discussion relating to the University as a going concern in the mid- to long-term; the approved depreciation policy; the lessons learned piece regarding Business Transformation; and the requested assurance mapping.

18. **DATE OF NEXT MEETING**

Resolved: Tuesday 22 January 2018.

AUDIT COMMITTEE

Remit, Terms of Reference and Membership

Remit

To advise University Court in relation to its responsibilities for:

- proper financial management;
- the effectiveness of internal control and management systems;
- safeguarding the assets of the University and public funds;
- the economy, efficiency and effectiveness of the University's activities; and
- corporate governance and conduct of the University's operations.

Membership

The normal membership of the Committee is six members. All members are independent, at least half drawn from the lay membership of University Court, whence also the Convener is drawn. Remaining members are co-opted with the approval of the Governance & Nominations Committee. The term of office for lay members co-opted to serve on the Audit Committee shall be in line with the period of co-option for members of Court as defined in Statute 9(2)(g).

The quorum for any meeting of the Committee shall be three members, at least one of whom must be a member of the Court.

In Attendance

Convener of the Finance & Policy Committee
Vice-Principal (International)
University Secretary
Director of Finance
Director of Academic & Corporate Governance
Deputy Director of Finance
Internal Auditors
External Auditors
Other officers may be invited as required to fulfil the business of the Committee.

Secretary

Assistant Policy Officer (Risk & Audit).

Meetings

The Committee shall meet 4 times in each session. One meeting each year will incorporate a private meeting of the Committee with the internal and external auditors without officers present.

Quorum

Three members shall constitute a quorum

TERMS OF REFERENCE

CONSTITUTION AND OPERATION

Membership

- The Committee shall comprise not less than three members of the Court, all of whom shall be lay members, i.e. to the exclusion of members of staff of the University and full-time students.
- The Chairperson of Court shall not be a member of the Committee.
- The Committee may co-opt, with the approval of the Court, additional lay persons with appropriate expertise who are not members of the Court. The number of such co-opted members shall not exceed half of the membership. The term of office for these additional lay members shall be in line with the period of co-option for members of Court as defined in Statute 9(2)(g).
- At least one member of the Committee shall have a financial or accounting background.
- The Convener of the Committee shall be appointed by the Court and shall be a member of the Court. In the absence of the Convener at any meeting of the Committee, the Committee shall appoint any of its members as Acting Convener for that meeting.
- No member of the Committee shall concurrently be a member of the Court's Finance & Policy Committee, although the Convener of the Finance & Policy Committee may attend meetings of the Audit Committee. A reciprocal right of attendance at meetings of the Finance & Policy Committee is granted to the Convener of the Audit Committee.
- The following skills/experience are particularly valued by the Committee:
 - Knowledge of internal and external audit;
 - Experience in financial management;
 - An accounting or internal audit qualification;
 - Senior management experience in a complex organisation/public body;
 - IT and business systems experience, ideally in a large and complex organisation;
 - Advisory and/or consultancy experience (for example as a partner in a corporate finance, law or accounting firm; and
 - Experience in the management of Higher Education;

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

Authority

- The powers delegated to the Committee by the Court shall be as defined in the Schedule of Delegation.
- The Committee shall have full authority to undertake and review activities associated with any matters within its terms of reference. For the purposes of such activities it shall be provided with adequate resources and full access to information and University personnel.
- The Committee shall have authority to obtain, without prior approval, legal or other independent professional advice within a financial limit determined by the Court (currently £15,000).

Proceedings

- The Committee shall usually meet four times annually and shall report, through submission of the minutes of each meeting, to the next available meeting of the Court.
- Each meeting of the Committee shall normally be attended by the University Secretary, Director of Finance, Director of Academic & Corporate Governance and, where business relevant to them is to be discussed, representatives of the internal and external audit services.
- Other members of the wider University Management Group may be invited to attend meetings as and when appropriate, particularly when internal audits relating to their area of leadership and management responsibility are being considered.
- The Committee's Secretary shall normally be the Assistant Policy Officer (Risk & Audit).

DUTIES AND RESPONSIBILITIES

Effectiveness and Financial Control

- to review the robustness of financial and other control systems and to ensure that the Court's policies on internal control are implemented by delegated officers.

- to ensure that all significant losses have been properly investigated, and that the internal and external auditors and the Funding Council have been informed if appropriate.
- to oversee the University's policy on fraud and irregularity, and to receive regular reports on any incidents of fraud.
- to oversee the University's policy for the prevention of bribery and corruption and the University's gifts and donations policy and to receive reports as appropriate on activity in this area.
- to monitor, annually or more frequently if necessary, the implementation of approved recommendations arising from both internal and external audit reports and management letters.
- to monitor the effectiveness of the internal and external audit services, including attendance at Committee meetings, and promote co-ordination between the two.
- to monitor the University's arrangements to secure value for money, whether these are made via internal or external audit or other means.

Risk Management

- to advise the Court on the effectiveness of risk management in the University, on the basis of regular reports on risk management from the Professional Services Group (PSG) and appropriate audit work.
- to review at least twice annually the Institutional Risk Register and make recommendations to the Court in this respect.
- To advise the Court on risks relating to the University strategy.

Internal Audit

- to advise the Court on the appointment and remuneration of internal auditors.
- to consider and advise the Court on the internal audit needs assessment and the strategic and annual internal audit plans.
- to consider and advise the Court on issues arising from internal audit reports.
- to receive an annual report from the internal audit service, which should include an opinion on the degree of assurance that can be placed on the system of internal control.

External Audit

- to advise the Court on the appointment and remuneration of external auditors.
- to guide the external auditors on the nature and scope of the audit as necessary.
- to consider and advise the Court on external audit reports and management letters.
- to consider and advise the Court on the University's annual financial statements, ensuring the proper application of agreed accounting policies.
- In line with the policy set out in Annex 2 to monitor any advisory or other non-audit work undertaken for the University by the external auditors, to ensure that their independence is not compromised.

Other

- to oversee the University's policy on public interest disclosure and receive reports on the outcomes of investigations of public interest disclosures.
- to receive routine reports from the University Solicitor on legal matters involving, or likely to involve, the University
- to ensure the University's compliance with the Funding Council's Code of Audit Practice.
- to receive and review reports relating to audit prepared by the Funding Councils, National Audit Office, European Commission and other bodies, and to advise the Court as necessary.
- to make an annual report on the work of the Committee for submission to the Court and the Funding Council.

Membership 2018/19**(1) Members**

Name	Category
Karen Reid (Convener)	(Lay Member of Court)
Karen Bassett	(Lay Audit Committee Member)
Dr William Boyd	(Lay Member of Court)
Neil Menzies	(Lay Audit Committee Member)
Keith Winter	(Lay Member of Court)

(2) Officers in Regular Attendance

Name	Category
Wendy Alexander	(Vice-Principal (Internationalisation))
Carol Prokopyszyn	(Director of Finance)
Dr Neale Laker	(Director of Academic & Corporate Governance)
Kevin Mallet	(Deputy Director of Finance)
Dr Jim McGeorge	(University Secretary)
Dr Elizabeth Rogers	(Assistant Policy Officer (Risk & Audit))

POLICY ON USING EXTERNAL AUDITORS FOR NON-AUDIT SERVICES

This appendix sets out the policy for the appointment and remuneration of the external auditors for any work undertaken on behalf of the institution. It outlines the control processes that will be put in place to ensure compliance with the policy.

Statutory audit

The Director of Finance will recommend the overall fee for statutory audit to the Audit Committee. It is the responsibility of the audit committee to review the proposed audit fee and recommend it to the governing body for approval.

The Audit Committee will review the independence and effectiveness of the external auditors on an annual basis.

Other work as auditors or reporting accountants

While it is difficult to be precise about the definition of other work the external auditor may undertake as auditor, it includes the following:

- any other review of the accounts for regulatory purposes
- assurance work related to compliance and corporate governance, including high-level controls
- regulatory reviews or reviews commissioned by the audit committee
- accounting advice and reviews of accounting standards.

The Director of Finance must clear the appointment of the external auditor for any such work in advance with the Convener of the Audit Committee.

The Audit Committee will receive a report summarising work commissioned from external auditors, including fees payable for non-audit services.

Tax advisory services

The external auditor may provide tax advisory services, including tax planning and compliance, provided such advice does not conflict with the auditor's statutory responsibilities and ethical guidance. Taxation includes, but is not limited to, income tax, corporation tax, value added tax, national insurance, business rates, climate change levy and other charges payable to or receivable from government departments.

The audit committee will determine whether the appointment of the external auditor for any tax work would conflict with the auditor's statutory duties. Any tax assignment requires the approval of the Director of Finance, who will consult with the Convener of the Audit Committee in respect of any assignment over £10k. The Audit Committee will receive a report on the tax advisory services provided by the external auditor, including fees payable.

Merger/acquisition support

It is permissible for the external auditor to be appointed to undertake specific merger/acquisition activities on behalf of the institution. However, the auditor cannot be appointed to undertake such work without the prior approval of the Director of Finance, who will consult with the Convener of the Audit Committee regarding any assignment that could involve fees in excess of £10k. The Audit Committee will receive a report summarising work commissioned from external auditors, in respect of merger/acquisition activity including fees payable.

Other accounting advisory and consultancy work

There may be occasions when the external auditor is best placed to undertake other accounting, investigatory, advisory and consultancy work on behalf of the institution, because of the auditor's in-depth knowledge of the institution. However, the following are specifically prohibited:

- work related to accounting records and financial statements that will ultimately be subject to external audit
- management of, or significant involvement in, internal audit services
- secondments to management positions that involve any decision-making
- any work where a mutuality of interest is created that could compromise the independence of the external auditor
- any other work which is prohibited by UK ethical guidance.

Any assignment in excess of £20,000 can only be awarded to the external auditor after competitive tender, with the exception of assignments involving their own intellectual property. The inclusion of the external auditor on a tender list requires the prior approval of the Director of Finance. The Director will consult with the Convener of the Audit Committee regarding any tender for work in excess of £10,000. The Audit Committee will receive a report summarising details of all such work commissioned, including fees payable.

Guidance

In principle, the committee should not agree to the auditor providing a service if the result is that:

- *The audit firm or a member of the engagement team has a financial or other interest that might cause them to be reluctant to take action that would be adverse to the interests of the firm or a member of the engagement team (self-interest threat).*
- *The results of the non-audit service performed by the audit firm may be included in the institution's financial statements, and thus not subject to proper audit review (self-review threat).*
- *The auditor undertakes work that involves making judgements and taking decisions which are the responsibility of management (management threat).*
- *The audit firm undertakes work that involves acting as advocate for the institution and supporting a position taken by management in an adversarial context (advocacy threat).*
- *The auditor is predisposed, for example because of a close personal or family relationship, to accept or not sufficiently question the institution's point of view (familiarity threat).*
- *The auditor's conduct may be influenced by fear or threats (intimidation threat).*

The audit engagement partner should inform the audit committee of all significant facts and matters bearing on the auditors' objectivity and independence, including those related to the provision of non-audit services, and any safeguards in place.

DEPRECIATION POLICY RE:ONE DUNDEE**Executive Summary**

The Committee is asked to consider and endorse the following:-

- 1) That the University, in light of guidance contained within the Statement of Recommended Practice 'Accounting for Further and Higher Education' 2014 [the FEHE SORP] and Financial Reporting Standard 102 [the FRS] should amend its existing accounting policy for intangible fixed assets as set out below;
- 2) That the University regarding the OneUniversity Enterprise Resource Planning system [the ERP System], recognising its strategic import to the University and the separability of the five main work streams (Interim CRM, Finance & Procurement, HR & Payroll, Research & Projects and Student), should treat each work stream separately and commence depreciation of the capitalised amount of each as from its date of use in service for a period of 10 years.

Revised Accounting Policy

An intangible fixed asset is an identifiable non-monetary asset without physical substance which is both separable from the entity and arises from contractual or other legal rights.

However, an intangible asset can only be recognised if:-

- It is probable that the expected future economic benefits that are attributable to the asset will flow to the institution;
- The cost or value of the asset can be measured reliably.

As from the 2015-16 financial year, the first year in which expenditure on the ERP system was incurred and deferred on to the balance sheet as work-in-progress, the University's annual financial statements have included an accounting policy with regards to intangible fixed assets which states that:

"Intangible assets are amortised over 15 years representing the remaining estimated economic life of the assets. Intangible assets in the course of development are not depreciated until they are brought into use".

This policy is included in the financial statements for both 2015-16 and 2016-17, however though compatible with FRS 10 it is not consistent with the revised FEHE SORP (2014), effective for financial years beginning on or after 1st January 2015, which states that:

"All intangible assets are considered to have finite lives which will be limited to the period of any contractual or legal rights (including any renewal periods where the cost of renewal is not significant). If institutions are unable to reliably estimate the useful life of an intangible asset, the life shall be presumed to be five years".

The 2015 annual review of the FEHE SORP subsequently resulted in some minor amendments, made to reflect FRS 102 (as at September 2015) and these were published as a guidance note in March 2016. The guidance note does not form part of the FEHE SORP itself and has not been reviewed by the Financial Reporting Council, as such it does not carry the authority of the FEHE SORP.

Nevertheless the guidance note has provided revised wording relating to the second sentence in the FEHE SORP as follows:

"If, in exceptional cases, institutions are unable to make a reliable estimate the useful life of an intangible asset, the life shall not exceed 10 years".

This review was undertaken at the request of the British Universities Finance Directors Group and undertaken by KPMG.

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Based on the above the University thus proposes to amend its accounting policy for the amortisation of intangible fixed assets, as from the 2017-18 financial year, to the following:-

“All intangible assets are considered to have finite lives which will be determined by the assessed useful economic life and the period of any contractual or legal rights (including any renewal periods where the cost of renewal is not significant). Intangible assets in the course of development are not depreciated until they are brought into use”.

Following a review of the remaining accounting policies they are assessed as being appropriate and there are no further changes proposed.

OneUniversity – an Intangible Fixed asset

The OneUniversity system meets the criteria for an Intangible Asset as outline above, being:-

- Separable: It is being separately identified and accounted for by the University, with expenditure to date being held as work-in-progress on the balance sheet within intangible assets;
- Contractual: Spend is being incurred with regards to contractual obligations with TechnologyOne to develop and implement a new ERP system;
- Economic benefits: The programme is based on a business case developed for the University by PwC which has identified clear benefits from the implementation of the system;
- Reliably measured: Costs are being recorded on an actual basis as incurred.

OneUniversity – Useful Economic Life

The University's contractual arrangements with TechnologyOne for the initial term, as set out in clause 18.1, and the option for the extended term, as set out in clause 18.2, are:

“18.1 This Agreement shall commence on the date of delivery of this Agreement (the

“Commencement Date”) and, subject to Clause 18.2 and the remainder of this Clause 18, shall continue until the day immediately preceding the seventh anniversary of 30 September 2016 (“Initial Term”), when it shall terminate”.

“18.2 The University has the option to extend the term of this Agreement for a further three year period to 30 September 2026 (“Extended Term”) by providing at least ninety (90) days’ notice to the Supplier prior to the expiry of the Initial Term”.

The ERP System is a major investment for the University. The time and effort to implement this new system has been onerous for all concerned, it will not be something that the University will seek to repeat in the near term unless unforeseen issues emerge with the ERP System. The extension to contract is the University's gift. Due to the size of the investment from across the University and a desire to maximise the return on asset it is senior management's current intention to seek the extension for the three years and possibly longer at an appropriate time. These contractual arrangements, together with management's intentions, in our opinion provide a contractual justification for the application of a useful economic life extending to at least 30th September 2026 for all five work streams of the ERP system.

The policy above states that depreciation will not be provided during the development stage and therefore will commence upon implementation. Given the rolling nature of the implementation, with a go-live date in the 2017-18 financial year for the Interim CRM work stream and anticipated go-live dates during the 2018-19 financial year for three work streams [Finance & Procurement, HR & Payroll and Research & Projects] and during the 2019-20 and 2020-21 for the Student work stream, we have agreed with EY that the project will be split into work packages and each dealt with separately. Costs associated with each work package is being collected separately and will be capitalised

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until implementation. At which point, the capitalised costs will be depreciated until the end of the contract, i.e. 30th September 2026. The consequence of which will see depreciation on Student over a shorter period.

In the event that senior management seek and agree a contract extension beyond 30th September 2026, there will be an opportunity to reassess the end of the useful economic life and reset the period over which depreciation is calculated.

Kevin Mallett
Deputy Director of Finance
17th July 2018

APPENDIX 5

**FINANCE & POLICY COMMITTEE
(Minute 24(2(i)))**

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

Present: Richard Bint (Convener);
Alan Bainbridge;
Ronald Bowie;
Principal, Professor Sir Pete Downes;
Jane Marshall;
Sofia Skevofylaka;
Professor Mairi Scott.

In Attendance: Karen Reid (Chair, Audit Committee)
Professor Nic Beech (Vice-Principal (Provost));
Ellenore Hobkirk (Head of Development & Alumni Relations)(Minute 14);
Rose Jenkins (Director of Campus Services);
Carol Prokopyszyn (Director of Finance);
Dr Neale Laker (Director of Academic & Corporate Governance);
Ian Leith (Director of Business Transformation)(minute 10);
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: Allan Murray;
Sharon Sweeney.

1. **MINUTES**

Resolved:to approve the minutes of the meeting of 14 August 2018.

2. **MATTERS ARISING**

(1) Action Log

The Committee received the action log for its business, and members noted the updates provided. The Convener drew attention to the on-going items, and members noted that the Convener had agreed with officers that the tendering process for banking services should be delayed until 2021 to accommodate other priorities for the Finance Directorate. The Committee agreed that the item should be removed from the log.

Resolved: to note the updates and otherwise approve the log.

3. **FINANCE DIRECTOR'S REPORT**

The Director of Finance provided a verbal update on a range of matters across the sector and the University which were of relevance to the business of the Committee. In doing-so she drew members'

attention to the implications of the University of Dundee Superannuation Scheme (UoDSS) agreement with respect to the University budget. In particular members noted that the agreement would lead to £7m cash utilization beyond budget over the next three years.

The Director also outlined the potential implications for the University budget should the recommendations of the Joint Expert Panel (JEP) on the Universities Superannuation Scheme (USS) be accepted and implemented. In this respect members noted that the additional 2% employer contribution proposed translated to an impact on cash of around £1.6m per annum. Members noted that if the JEP proposals were not accepted then, in accordance with Section 75 of the Pensions Act, the Trustee's original proposals would be implemented at a cost to the University of ~£5.6m per annum. Members noted that the Pension Sub-Group would continue to monitor the situation.

The Director drew members attention to rises imposed in employer contributions for the Teachers' Pension Scheme, which had been set at 5.2%. Members noted that although there would not be a significant impact for the University, it would be significant for some institutions and was illustrative of the continuing pension funding issue across the sector.

The Principal provided members with an update on the Tay Cities Deal, and members noted that an announcement on heads of terms was anticipated in early November. They were pleased to note that the University continued to be active in the promotion of the bids that it was involved in, and looked forward to clarification regarding the level of funding available.

Resolved: to note the update.

4. **COMMITTEE WORK-PLAN AND OBJECTIVES 2018/19**

The Committee received a paper outlining its work-plan and objectives for 2018/19. The Convener drew members' attention to the outputs of the review of effectiveness of the Committee for 2017/18 as previously considered at its meeting in May 2018. Following discussion, members confirmed that they were satisfied that the objectives and work-plan presented reflected the outputs of discussions at the Court Retreat, and in doing-so addressed the Committee's desire to have clearer objectives and a greater focus on strategic matters.

The Committee highlighted the setting of medium to long-term financial targets and effective management of the planning process as a key focus for the Committee for 2018/19. Members noted that the planning process led by UEG would include reviewing the robustness of the net contribution of tuition fee income growth and relative School contributions. Members also agreed on the importance of the Estates Strategy, Business Transformation, research efficiency, and the monitoring of Key Performance Indicators (KPIs) relating to the business of the Committee.

Resolved: to approve the work-plan and objectives for 2018-19.

5. **COMMITTEE REMIT**

The Committee confirmed that, subject to the update of the sections relating to membership and delegated powers, the Remit and Terms of Reference remained appropriate.

Resolved: to endorse the Remit and Terms of Reference for the committee to Court for approval (**annex a**).

6. **REPORT FROM THE DIRECTOR OF ESTATES & CAMPUS SERVICES**

November 2018

The Director of Estates & Campus Services introduced a paper which detailed proposals for reports to the Committee over the course of the academic year, along with details of the high-level metrics which would be presented at each of these meetings. Members noted that it was proposed that future reports

include the following sections : financial update; updates on progress in relation to projects over £1m; and specific matters of particular relevance to the cycle, and the Director went on to provide an update to the Committee under each of these headings.

Turning to the proposed metrics for reporting, members noted that these would be further reviewed in the context of the University Strategy KPIs and baskets of measures, but that they had been designed to provide information tailored to the needs of the Committee, to demonstrate stewardship, and to give oversight of measurable gains in the CAPEX and strategic investment budgets. Through discussion the Committee highlighted the value of qualitative feedback from staff, students and visitors, and was pleased to note that the Director was seeking actively this information through refreshed focus groups, one-to-one meetings, targeted questionnaires, and the staff survey. Members expressed an interest in exploring opportunities to exploit the commercial value of the estate.

Turning to the Estates Strategy, members noted that the Estates Strategy Group had recently concluded a review of information which would provide context to the development of the strategy. Through discussion members were pleased to note that the University was engaged with a number of capital funding opportunities at a national level which may be able to support aspects of the emerging Estates Strategy and that the University was also actively engaged with NHS Tayside on issues relating to the Medical and Dental Schools.

Resolved: to note the report.

7. FINANCIAL REVIEW OF THE YEAR ENDED 31 JULY 2018

The Director of Finance presented the financial review of the year ended July 2018, which provided overviews of: the financial performance of the University for that period; the current financial position; results for the year; financial sustainability considerations, along with a review of the going-concern basis for the accounts. The Director drew members' attention to audit adjustments resulting from the Business Transformation Impairment Review (see item 10(2) below), and members noted that the impact of the recommendations of that review on the financial statements had been modelled as an appendix to that paper.

Turning to data presented on financial sustainability, discussions focused on the forecast net cash from operating activities and projected cash balance, and members noted the implications of these projections on the University's ability to invest in infrastructure projects, for example in relation to the estate. The Committee noted that the University Executive Group (UEG) had begun the process of setting a cash-based target, taking account of financial sustainability and considering options for achieving this in a manner that accounted for the University's strategic ambitions, including a potential need for academic investment to support the REF strategy and recognised the financial risks facing the University. Members noted that a paper would be brought to the next meeting of the Committee outlining a timeline for the planning process.

Resolved: to note the report and await a paper in due course outlining the timeline for the planning process, and considerations relating to the setting of financial sustainability targets.

8. FINANCIAL STATEMENTS FOR THE YEAR ENDED 31 JULY 2018

The Committee received the draft consolidated financial statements for the year ending 31 July 2018, and noted that they would be submitted to the Audit Committee on 29 October 2018, and to the Court for approval on 19 November 2018. The Deputy Director of Finance highlighted aspects which would change as

a result of the Business Transformation Impairment review (see also 10(2) below), and otherwise provided an overview of the Statements.

The Committee was encouraged to provide any comments on the draft accounts to the Director of Finance in advance of the meeting of the Audit Committee on 29 October 2018.

Resolved: for its part, to recommend that the Court approve the accounts for the year ended 31 July 2018.

9. TREASURY ANNUAL REPORT

The Director of Finance presented the Annual Treasury Report which reviewed treasury activity over the last 12 months relative to the requirements of the Treasury Policy. The report covered: counterparty risks and limits, liquidity risk, currency risks and swaps, interest rate, refinancing, and inflation risk as well as providing an outlook for the future. The Director drew members' attention to the counterparty risk and limits reports, and in particular members noted that the University's main banker, Royal Bank of Scotland (RBS), continued not to meet the policy rating requirements. Members recommended that the University continue with the existing arrangement, and suggested that the Treasury Policy meantime be updated to recognize the long-term position relating to RBS.

Resolved:

- (i) to endorse to the Court the continued use of RBS as a deposit taking institution, with a new counterparty limit of £30m; and
- (ii) otherwise to note the report.

10. BUSINESS TRANSFORMATION

(1) RESERVED BUSINESS: Business Transformation Update

[Secretary's note: The University asserts that this information is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and S.33(1)(b) of the Freedom of Information (Scotland) Act 2002].

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.

(2) RESERVED BUSINESS: Business Transformation: Impairment Review Re:OneUniversity Capitalisation

[Secretary's note: The Committee considered the item as reserved business. The University asserts that the paper is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and 33(1)(b) of the Freedom of Information (Scotland) Act 2002.]

The Committee received a paper which reviewed the appropriate accounting treatment at 31 July 2018 for the costs incurred in the development of the OneUniversity system. Members noted that the updated review reflected the requirements of the external auditors, and further review by the Director of Finance. Through discussion the Committee noted that the approach was based, as required, on the status of the OneUniversity system implementation as at 31 July 2018. In response to questions the Director of Finance outlined the approach taken in reaching the impairment ratios used. Members also noted the impact of the treatments on the 2017/18 accounts.

Resolved: to confirm that the Committee was content with the proposed capitalisation costs included in the 2017/18 accounts.

November 2018

(3) Reserved Business: Business Transformation: Steering Group Minutes

[Secretary's note: The Committee considered the item as reserved business. The University asserts that the paper is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and 33(1)(b) of the Freedom of Information (Scotland) Act 2002.]

The Committee received the minutes from the meeting of the Business Transformation Steering Group on 24 August 2018.

Resolved: to note the minutes.

11. **PROCUREMENT POLICY**

The Committee reviewed the Procurement Policy, which had been updated to ensure compliance with the implementation of the new finance system.

Resolved: to approve the Procurement Policy.

12. **STUDENT RECRUITMENT UPDATE**

The Director of Strategic Planning updated members on the emerging picture with regard to student recruitment for entry in 2018/19. Members noted that the Finance Directorate was in the process of reconciling the figures relative to the budget, but that initial indications were that the results would be below budget but within the contingency set. The Director went on to highlight a strong performance from the Law with regard to RUK recruitment in clearing, likely as a result of a strong performance in national league tables, and also increases in Taught Postgraduate overseas recruitment.

Resolved: to note the update and await a full report at the next meeting of the Committee on 11 December 2018.

13. **PENSION SUB-GROUP**

[The Chair of Court declared an interest in the item as a member of the Joint Expert Panel in relation to the Universities Superannuation Scheme (USS). The Director of Academic & Corporate Governance also declared an interest in the item as a member of the Board of Trustees of the University of Dundee Superannuation Scheme (UoDSS). Both left the room for the duration of the meeting.]

The Committee noted that the Sub-Group had met earlier in the day to discuss the University's response to the consultation by UUK with USS's participating employers on the Joint Expert Panel (JEP) recommendations. The Acting Convener for that meeting outlined the response, and members were supportive of the position set out. The Committee also noted the process for finalisation of the USS valuation, including the requirement for both the Pension Regulator and the USS Board of Trustees to agree to the proposals. Members recognised that it was possible that in return for accepting the JEP recommendations, the USS Trustees may seek further assurances, such as security, and that the University had indicated that it would need adequate time to model and consider risks associated with any such proposals.

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

14. **DEVELOPMENT AND ALUMNI RELATIONS – STRATEGY & PLANNING UPDATE**

The Committee received a comprehensive report from the Head of Development & Alumni Relations detailing activity over the previous 12 month period, including fundraising totals for 2017/18, the

development of donation pipelines, tactical approaches, details of specific campaigns, and future strategies. The Committee was pleased to note that the fundraising total for 2017/18 had risen to £3.4m, and that the team was targeting an annual total of £5m per annum. In this respect, members noted that the pipeline had already secured £1.6m for 2018/19.

Discussions focussed on the impact of General Data Protection Regulations (GDPR) on the approach to fundraising, and the Director outlined the University's approach. Members were also interested to note the performance relative to benchmarked institutions, and opportunities for the University to expand its corporate connections within the region.

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

15. **NARRATIVE FOR THE COURT**

The Committee proposed that the Convener highlight to the Court the Financial Review of the Year (item 7), the fundraising report (item 14), discussions relating to the Joint Expert Panel report (item 13), and Business Transformation (item 10).

Resolved: to agree the areas to highlight to the Court.

16. **DUNDEE STUDENT VILLAGES ACCOUNTS**

The Director of Finance provided the Committee with a copy of the Financial Statements for Dundee Student Villages (DSV) Ltd for the year ended 31 July 2018.

Resolved: to note the Financial Statements for Dundee Student Villages (DSV) Ltd for the year ended 31 July 2018.

17. **USE OF DELEGATED AUTHORITY**

The Committee noted there had been no instances of the use of delegated authority by the University Secretary and Director of Finance since the last meeting.

Resolved: to note the update.

18. **STANDING ITEM: APPROVAL OF LARGE RESEARCH BIDS**

The Committee received a paper which provided an overview of approvals it had made since its last meeting, and information on upcoming applications which would require approval in the near future. Members noted that there had been no approvals sought since the last meeting, and noted one application with a submission deadline of 16 January 2019.

Resolved: to note the update.

19. **SUBSIDIARY COMPANY ANNUAL ACCOUNTS**

The Committee received a report summarising the financial results of the University's subsidiary companies for the year 2017/18. Members noted that the audit was not complete in this respect at the time of the meeting.

Resolved: to note the accounts as they stood.

20. **DATE OF NEXT MEETING**

2.00 pm on 11 December 2018.

November 2018

Resolved:

to note that the next meeting of the Committee would be held at 2.00 pm on 11 December 2018.

Richard S Bint
(Convener)

FINANCE & POLICY COMMITTEE**Remit, Terms of Reference and Delegated Powers****Summary**

The Committee has a general responsibility, in exercising its specific duties as set out in this document.

In particular, it is the responsibility of the Committee to:

- advise the Court on any matter pertaining to the finances, the financial health, and the operational performance of the University, including financial risks;
- set the financial parameters within which the University operates in light of government policies on higher education and public spending, the resource allocation policies of the SFC and the main research funders;
- approve financial forecasts;
- approve annual budgets and to monitor performance against those budgets using relevant performance indicators;
- review draft strategic planning documents and to consider their resource implications;
- approve the allocation of resources to support University strategies and plans;
- approve projects involving major capital expenditure within the terms of the Schedule of Delegation and to ensure that appropriate oversight is provided on such projects;
- approve and monitor the Estates Strategy and associated key performance indicators;
- review and, where appropriate, contribute to the development of policies and procedures which affect the Committee's ability to carry out its role as set out above.

Remit and Terms of ReferenceMembership

The membership for any given year is set out in the attached schedule. It shall comprise a mix of lay members, staff members, the Chairperson of Court, the Principal and the President of the Students' Association.

The Convener of the Audit Committee may attend meetings and a reciprocal right of attendance is granted to the Convener of the Finance & Policy Committee to attend meetings of the Audit Committee.

The following skills/experience are required across the membership of the committee:

- Knowledge of finance, including at least one member with an accounting qualification and other members with equivalent/alternative financial skills and experience;

The following skills/experience are particularly valued by the Committee across its membership:

- Experience/knowledge of architecture, estates and/or facilities management from a variety of perspectives;
- International experience;
- Knowledge and experience of corporate governance in a general setting;
- Legal knowledge, preferably within a business, public sector or financial services setting;
- Experience of working in academic and non-academic settings;
- Knowledge and/or experience of IT and business systems;
- Knowledge and/or experience of procurement;
- Experience of public sector organisations and Non-Departmental Public Bodies;
- Ability to understand and manage risk;
- Awareness of wider stakeholder interests in higher education;

In addition, the following abilities and attributes would be valued

- Ability to challenge constructively based on material and data presented;
- Ability to interpret the Committee's remit within the wider context of the University Strategy;
- Ability to add value through the consideration of management proposals, and to reach a balanced view; and
- Ability to demonstrate analytical thinking;

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

November 2018

Meetings

The Committee shall usually meet five times per session and shall report, through the submission of minutes of each meeting, to the next meeting of the Court.

The quorum for any meeting is 50% of the total membership rounded up. The quorum for any given year is likewise set out in the attached schedule. To be quorate at least two lay members and one elected/nominated member must be present. Elected/nominated members include both staff and students.

Each meeting of the Committee shall normally be attended by the University Secretary; the Vice-Principal (Provost); the Vice-Principal (Research, Knowledge Exchange & Wider Impact); the Directors of Academic & Corporate Governance, Estates & Campus Services, Finance, and Strategic Planning; and the Deputy Director of Finance. The Committee's secretary shall normally be the Policy Officer (Corporate Governance) & Clerk to Court.

General Duties and Responsibilities

- The Committee is responsible for advising the Court on the financial strategy and financial health of the University. It shall receive regular reports from the Director of Finance on these matters and at its discretion will recommend actions to the Court;
- The Committee will consider the projections proposed by the Director of Finance and other officers in relation to revenue and capital budgets and will make recommendations on these to the Court.
- The Director of Finance shall present regular in-year information to the Committee relating to performance compared with budgets and the University's financial outlook. The Committee may seek further information before making recommendations to the Court.
- The Committee shall receive regular information and reports on the financial policies and procedures of the University, its subsidiaries and activities delegated to groups and other committees. It may seek changes and/or recommend to the Court that the above policies and procedures be amended as it thinks fit.
- The Committee may, at its discretion, seek explanations on behalf of the Court from officers and budget holders of the University on all matters relating to financial probity and control.
- The Committee shall consider draft strategic plans and operational policies out-with the provisions listed before recommending such documents to the Court.
- The Committee shall be charged with the consideration and oversight of issues pertaining to the Estates Strategy and maintenance of the campus infrastructure. The Committee shall monitor progress towards meeting key performance indicators aligned to the Estates strategy.
- The Committee shall receive regular updates on matters of significance to the work of the Committee, for example student recruitment figures, and the performance of growth and savings projects.
- The Committee, in consultation with senior officers, is responsible for ensuring that the University complies with all relevant accounting regulations and recommended practice and that its annual financial statements have been prepared in accordance with such regulations. It is also responsible for advising the Court on adherence to terms and conditions laid down by the Scottish Funding Council and other grant awarding bodies (including Financial Memoranda issued by the Scottish Funding Council).

Delegated Powers

- Enter into borrowing arrangements over £5m, and renew as necessary, in accordance with the financial strategy approved by Court
- Approve business plans for projects and funding applications or variations thereof for revenue spend more than £3m
- Endorse business plans for projects and funding applications or variations thereof that include a capital element more than £3m
- Approve non-research related contracts, agreements and applications or variations thereof more than £3m
- Approve research related contracts, agreements and applications or variations thereof more than £3m
- Approve Financial Regulations
- Approve guidelines for University investments (on the advice of the Endowments Sub-Committee)

- Approve loans, loan guarantees and grants to subsidiary, spin-out and associated companies of more than £100k
- Approve individual purchases more than £3m
- Approve the winding up of subsidiary, spin-out or associated companies

Membership 2018/19**1) Members**

Name	Category for the Purpose of Determining Quorum
Richard Bint (Convener)	(Lay Member)
Ronald Bowie	(Lay Member)
Principal Professor Sir Pete Downes	(<i>Ex-Officio</i>)
Professor Mairi Scott	(Elected Member)
Jane Marshall	(Lay Member)
Allan Murray	(Lay Member)
Sofia Skevofylaka	(Elected Member)
Sharon Sweeney	(Nominated Member)
Alan Bainbridge	(Lay Member)

2) Officers and others in regular attendance:

Name	Role
Professor Nic Beech	(Vice-Principal (Provost))
Karen Reid	(Chair, Audit Committee)
Carol Prokopyszyn	(Director of Finance)
Dr Neale Laker	(Director of Academic & Corporate Governance)
Professor John Rowan	(Vice-Principal (Research, Knowledge Exchange & Wider Impact))
Dr Jim McGeorge	(University Secretary)
Rose Jenkins	(Director of Campus Services)
Kevin Mallett	(Deputy Director of Finance)
Dr Christine Milburn	(Policy Officer (Corporate Governance))
Wesley Rennison	(Director of Strategic Planning)

Quorum 2018/19

At least five members (taken from 1 above), of whom there should be at least two members considered as lay members and at least one elected/nominated member.

APPENDIX 6

GOVERNANCE & NOMINATIONS COMMITTEE
(Minute 24(3))

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

Present: Ronald Bowie (Convener);
Janice Aitken;
Lady Lynda Clark of Calton;
Bernadette Malone;
Jane Marshall;
Professor Mairi Scott.

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

Apologies: Principal, Professor Sir Pete Downes;
Rumana Kapadia,
Professor Karl Leydecker (Vice-Principal (Learning & Teaching))

1. MINUTES

Resolved: to approve the minutes of the meeting of 14 August 2018.

2. MATTERS ARISING

(1) Action Log

The Committee received an action log summarising progress in relation to outstanding actions from previous meetings.

Resolved: to note the log.

(2) Rectoral Elections

The Director of Academic & Corporate Governance updated the Committee on progress with regard to the approval by the Privy Council of changes to Statutes pertaining to the election of the Rector, as previously approved by the Court. Members noted that discussions were on-going with the Scottish Government advisors, and that the proposals would be submitted to the Privy Council once these discussions had been concluded. The Director agreed to keep the Committee apprised of developments.

Resolved: to note the update

(3) Corporate Governance Statement

The Director of Academic & Corporate Governance confirmed that no changes had been requested following the review of the Corporate Governance Statement by the external audit team.

Resolved: to note the update.

November 2018

3. **COMMITTEE WORK-PLAN 2018/19**

The Committee received the proposed work plan for the Committee for 2018/19 and the Committee's business objectives, which had been refined following discussions at the Court Retreat. The Committee also noted the associated timelines for items. Members made a number of suggestions for the refinement of the plan, with discussions focussing on the need to clarify the role of the Committee with regard to oversight of the appropriateness of KPIs; the need to capture the Committee's role in relation to students following the conclusion of the exercise to map the relationship between DUSA and the University; and to reflect the Committee's role in providing the Court with assurance on issues relating to academic integrity/the quality of academic provision. With regard to the latter, members agreed that it would be appropriate for the Committee to consider the effectiveness of the enhanced reports from the Senate when the Senate reviewed progress in relation to the 2017/18 Senate Review of Effectiveness recommendations. Members also noted that the quinquennial review of the effectiveness of the Court would be an important step in considering the robustness of the understanding of the Court with regard to academic matters.

The Committee also discussed the existing approach to training and induction of members of the Court and agreed that this should be reviewed fully at its meeting on 28 May 2018, including an evaluation of the operation and value of the Continuing Professional Development (CPD) framework approved previously by the Committee, and the effectiveness/appropriateness of the online modules relating to Equality, Diversity & Inclusion and Cyber Security compared to the requirements of the Court.

Finally, the Committee reviewed its Remit and Terms of Reference. Members suggested that it would be sensible to merge the two documents to remove duplication between them, and asked that references to the Committee's role in horizon scanning in relation to matters of governance be reflected.

- Resolved:**
- (i) to approve the Court the work-plan and objectives subject to the amendments listed above; and
 - (ii) to endorse to the Court the Remit and Terms of Reference, subject to the merging of the two documents (**annex a**).

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

The Convener updated members on matters arising at a recent meeting of the Committee of University Chairs (CUC) which were of relevance to the business of the Committee. The Convener highlighted key messages from a presentation by the FSSG with regard to financial sustainability, and members noted both the importance of scenario planning, and risks arising should a "funding follows student" regime be implemented.

The Committee went on to discuss the processes in place for responding to major incidents and the Committee agreed that the University should have a protocol in place to govern situations requiring a rapid response from the Court specifically. The Director of Academic & Corporate Governance undertook to review what was in place and to develop a protocol for consideration at the next meeting of the Committee.

Members also noted that the CUC had intimated its intention to express its views directly in future in response to consultations to ensure that its voice and perspectives were better heard.

Turning to the CUC discussions on the topic of mental health, members were pleased to note both the prominence and the scope of the discussions. The Committee also highlighted the recent work of the University's 'Equally Safe Group' and initiatives and suggested that the Group, Chaired by the Director of Academic & Corporate Governance, be asked to provide a briefing to the next meeting of the Court to outline key issues for the University as well as initiatives being pursued. The Group was unanimous in its support for the work of this Group, and was pleased to note that the Group's membership included staff and students, as well as the close working relationship with DUSA. The importance of the prevention agenda was also highlighted, and members were keen that the University continue to push the agenda such that it could be at the forefront of best practice.

- Resolved:**
- to thank the Convener for the update and recommend that an item be added to the Court agenda focused on the work of the 'Equally Safe Group'.

5. **APPOINTMENT OF THE CHAIRPERSON OF COURT**

[Secretary's note: The Chair of Court declared a conflict of interest in relation to the item and left the room for the duration of discussions].

The Convener of the Appointing Committee for the Chair of Court outlined the Committee's progress in the development of criteria, role description, regulations and advertising materials relating to the upcoming process for the election of a Chair of Court. Members noted the minutes from the meeting of the Appointing Committee (See item 13 below), and were pleased to note the progress made to date.

Resolved: to note the update.

6. **MEMBERSHIP RENEWALS 2018/19**

[Secretary's note: Bernadette Malone declared a potential conflict of interest in relation to the consideration of the renewal of the membership of Karen Reid and left the room for the duration of discussions].

The Committee noted that, in accordance with the Graduates' Association Regulations, the panel convened at the last meeting to consider the renewal of the membership of Jane Marshall as a Graduates' Association Member of the Court had considered the information provided and had unanimously decided to renew her membership.

The Committee also considered information provided in relation to the membership of Karen Reid, including her attendance, and the skills requirements of the Court. Following discussion, members agreed to recommend to the Court that Karen's membership be renewed for a further period of four years, subject to the Chair of Court receiving confirmation from Karen that she will continue to be able to commit sufficient time to the role.

Resolved:

- (i) to note the renewal of the membership of Jane Marshall as the Graduates' Association Member of the Court in accordance with the Graduates' Association Regulations for a further period of 4 years from 1 August 2019; and
- (ii) to recommend to Court that it renew the membership of Karen Reid as a co-opted member of the Court for a further period of 4 years from 1 August 2019 in accordance with Statute 9(1)(l), subject to the satisfactory conclusion of discussions with her.

[Secretary's note: The Chair of Court subsequently confirmed that he had met with Karen Reid and was satisfied that she would be able to commit sufficient time to the role.]

7. **PUBLIC STAKEHOLDER MEETING OF COURT**

The Committee considered a paper detailing proposed invitations to the event. Members suggested a number of additional invitations and asked officers to investigate opportunities for repeating the event at the Scottish Parliament later in the year.

Resolved: to approve the invitation list subject to minor amendment.

8. **ANNUAL REVIEWS**

The Committee considered the Court Statement on Diversity and the Modern Slavery and Human Trafficking Statement, which were both due for annual review. The Committee noted that the targets set in the Court Statement on Diversity had been met, and that the language of the Statement would be updated once the guidelines for the Gender Representation on Public Boards (Scotland) Act 2018 were published to ensure consistency in the language used.

November 2018

The Committee also reviewed the Modern Slavery and Human Trafficking Statement and agreed that all suppliers should be required to sign-up to the APUC Supply Chain Code of Conduct before being entered into the OneUniversity system, thereby promoting the code to a wider audience and ensuring that University suppliers adhere to the requirements of the Modern Slavery Act 2015.

- Resolved:**
- (i) to endorse to the Court the continued use of the Court Statement on Diversity subject to any comments from the People & Organisational Development Committee; and
 - (ii) to endorse to the Court the Modern Slavery and Human Trafficking Statement (annex b) subject to minor amendment.

[Secretary's note: The People and Organisational Development Committee subsequently proposed a number of changes to the Statement on Diversity for consideration by the Committee at its next meeting.]

9. **EARLY STAGE COURT BUSINESS**

The Committee reviewed early proposals for the agenda for the meeting of the Court on 19 November 2018. Members noted the substantive and strategic matters proposed and were keen that officers ensured that sufficient time was allowed to enable these matters to be explored fully. Discussions focussed on the importance of finalising the University Strategy to 2022 Key Performance Indicators (KPIs) and the associated reporting plans to ensure accountability and support the delivery of the strategy. Members also discussed the importance of maintaining the momentum from the annual Court Retreat in terms of the discussion of the actions prioritised by the University Executive Group (UEG).

- Resolved:** to note the proposed agenda.

10. **NARRATIVE FROM THE COMMITTEE TO THE COURT**

The Committee agreed that the Convener should highlight to the Court its discussion of the following matters: the assurance of Court with regard to matters relating to academic integrity (minute 3); the desire for a briefing to Court on matters relating to Gender Based Violence (GBV) (minute 4); the request for the development of an Incident Response Protocol for Court (minute 4); membership renewals (minutes 6 & 12), and arrangements for the Public Stakeholder Meeting of the Court (minute 7).

- Resolved:** to endorse the proposed approach.

11. **DATE OF NEXT MEETING**

- Resolved:** to note that the next meeting would be held on 5 February 2019.

12. **ANNUAL REPORTS FOR 2018/19**

The Committee reviewed the following annual reports: the Court Skills Matrix; Court Equality, Diversity & Inclusion returns; and Declarations of Interests made by members of the Court.

The Committee were advised that the membership of Shirley Campbell's second term of office would end at the end of February 2020, and following discussion of the skills matrix and succession planning for the Convenership of the People & Organisational Development Committee, it was agreed that it would not be ideal for the Convenership to change mid-way through an academic year. Noting that over the last 18

months the University had taken steps to regularise the start/end dates of memberships to coincide with the start/end of the academic year, members suggested that the Court may wish to explore the extension of Shirley's membership of the Court to 31 July 2020, and officers confirmed that this was permissible in accordance with Statute 9(2)(i). The Convener undertook to discuss the matter with Shirley, and members also highlighted the need to ensure that future lay appointments to the Court took account of the future requirement of the Court for Human Resources knowledge/experience.

- Resolved:**
- (i) to endorse to the Court the publication of the Register of Interests relating to Court Members and the 2018-19 Skills Matrix;
 - (ii) to note the summary of the Court members' Equality, Diversity & Inclusion returns; and
 - (iii) to ask the Convener to discuss arrangements relating to the membership of Shirley Campbell, with a view to making a recommendation to the Court at its meeting on 19 November 2018.

13. **APPOINTING COMMITTEE FOR THE CHAIR OF COURT**

The Committee received minutes from the meeting of the Committee on 27 September 2018, and members noted that the Committee would meet again on 23 October 2018.

- Resolved:** to note the minutes.

Ronald Bowie
Convener

GOVERNANCE & NOMINATIONS COMMITTEE

Remit & Terms of Reference

Summary

The Committee has a general responsibility, in exercising its specific duties as set out in this document, to embrace and promote the underlying purpose of good governance, which is to support the University's success and sustainability through a decision-making framework that exhibits integrity, probity and accountability and is in the best interests of the University.

In particular, it is the responsibility of the Committee to:

- advise Court on any matter pertaining to the University's framework for corporate governance, its operation and the University's and Court's compliance with that framework;
- oversee the University's compliance with external governance requirements;
- make recommendations to Court on the appointment of Court members who are not elected; nor ex officio in terms of the Statutes.
- recommend to Court the membership of Court committees and the appointment of members to other bodies, as appropriate, for instance as an employer-nominated Trustee of the pension scheme.

Remit and Terms of Reference

Membership

The Committee shall comprise not less than seven members of the Court, including the Chairperson of Court, at least three other lay members (at least one of whom must be a Convener of a Court Committee), the Principal, at least one other member of staff and at least one student.

The Chairperson of Court shall be the Convener. In the absence of the Convener at any meeting of the Committee, the Committee shall appoint one of its members as Acting Convener for that meeting.

Quorum

The quorum for any meeting is 50% of the total membership rounded up. The quorum for any given year is likewise set out in the attached schedule. To be quorate at least two lay members and one elected/nominated member must be present. Elected/nominated members include both staff and students.

The following skills/experience are particularly valued by the Committee:

- General understanding of, and commitment to, good governance;
- Experience or qualifications relating to legal, governance, statutory or compliance matters;
- Experience in appointments processes, for example in the field of HR;
- Experience of running elections or acting as a returning officer;
- Experience of working in academia;
- Experience of working in public sector;
- Experience of working in a non-academic setting within higher education;
- Awareness of sector-wide legislation and requirements;
- Knowledge/experience and understanding of enhancing approach to equality, diversity and inclusion on governing boards;
- Interest/experience in compliance areas including whistleblowing, declarations of interests, and gifts and hospitality; and
- Awareness of good governance and fairness in relation to elections and appointments.

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

- Ability to add value through the consideration of management proposals, and to reach a balanced view.

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

Meetings

The Committee shall meet at least twice in any one year, but shall normally meet four times, and shall report, through submission of the minutes of each meeting, to the next available meeting of the Court.

Each meeting of the Committee shall normally be attended by the University Secretary and the Director of Academic & Corporate Governance.

The Committee's Secretary shall normally be the Policy Officer (Corporate Governance).

Terms of Reference Constitution and Operation

Authority

The powers delegated to the Committee by the Court shall be as defined in the Schedule of Delegation.

The Committee shall have full authority to undertake and review activities associated with any matters within its terms of reference. For the purpose of such activities it shall be provided with adequate resources and full access to information and University personnel.

Duties and Responsibilities

General

- Oversight of Governance Arrangements and Governing Instruments
- To act as the guardian of the University's governing instruments, including the Charter, the Statutes and the Ordinances and the Schedule of Delegation and Decision-making ensuring they:
 - are fit for purpose;
 - exhibit best practice;
 - comply with legislation and relevant codes of practice; and moreover
 - support the ability of the Court and its Committees to make decisions that are in the best interests of the University.
- To maintain, through horizon scanning activities, an overview of emerging best practice with respect to governance, and to make recommendations to Court for the adoption of changes to the governing instruments or of new instruments (ensuring consultation with the Senate and any other relevant bodies and stakeholders) as appropriate.
- To review the University's compliance with the Main Principles of the Scottish Code of Good HE Governance and the primary elements of the Committee of University Chairs' Higher Education Code of Governance.
- To review Court's approach to upholding its Statement of Primary Responsibilities and to devise mechanisms to demonstrate that Court embraces its responsibilities in a context of continuous improvement.
- To ensure that the Corporate Governance Statement contained in the Financial Statements accurately reflects the governance arrangements in place for the year in question, taking due regard of the requirements of the Financial Memorandum from the Scottish Funding Council.
- To develop and maintain appropriate mechanisms to enable Court to be assured of the quality of the academic provision of the University.

Operation of Court and its Committees

- To oversee and make recommendations for change to the Standing Orders of Court and any other documents relating to the role, conduct, and to the mechanisms for the smooth operation of Court and its Committees.
- To ensure that Court and its Committees operate effectively in a way which exhibits best practice, and to make recommendations for improvement.
- To oversee the induction and training of individual members of the Court.

- To receive reports from the Chair on the key themes and issues raised during the Chair's regular meetings with members of Court, and identify any resulting actions.

Appointments

- To oversee and make arrangements for the advertisement, recruitment and selection of:
 - Members of Court who are not nominated or elected;
 - Any additional lay members to Committees of Court who are not members of the Court.
- To oversee the nomination process of nominated members of Court (where appropriate, in discussion with the relevant nominating body);
- To oversee the election arrangements for elected members of the Court (where appropriate, in discussion with the relevant electing body);
- For its part, and as may be delegated to it by the Court, to oversee and make arrangements for the appointment of the Chairperson of Court;
- To make a recommendation to the Court for the appointment of a Deputy Chairperson;
- To make recommendations for the re-appointment of members of Court who are not nominated or elected, ensuring that account is taken of an individual member's commitment to the work of the Court, their attendance and their performance before a decision on whether to recommend re-appointment is made;
- To make recommendations to the Court for the appointment of Conveners and members to the Committees of Court;
- To make recommendations for the appointment of employer-nominated Trustees to the University of Dundee Superannuation Scheme;
- To ensure due regard is made to accepted principles of equality and diversity in the appointment of members to the Court and in the appointment of members to Committees, and furthermore to ensure that the Court abides by its own statement on equality and diversity;
- To maintain and review a register of interests of members of the Court, to highlight to the Court any material conflicts of interest and to agree mechanisms to manage any highlighted conflict.

Effectiveness Reviews

- To be responsible for the development of arrangements to review annually:
 - The effectiveness of the Court in accordance with the main principles of the Scottish Code of Good HE Governance;
 - The effectiveness of the committees of the Court;
 - The performance of the Chairperson of Court.
- To be responsible for the development of arrangements for the periodic externally-facilitated review of the Court and its Committees in accordance with the main principles of the Scottish Code of Good HE Governance.
- To ensure suitable arrangements are in place for the parallel review of the effectiveness of the Senatus Academicus and its Committees in accordance with the main principles of the Scottish Code of Good HE Governance.
- To review its own remit and terms of reference on an annual basis.

Governance & Nominations Committee (G&NC)
Membership 2018/19

Name	Category for the Purpose of Determining Quorum
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Ronnie Bowie (Convener)	(Lay Member)
Bernadette Malone	(Lay Member)
Lynda Clark	(Lay Member)
Professor Sir Pete Downes	(Ex Officio)
Professor Mairi Scott	(Elected Member)
Jane Marshall	(Lay Member)
Rumana Kapadia	(Nominated Student Member)
Janice Aitken	(Elected Member)

Officers and others in regular attendance:

Name	Role
Dr Neale Laker	(Director of Academic & Corporate Governance)
Dr Jim McGeorge	(University Secretary)
Dr Christine Milburn	(Policy Officer (Corporate Governance) as Secretary to the Committee)
Professor Karl Leydecker	(Vice-Principal (Learning & Teaching))

Quorum 2018/19

The quorum for any meeting shall be four, at least two lay members and one elected/nominated member must be present. Elected/nominated members include both staff and students.

University of Dundee

Modern Slavery Act 2015: Slavery and human trafficking statement

Modern Slavery Act 2015 (the “2015 Act”) requires organisations who meet certain criteria to publish an annual statement outlining the steps taken by the organisation to ensure slavery and human trafficking is not taking place within the organisation or in any of its supply chains.

The University of Dundee is an institution of higher education. Our core purpose is the transformation of lives by working locally and globally through the creation, sharing and application of knowledge.

We are committed to the principles of the 2015 Act and to ensuring that there is no modern slavery or human trafficking in our organisation or in our supply chains.

When entering into business contracts, we do so in accordance with our policies to ensure that our business relationships are conducted in an environmentally, socially and economically sustainable manner.

To identify and mitigate risks, we carry out due diligence on new suppliers. As a part of our procurement process we ask the bidders to accept the [APUC Supply Chain Code of Conduct](#) and, if the contract value exceeds £50,000, also require bidders to complete a European Single Procurement Document which contains specific disclosure requirements in relation to slavery and human trafficking. Using these documents allows us to ensure that our suppliers acknowledge and comply with our values.

We intend to take the following steps to mitigate any risks in our existing supply chains:

- identifying supply chains which we consider most “at risk” in terms of slavery and human trafficking; and
- working with our suppliers to investigate these supply chains to ensure that no issues are present and that preventative measures are in place.

We are as an institution seeking to identify better and practicable processes in our procurement and business operations which will make a real difference in helping combat slavery and human trafficking.

This statement is made pursuant to section 54(1) of the 2015 Act and constitutes University of Dundee’s slavery and human trafficking statement.

For and on behalf of the University of Dundee

[Date]

University of Dundee

Modern Slavery Act 2015: Slavery and human trafficking statement – 2018 Update

Modern Slavery Act 2015 (the “2015 Act”) requires organisations who meet certain criteria to publish an annual statement outlining the steps taken by the organisation to ensure slavery and human trafficking is not taking place within the organisation or in any of its supply chains. S54(4) of the 2015 Act, states that an annual statement is:

(a) a statement of the steps the organisation has taken during the financial year to ensure that slavery and human trafficking is not taking place—

- (i) in any of its supply chains, and*
- (ii) in any part of its own business”.*

Completed Activity

Whilst no specific activity was undertaken on a particular ‘at risk’ supply chain due to resource constraints, efforts to ensure contracted suppliers adhere to the [APUC Supply Chain Code of Conduct](#) continued with all suppliers to new contracts in excess of £50,000 undertaken by the Procurement Team being asked to sign-up to the code as part of the tendering process.

Future Activity

As part of the implementation of the OneUniversity system, the process for adding a new supplier to the system has been re-designed. The revised process will ensure all new suppliers on the system irrespective of contract value will be required to sign-up to the APUC Supply Chain Code of Conduct rather than this being restricted to contracted suppliers. This will ensure all suppliers added to the system are asked to sign-up to the code thereby promoting the code to a wider audience and ensuring all new University suppliers adhere to the social compliance requirements of the code which are in alignment with the Modern Slavery Act 2015.

Following the implementation of the OneUniversity system and any required period of support during the transition to business as usual, it is hoped resource will be available to undertake analysis of ‘at risk’ supply chains. One or more of these supply chains will be identified, and evaluated to ensure procedures exist at all levels of the supply chain to mitigate the risk of modern slavery-related activities being in place.

APPENDIX 7
PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE
(Minute 24(4))

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

Present: Dr William Boyd (Acting Convener);
Catherine Cavanagh;
Rebecca Leiper;
Bernadette Malone;
Dr Alison Reeves;
Dr Jean Robson;
Jay Surti.

In Attendance: Dr Lisa Anderson Head of Organisational & Professional Development (item 10);
Dr Jim McGeorge University Secretary;
Pamela Milne Director of Human Resources & Organisational Development;
Dr Christine Milburn Policy Officer (Corporate Governance);
Julie Strachan Deputy Director of Human Resources & Organisational Development.

Apologies: Professor Nic Beech, Shirley Campbell, Professor Tim Kelly.

1. MINUTES

The Committee noted that subsequent to the discussions reported at its last meeting and consultation with students, the schools had agreed that 100% of monies arising from salary deductions resulting from strike action during the period 22 February to 16 March 2018 should be allocated to the Student Hardship Fund rather than 50% being allocated to the schools as had been proposed.

Resolved: to approve the minutes of the meeting on 24 May 2018 and to note the update provided.

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 the progress updates provided.

The Director of Human Resources & Organisational Development provided members with an update on the outcome of ballots by UCU, Unison and Unite in relation to the 2018/19 pay negotiations. Members noted that the University had not been one of the institutions balloted by Unite and that neither the DUCU disaggregated ballot nor the Unison national (aggregated) ballot had met the turnout threshold, meaning that there would be no strike action or action short of a strike in relation to this issue.

The Committee also agreed that all on-going actions on the log should state the expected completion date, and the Director of Human Resources & Organisational Development undertook to update it.

Resolved: to note the updates provided, and to otherwise approve the action log subject to the inclusion of completion dates where not already provided.

(2) Trends from Annual Promotions Round

The Committee received an update which summarised the outcomes of the University's Annual Review process for academic and research staff in 2017/18. Members noted that the paper provided a summary of the full outcomes, including those which had been outstanding at the time of the previous report, along with an analysis of trends.

The Director of Human Resources & Organisational Development drew members' attention to statistics relating to the gender balance of applications and awards, which was noted to be unusual for the year reported, and members noted that further review and analysis was underway to determine whether the processes followed could be improved. Turning to other trends, members asked that future reports include information on the total population eligible for consideration to provide context to the data and trends presented.

Through discussion the Committee also queried the increase in the number of academic staff on Teaching and Scholarship contracts (T&S) and corresponding decrease in Teaching and Research (T&R) contracts indicated in the trends data. Members noted that this had been influenced by the submission requirements for the upcoming Research Excellence Framework (REF) and was under active discussion in the context of the University Executive Group (UEG) actions relating to REF preparations and school staffing strategies.

Resolved: to note the report and await the 2018/19 report in due course.

(3) Training Completion Targets

The University Secretary updated members on the outcome of the University Executive Group's (UEG) discussions in relation to completion rates for compulsory training modules. The Committee noted that while it was expected that line managers would monitor and ensure the completion of mandatory training, following a review of progress in this area the UEG had decided to implement automatic sanctions for those failing to complete mandatory training within a reasonable period of time (3 months). Members noted that the introduction of sanctions was being piloted in relation to the cyber essentials training modules and that the UEG would provide a wider policy statement on the issue to the next meeting of the Committee. Members also discussed information which would be helpful to managers and acknowledged challenges specifically relating to hourly paid staff.

Resolved: to note the update and to review the policy statement at the next meeting of the Committee.

3. **COMMITTEE OPERATIONS**

The Committee reviewed the Annual Work-Plan and the Remit & Terms of Reference for the Committee. Members suggested a number of additional items for inclusion.

Resolved: to recommend to the Court that it approve the Remit & Terms of Reference for the Committee (annex a), and to otherwise approve the Annual Work Plan.

4. **HR & OD STRATEGIC PRIORITIES**

The Committee received a paper which outlined the vision and key aims of the Human Resources & Organisational Development Directorate in the context of the University Strategy to 2022. Members noted that the poster had been previously shown at a University-wide strategy event and had also been displayed before a meeting of the Court. Through discussion members highlighted the importance of striking the correct balance between the role of the University Executive Group (UEG), the Principal, and Deans/Directors in terms of the leadership of key items such as engagement, and the supporting role provided by the Directorate. In this respect, members highlighted the importance of ensuring that poor performance was effectively managed by line managers.

Resolved: to note the paper.

5. **BUSINESS TRANSFORMATION**

(1) Business Transformation Steering Committee minutes

The Committee received the minutes from the meeting of the Business Transformation Steering Group on 24 August 2018 and 27 September 2018.

Resolved: to note the minutes.

(2) Human Resources & Payroll system

The Director of Human Resources & Organisational Development provided members with an update on progress in relation to the development and implementation of the Human Resources & Payroll element of the OneUniversity system. Members noted that work was progressing well, but currently behind plan with regard to the proposed implementation date of 10 April 2019. The Director highlighted the challenges for the vendor TechnologyOne (T1) in adapting the system to the legislative requirements of the UK, as well as the work of the Business Transformation Team and the significant University resource focussed on the project to date.

Resolved: to note the update.

6. **STAFF SURVEY**

The Deputy Director of Human Resources & Organisational Development provided an update on activities undertaken in response to the staff survey 2017 results. In doing-so she drew members' attention to the cross-university themes and activities to address areas such as 'stress' and 'bullying & harassment' and also provided specific updates in relation to the School of Humanities and School of Dentistry which the Committee had previously taken a particular interest in. Discussions focussed on the importance of evaluating the effectiveness of the actions reported, and members noted that there were plans in place to use targeted 'mini-surveys' to provide a deeper analysis of progress and remaining issues in the areas identified. Members also noted progress in terms of the re-development of the Dignity at Work and Study Policy and Procedures (see also item 13 below), as well as the outcomes of focus group work to date.

Turning to the reports relating to the schools of Humanities and Dentistry, members noted the specific actions taken to date, including direct support for School Executives, enhancements to communications, and focus group meetings with staff. In the absence of the Vice-Principal (Provost), members requested a further paper outlining the key outcomes being envisaged as a result of the actions taken, and indicated a desire for the process to be accelerated.

With regard to the proposed mini-surveys, members encouraged officers to ensure that managers had the tools and resources to respond in a tangible and timely way to any issues identified as a result.

Resolved: to note the updates and await a further report at the next meeting of the Committee.

7. **STAFF RECRUITMENT REPORT**

The Committee received a report which outlined online recruitment and selection activity across application, shortlisting and appointment stages for the period 1 August 2017 to 31 July 2018, including a break-down by job/employment category and protected characteristics. Members noted that as a result of changes implemented to improve the accuracy of the data reported, there was no trend data available, but that this 2017/18 report would now be used as a baseline for future reporting.

The Committee focussed on the data provided relating to protected characteristics. Members highlighted the importance of better understanding any differential success rates and following discussion it was agreed that a further report would be provided to the next meeting focussed on appointments by gender within grades 7 to 10, and setting out the ethnicity data in the context of the wider population.

The Committee was disappointed to note the low number of 16-19 year olds being appointed to posts and, noting that the profile of applications to apprenticeships had changed, asked that consideration continue to be given to opportunities to specifically target this demographic.

Resolved: to note the report and await a paper outlining further analysis at the next meeting of the Committee.

8. ANNUAL HR WORKFORCE REPORT

The Committee viewed the annual analysis of the University's workforce at 1 August 2018. Members were reminded that the report was a 'snap-shot' and not an establishment report, and members therefore noted the limitations of the data presented. The Committee also highlighted the breadth and detailed nature of the report, and indicated that an executive summary highlighting areas which management felt were of importance would be welcomed in future.

Turning to the data presented, the Committee noted the overall staff turnover rate of 8.5%, which seemed relatively high, but was noted to be broadly comparable to the national average. Members also noted the significant number of fixed-term contract appointments, but the Deputy Director of Human Resources reminded them that many of these related to post-doctoral research contracts, and that the overall number of staff on fixed term-contracts had not increased.

The Committee highlighted the increased overall FTE within schools and directorates, and members noted that these were largely linked to growth in student numbers in certain Schools (including Education & Social Work, Nursing & Health Sciences and Social Sciences) and the University's investment in Business Transformation and External Relations. The Committee also noted that the trend analysis indicated an increasing number of tutors and hourly paid staff being employed over the last three years, but that without financial gap-savings data, it was not possible to confirm how many of these related to interim measures taken to cover for staff leaving the University. Members also noted the reported increase in Teaching & Scholarship (T&S) contracts and decrease in Teaching & Research (T&R) contracts, which had been influenced by the submission requirements for the upcoming Research Excellence Framework (REF). This matter was under active consideration by the University Executive Group (UEG) in the context of REF preparations and forward School staffing strategies. Members asked that future reports be expanded to include all protected characteristics.

Through discussion the Committee highlighted the importance of considering the noted staffing increases and trends in relation to the University's financial performance, and members were reminded that HESA data had indicated that the University's ratio of staffing expenditure to total income was proportionally relatively high compared to the rest of the sector. In this respect, members noted that OneUniversity HR & Payroll Business Transformation solution would enable improvement of reporting on staff costs and budgeting. Members also indicated it would be helpful if future reports could provide commentary indicating where the increases in staff were linked to increases in student numbers.

Resolved: to note the report.

9. ANNUAL REVIEW OF STATEMENT OF DIVERSITY ON COURT

The Committee received a copy of the Statement on Diversity on the University Court. Members noted that the Governance & Nominations Committee had reviewed the statement and had agreed that it should be further updated when the guidelines for the implementation of the Gender Representation on Public Boards (Scotland) Act were published to ensure consistency in the language used. Through discussion members felt that the statement should be enhanced to reflect the Court's commitment to diversity across all protected characteristics and suggested a number of amendments in that regard.

Resolved: to note that officers would update the statement for consideration by the Governance & Nominations Committee at its next meeting.

10. OPD ANNUAL REPORT

The Head of Organisational & Professional Development (OPD) presented the OPD annual report which summarised activities and statistics for 2017/18 as well as future developments. In doing-so, she highlighted activities relating to: the professional development programme of events; researcher development activities; organisational development provision, including the development of an Associate Deans development programme; Mentoring, including the success of the mentoring for all pilot programme; and coaching. The Head of OPD also showed members a number of materials being rolled out to support managers in identifying appropriate training for their staff, and booklets such as the 'Resilience in Research' booklet as an important mental health resource.

The Committee was pleased to note a strong alignment to the University strategy, and the breadth of the provision available. Discussions focussed on the 'mentoring for all' pilot, including plans to analyse and expand this provision for future years. Members also highlighted opportunities to use the OD programme cohorts to support coaching and mentoring activities across the University.

The Committee indicated that it would be useful to capture the extent of training activity funded by within schools and directorates as well as through the centralised OPD unit. Members were also pleased to note the emphasis placed on horizon scanning and use of operational plans to steer the focus of provision.

Finally, members noted the challenges posed by staff booking places and failing to attend the courses. The Head of OPD confirmed that the data was in line with the rest of the sector, and that reminders were issued and non-attendance was followed up, but that it remained a frustration for the team.

Resolved: to note the report.

11. **COURT NARRATIVE**

The Committee agreed that the Acting Convener should highlight the following matters to the Court at its meeting on 19 November: the breadth of provision by Organisational & Professional Development (item 10), progress made in relation to the findings of the staff survey (item 6), issues relating to the balance of Teaching & Scholarship and Teaching & Research contracts (item 8), increases in tutor numbers (item 8), and the update on sanctions in relation to mandatory training (item 2(3)).

12. **ORGANISATIONAL CHANGE AND STRATEGIC PROJECTS**

The Committee received a report which detailed organisational change and strategic projects supported by the Human Resources & Organisational Development Team in the period 1 August 2017 to 31 July 2018. Members noted that the reports had been discussed at Collective Consultation and Local Joint Committee meetings.

Resolved: to note the report.

13. **DIGNITY AT WORK AND STUDY POLICY**

The Committee reviewed the revised Dignity at Work and Study Policy and Procedures. Through discussion members noted the route by which the document had been developed and members welcomed the comprehensive approach. Members suggested a number of minor amendments, including making reference to timelines for the process early in the document, ensuring signposting of routes for escalation, and including a date for the next review of the policy.

Resolved: to endorse the policy and procedures to Court for approval, and to recommend that it be reviewed after 2-3 years.

14. **COMMITTEE REPORTS**

(1) Local Joint Committee minutes

The Committee received the minutes from the meeting of the Local Joint Committee on 11 September 2018.

Resolved: to note the minutes.

(2) Equality & Diversity Committee minutes

The Committee received the minutes from the meeting of the Equality & Diversity Committee on 10 September 2018.

Resolved: to note the minutes.

(3) Health & Safety Sub-Committee minutes

The Committee received the minutes from the meeting of the Health & Safety Sub-Committee on 4 September 2018.

Resolved: to note the minutes.

15. **BRITISH SIGN LANGUAGE PLAN**

The Committee considered and endorsed the University's British Sign Language (BSL) Plan 2018 – 2024, which members noted was the University's response to requirements of the BSL (Scotland) Act. Members commended the draft policies and procedures, but highlighted the potentially resource intensive nature of the requirements.

Resolved: to endorse the BSL plan 2018-2024.

16. **RESULTS FROM STRIKE BALLOT**

The Committee received statistics relating to the DUCU ballot for strike action/action short of a strike in relation to the pay agreement for 2018/19. The outcome of which was reported under item 2(1) above.

Resolved: to note the statistics.

17. **WEBSITE**

One member highlighted the importance of ensuring that equality, diversity and inclusion information was readily accessible and following a brief discussion officers undertook to investigate ways in which these pages could be made more prominent from the University homepage.

Resolved: to investigate ways that equality, diversity and inclusion information could be made more prominent from the University homepage.

18. **DATE OF NEXT MEETING**

Resolved: Thursday 31 January 2019.

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE

Remit, Terms of Reference and Delegated Powers

Membership

1. The membership for any given year is set out in the attached schedule. It shall comprise a mix of lay members and staff members.
2. The quorum for any meeting is 50% of the total membership rounded up. The quorum for any given year is likewise set out in the attached schedule. To be quorate at least two lay members and one elected/nominated member must be present. Elected/nominated members include both staff and students.
3. Each meeting of the Committee shall normally be attended by the University Secretary; a Vice-Principal; the Director and Deputy Director of Human Resources & Organisational Development and other officers at the discretion of the Director of Human Resources & Organisational Development in consultation with the Convener.
4. The following skills/experience are particularly valued by the Committee:
 - a. Senior management experience in a complex organisation/public body;
 - b. Experience in the management of Higher Education;
 - c. Knowledge of employment law;
 - d. Specific knowledge and experience of one or more of the following areas: HR; Health, Safety and Wellbeing; Organisational Development; People analytics; organisational change;
 - e. Understanding of trade unions and management within a unionised environment.

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

Proceedings

1. The Committee shall usually meet four times per session and shall report, through the submission of minutes of each meeting, to the next meeting of the Court.
2. The Committee's secretary shall normally be the Assistant Policy Officer (Risk & Audit).

Remit

1. To support the institution's implementation of the University Strategy in relation to its people-related objectives, actions and KPIs and to promote staff welfare;
2. To develop, implement and review principles, policies and procedures on all matters relating to people for all staff employed by the University, and to ensure that these comply with the requirements of relevant employment legislation;
3. To monitor and review all health and safety arrangements within the University affecting staff, students and visitors and to advise Court on statutory and other requirements relating to its responsibilities for health and safety;
4. To advise the Court on statutory and other requirements relating to its responsibilities for equality and diversity;
5. To monitor and evaluate the University's staff development policies and to promote relevant developmental opportunities for staff;
6. To sustain and evaluate an equal opportunities policy for the University and to sponsor programmes of action in support of the policy;
7. To oversee the staff consultative process with the recognised trades unions and to advise the Court accordingly.

Terms of Reference

1. Through agreed performance indicators, the Committee shall monitor the implementation and effectiveness of the People aspects of the University Strategy.
2. The Committee shall evaluate planned strategic interventions to support organisational development and strategic change.
3. The Committee shall consider and evaluate the implications of significant workforce trends within the University, higher education sector and more widely to ensure that the University's approaches reflect best practice.
4. The Committee shall receive the staffing profile of the University on a regular basis and shall monitor this against key Human Resources metrics/analytics (both internal and external).
6. The Committee shall consider risks relating to staff, such as staff retention, and will ensure that controls are in place against these risks.
7. The Committee shall keep under review arrangements for monitoring staff attitudes, opinions and wellbeing.

Delegated Powers

1. To endorse to the Court for approval policies and procedures affecting staff and their terms and conditions including, for example, health & safety, equality & diversity and arrangements to consider grievances and disciplinary issues, etc.

Membership 2018/19**3) Members**

Name	Category for the Purpose of Determining Quorum
Shirley Campbell (Convener)	(Lay Member)
Catherine Cavanagh	(Nominated Member)
Dr William Boyd	(Lay Member)
Professor Tim Kelly	(Elected Member)
Rebecca Leiper	(Elected Member)
Dr Alison Reeves	(Elected Member)
Bernadette Malone	(Lay Member)
Dr Jean Robson	(Lay Member)
Jay Surti	(Lay Member)

4) Officers and others in regular attendance:

Name	Role
Professor Nic Beech	(Vice-Principal (Provost))
Dr Jim McGeorge	(University Secretary)
Pamela Milne	(Director of Human Resources & Organisational Development)
Dr Liz Rogers	(Assistant Policy Officer (Risk & Audit))
Julie Strachan	((Deputy Director of Human Resources & Organisational Development))

Other officers may be invited as required to fulfil the business of the Committee.

Quorum 2018/19

At least four members (taken from 1 above).

**APPENDIX 8
WELFARE & ETHICAL USE OF ANIMALS COMMITTEE
(Minute 24(5))**

A meeting of the Committee was held on 11th July 2018.

Present: The Convener, the Director of Biological Services (DBS), the University Veterinary Surgeon (UVS), one NACWO, one holder of a Home Office licence and two other members.

In Attendance: Assistant to the DBS.

1. MINUTES OF LAST MEETING

The minutes of the meeting held on 17th April 2018 were approved.

2. MATTERS ARISING

Animal use in 2017. The Committee noted that the DBS has informed all project licence-holders that data on the non-regulated use of animals will be collected at the end of 2018 and future years. The Committee also noted that a training resource for hair follicle sampling for genotyping purposes is in preparation.

Risk register. The DBS reported that the new Director of Campus Services was coordinating efforts to mitigate some of the infrastructure risks identified in the register. The member of University Court advised that these risks had been discussed at a recent meeting of the Court.

Training. The DBS reported that he had reminded project licence-holders of their duties to share the contents of their licences, and of their obligations to attend continuing professional development events at the minimum frequency specified by the Committee. The DBS and UVS reported that the first two-year cycle of these events had recently ended, with all current project licence-holders except two having attended at least one event. One licence-holder will not be seeking a new licence when the current one expires in September 2018. The other had mitigating circumstances for not being able to attend the most recent training event, has no present need to carry out regulated procedures and will attend an event before any such procedures re-start.

3. PUBLIC STATEMENT ON THE USE OF ANIMALS

The DBS presented this document, updated to include animal numbers for 2017. The Committee approved this version, subject to some re-formatting of the material and the inclusion of an additional web-site for further reading. The Committee commended the transition of the document to a web-page format, with further information to be added in coming months.

4. REPORT FROM THE UNIVERSITY VETERINARY SURGEON

Standing agenda item. The UVS reported on several matters:

- (a) The UVS had analysed the University's pattern of reporting of actual severities against nation-wide statistics. The fraction of procedures classified in the University as having severities of "Below-threshold" or "Mild" was more than the national figure, perhaps reflecting the fact that the University breeds many lines of genetically altered mice, most of which are used in minimally invasive procedures or for tissue harvest post mortem.
- (b) The porting of "Severe" events by one licence-holder had been analysed in further detail. Some of these had been wrongly assigned, as it was clear that the relevant events were not linked to the regulated

procedures. Of the remaining ones, the incidence had decreased substantially over recent months, most likely because monitoring of the relevant animals had been improved after input from the UVS and unit NACWO.

- (c) The UVS reported that assignment of actual severities on the LabTracks system is incomplete. While this is not a legal requirement, it means that project licence-holders must have an alternative means of recording these data for inclusion in their annual returns of procedures. It also makes analysis of trends by the UVS and NACWOs very difficult. Furthermore, the filing of completion reports at the end of studies was incomplete, with some licence-holders being more assiduous than others. THE UVS will follow up non-returns.
- (d) There had been some interval deaths on a protocol which described these events as possible adverse effects. There had been no discernible pattern to them, but the deployment of this protocol will continue to be monitored closely.
- (e) There had been some issues with oral gavage in one protocol, even though the personal licence-holder was very experienced. The events were marked as "Severe" and reported to the Home Office inspector.
- (f) There had been one unexpected drug toxicity event, which was reported to the Home Office inspector.
- (g) Out of a group of mice that received intraperitoneal injections apparently uneventfully, one was found dead the following morning. As a precaution, the personal licence-holder was re-trained and then re-assessed as competent in this technique.
- (h) There had been some sporadic issues with gut distension in animal in which bleomycin had been instilled intra-nasally. There were no formal literature reports of this adverse effect, but some veterinary surgeons at other establishments had seen similar events. They were reported to the Home Office inspector. The risk of this adverse effect occurring and its likely incidence have been added to the relevant new application for a project licence.
- (i) Another genetically altered mouse line had shown signs of diarrhoea in some individuals. This line will either be re-derived to the highest health-status unit in Dundee or will be discontinued, with animals to be purchased from commercial suppliers in future.

Resolved:

To support the UVS in demanding the submission of completion reports within a reasonable time of studies being concluded, and in requiring the entry of actual severities on the LabTracks colony management system in addition to whatever records the project licence-holders keep.

5 TRAINING

- (a) The DBS and UVS reported that dates have been set for the second two-year cycle of CPD events for project licence-holders.
- (b) The DBS reported that the Dundee ScotPIL course had been delivered recently, in a new workshop format and with a small number of delegates. Initial feedback had been very good.

6 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. The Home Office inspector had not recommended any major revision of applications submitted during that period and after completion of local ethical review processes.

7 ANY OTHER COMPETENT BUSINESS

The convenor thanked the assistant to the DBS for her many years of service and wished her well in her coming retirement.

8 DATE OF NEXT MEETING

3rd October 2018.

APPENDIX 9
WELFARE & ETHICAL USE OF ANIMALS COMMITTEE
(Minute 24(5))

A meeting of the Committee was held on 3rd October 2018.

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

1. MINUTES OF LAST MEETING

The minutes of the meeting held on 11th July 2018 were approved.

2. MATTERS ARISING

None.

3 PROJECT LICENCE APPLICATION WEC2018-18

The Committee discussed this application in private, before inviting the applicant to present their project and to answer questions.

Resolved: To approve the application, subject to the frequency of dosing by gavage being clarified and the non-technical summary being modified to explain the seriousness of the human condition for which animals are to be studied as model systems.

4 PROJECT LICENCE APPLICATION WEC2018-19

The Committee discussed this application in private, before inviting the applicant to present their project and to answer questions.

Resolved: To approve the application, subject to the non-technical summary being re-written to be in truly lay language.

5 PROJECT LICENCE APPLICATION WEC2018-20

The Committee discussed this application in private, before inviting the applicant to present their project and to answer questions.

Resolved: To approve the application, subject to the *expected* adverse effects on the welfare of novel mouse lines to be bred and maintained under a “moderate” severity being specified in the relevant protocol, even if predictions can only be made from the human conditions for which the animals are thought to be good models. The licence should also make explicit that the Morris water maze will only be deployed for animals with apparent good motor function. The non-technical summary should describe the expected adverse welfare effects in animals used as models of human intellectual deficiency.

6 **PROJECT LICENCE APPLICATION WEC2018-21**

The Committee discussed this application in private, before inviting the applicant to present their project and to answer questions. The applicant is a senior post-doctoral worker rather than a Principal Investigator but, as he is very much more experienced in the use of animals in research and will be in a position to manage this part of the laboratory's research programme, the Committee agreed that he is a suitable person to hold a project licence.

Resolved: To approve the application, subject to the immunological protocols being reworked to match current expectations by the Home Office, in particular to separate different immunological "challenges" into distinct protocols.

7 **PROJECT TO BE UNDERTAKEN UNDER A SERVICE PROJECT LICENCE**

The DBS and UVS outlined a proposal to conduct the breeding of mouse lines under a "mild" severity limit, for the purposes of harvesting embryonic and post-natal brain tissue for analysis by a senior scientist. The Committee agreed that there were no significant animal welfare issues and that breeding would be carried out efficiently under the supervision of the DBS and relevant NACWO. However, the Committee was not able to judge the magnitude of the scientific benefit, nor whether the downstream laboratory work could be guaranteed to be completed (the scientist concerned is now working on their own, with no students or post-doctoral researchers). The Committee felt that, if the risk of not completing the envisaged programme were greater than 50%, then it could not be supported.

Resolved: The DBS to write to the Dean of the relevant School to seek assurance that the work will be funded and completed, and that the Dean is satisfied as to its scientific value.

8 **REPORT FROM THE UNIVERSITY VETERINARY SURGEON**

Standing agenda item. The written report from the UVS was discussed.

- (a) The Committee approved a proposal to make "tunnel and cup" capture of mice the preferred method of handling mice in the University.
- (b) The UVS reported that rederivation of mouse lines from the facility harbouring *Klebsiella* was underway. One room had been cleared to allow the re-introduction of rederived stock.
- (c) The UVS reported that two inward shipments of mice had given causes for concern over animal welfare. One appeared to be the result of delays in the actual shipping of animals, once they had been packed into transport crates at the source institution. The unit NACWO had sought an explanation but none had yet been forthcoming. A second event had no apparent cause; the animals appeared to be in reasonable health on arrival but deteriorated very shortly thereafter.
- (d) There were still instances of sub-optimal breeding practices, usually where scientists were trying to keep the number of animals (and the costs) down. Further guidance will be issued, but it does appear that funding agents do not always consider the total number of animals that will have to be bred to generate the cohorts to be used in scientific procedures.
- (e) Three condition 18 reports have been sent to the inspector. Two involved previously unexpected adverse effects and have been addressed to the inspector's satisfaction. The third involved a study that had over-run the allotted period in the project licence, without any additional harm to the animals. The inspector had given permission for the study to be completed and the project licence has subsequently been amended to permit this longer time-frame. Nevertheless, local systems that should have prevented the occurrence had not been followed. The inspector has issued compliance advice to the project licence-holder and the personal licence-holder and has asked for more detailed advice to be given to them by the UVS (this has been done).
- (f) There have been some sudden deaths in a mouse line known to be susceptible to thymic tumours. The line is due to be discontinued and cryopreserved, but the UVS has recommended that a record of the susceptibility and the monitoring that should be applied to reduce the risk of sudden disease-related deaths should be kept, against the day the line might be resuscitated.
- (g) A case of animals being fed an out-of-date batch of high-fat diet has occurred. Investigations of the extent to which the nutritional content might have changed are underway, following which a condition 18 report will be submitted to the Home Office inspector.
- (h) An undergraduate practical class requires the use of intestinal tissue freshly prepared post mortem from guinea-pigs. The animals are purchased a few weeks before being humanely killed for the

practical and are kept in a highly enriched environment. However, the UVS felt that the teaching staff should consider whether the use of freshly prepared tissue could be substituted by a suitable computer model or, if not, whether material prepared from freshly killed mice or rats could be used instead. This would avoid the necessity to purchase and keep animals solely for this purpose.

Resolved: to endorse the adoption of “tunnel and cup” as the default method for capturing mice from their cages, and to incorporate this requirement into the Code of Practice for the Use of Animals in Teaching and Research. The Committee also resolved to discuss the use of animal tissues in undergraduate practicals in more detail at a future meeting.

9 **TRAINING**

Standing agenda item. The Committee endorsed a written report prepared by the Training Coordinator.

10 **REPORT FROM THE DIRECTOR OF BIOLOGICAL SERVICES**

Standing agenda item. The Committee endorsed a written report prepared by the DBS on licensing activity since its last meeting, and noted that the inspector had raised no additional significant issues when recommending project licence applications to be granted.

11 **ANY OTHER COMPETENT BUSINESS**

None.

12 **DATE OF NEXT MEETING**

17th January 2019.

APPENDIX 10

REMUNERATION COMMITTEE (Minute 24(6(i)))

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

<u>Present:</u>	Bernadette Malone (Convener);	
	Richard Bint;	
	Ronald Bowie;	
	Shirley Campbell;	
	Rumana Kapadia;	
	Sharon Sweeney.	
<u>In Attendance:</u>	Dr Jim McGeorge	(University Secretary);
	Pam Milne	(Director of HR and Organisational Development); and
	Dr Christine Milburn	(Policy Officer (Corporate Governance)).

Apologies:

1. RESERVED BUSINESS: NEW PRINCIPAL AND VICE-CHANCELLOR

The Committee received a paper outlining the proposed remuneration package for the new Principal, Professor Andrew Atherton. The Chair of Court reminded the Committee of the remit and parameters set by the Court at the outset of the appointment process, and in particular the desire to appoint an exceptional candidate broadly within the envelope of the remuneration package of the current Principal. The Chair of Court provided members with a brief overview of the process by which the package had been negotiated and went on to outline the resulting options agreed with the incoming Principal.

The Committee was advised that at the time of the meeting the incoming Principal was considering his personal circumstances with regard to membership of the USS. As a result, two possible scenarios were presented to the Committee with regard to remuneration. The first, based on him remaining in the scheme, was for a base salary of £250,000 and outlining a total including USS Employer's Contributions of £295,000 per annum. Members noted that should he instead choose to withdraw from membership of the scheme prior to starting work at the University in January 2019, a second option offered was a base salary of £270,000 and including USS Employer's Contributions to life cover only, bringing the total to £275,650 per annum.

Members noted that the option set out in the contract signed by the new Principal was the one maintaining his membership of USS, and that a letter had accompanied the contract making him aware that he was required to reach a decision on this matter prior to starting his employment on 1 January 2019. In response to questions, the Chair of Court also confirmed that the new Principal understood that any consideration for future increases in salary, beyond the standard cost of living increases which applied to all staff, would be a matter for the Remuneration Committee in the normal way as part of the annual Senior Staff Salary Review for the UEG and other grade 10 staff. Following full discussion, the Committee confirmed that it was satisfied that the package was: (a) comparable to that of the existing Principal; (b) fair and competitive in terms of benchmark institutions, and (c) consistent with the parameters set for the appointment process, before formally approving it as proposed.

Members considered the proposed relocation expenses package, noting that the proposal was for relocation costs of up to a maximum of 2 months' gross salary (£50,000), with the first £8,000 paid without deduction of income tax and with NI contributions paid for by the University in the normal way. The maximum remaining allowance of £42,000 would be inclusive of all tax and NI deductions. Members were satisfied that while the University's standard relocation package was 1 month gross salary, it was not unusual for higher levels to be offered on a case by case basis (for example when recruiting high-profile academic staff).

The Committee discussed its expectations for the use of the funds available, and endorsed the position that, as with all members of staff, the standard University guidelines, policies and processes would be applied to the use of the relocation package, for example the purposes for which it could be used and requirements in relation to the documentation and approval of claims. The Director of Human Resources & Organisational Development confirmed that the time limit for accessing the relocation package would be 2 years, and members noted that the Director of

Human Resources & Organisational Development was to review all claims and ensure that they were eligible for payment.

Turning to other matters related to the contractual arrangements, members noted that other terms and conditions, for example holiday entitlement and sick pay, were in accordance with standard University terms and conditions. The Committee was supportive of an agreement reached by the Chair of Court with the new Principal that he would be permitted to continue to undertake a modest amount of research in his own academic discipline, on the basis that this would be subject to annual review and agreement as part of the Objective Setting and Review (OSaR) process.

Resolved: to formally approve the remuneration package and relocation package as set out in the paper and the text above.

[Secretary's note: Matters relating to the relocation were further discussed at a meeting of the Committee on 19 November 2019.]

2. UNIVERSITY HOUSE

The Committee noted that the incoming Principal had indicated an interest in renting the flat at University House from the University at a commercial rate, and members noted proposals due to be considered by Court for works required to bring the flat up to a habitable condition after being vacant for a period of 10 years.

Following discussion, the Committee was satisfied that the rental arrangement was such that the Principal's leasing of the flat did not constitute part of his remuneration package.

Members noted that the proposals included a second package of works which was designed to renovate and improve the corporate entertainment facilities at University House and to address associated maintenance issues identified within a long-standing condition survey. Members recognized that these required to be undertaken irrespective of the habitation of the flat.

Resolved: for its part, to endorse the proposed package of works to the Court and note the plan for the Principal to rent the flat at University House from the University.

Bernadette Malone
Convener

APPENDIX 11

COMMUNICATION FROM THE SENATUS ACADEMICUS (Minute 28)

COMMUNICATION FROM THE SENATUS ACADEMICUS (Meeting of 10 October 2018)

1. **REPORTING TO COURT**

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

- The work of the main Senate Committees, their priorities for the year and their role in strategic planning and enhancement of the core academic activities in the University.
- The importance of and the benefits derived from, Enhancement-Led Institutional Review.

2. **PRELIMINARY REMARKS**

The Principal introduced Ronnie Bowie (Chair of Court) to Senate and explained that he would be invited to speak to the Report from Court listed on the Agenda.

The Principal welcomed Professor Rory McCrimmon (School of Medicine) and Professor Annalu Waller (School of Science & Engineering) to their first meeting of Senate in their roles as Interim Deans.

The Principal also welcomed the new DUSA Executive members to their first Senate meeting.

3. **MATTERS ARISING**

(i) **Fitness to Practice Policy**

Senate noted that confirmation of approval from the relevant Deans had been received by the Director of Academic & Corporate Governance. Senate also noted that the Policy would now be published on the University's website.

(ii) **Investment in Mental Health & Well-Being Services**

Senate noted that a number of staffing appointments were planned that would enhance the University's mental health and well-being support services following the provision of an increased budget in this area. Members agreed on the need for close co-ordination with DUSA and other staff and student groups.

Senate acknowledged the Principal's own fund-raising efforts and welcomed the success of the Principal's Challenge events that took place at the beginning of the Semester.

Senate noted the Principal's Challenge had been very well-supported by staff and students and a considerable sum had been raised that would help provide some improvements to health and well-being support infrastructure.

4. **PRINCIPAL'S REPORT**

The Principal explained that he had asked the conveners of the main Senate Committees to set out their priorities for the coming year. He noted that following the Senate Effectiveness Review it was important to ensure that the Senate Committees were effectively carrying out the responsibilities that had been delegated to them by Senate.

The Chancellor

The Principal noted that the traditional welcome event for new students held in the Caird Hall had been combined with the installation of the University's new Chancellor Dame Jocelyn Bell Burnell. He explained that Dame Jocelyn's presence had created a very good atmosphere at the event and that the University had been fortunate to have such an inspirational figure as its Chancellor.

Senate applauded the Chancellor's award of the 2018 Special Breakthrough Prize in Fundamental Physics and expressed its admiration of her generous donation of the financial element of the prize to the Institute of Physics to help women, ethnic minority, and refugee students become physics researchers. Senate noted that many students had also expressed their admiration for the new Chancellor on social media.

Student Recruitment

The Principal referred to the positive position on student recruitment that had been achieved at the start of the academic year. He asked Senate to note the distinction between recruitment targets and budgeted student numbers. He emphasised that while it was very encouraging for the University to have met its intake targets, much depended on the relative mix of students by funding category and so the impact on budgets would need to be assessed in the context of income data rather than student intake data. The Principal indicated that the current assessment of the financial outcome was positive and that a full update would be available in November.

Senate noted the very good performance in international student admissions and welcomed the improvement in recruitment, conversion and marketing activity that had supported growth in excess of market levels. Members of Senate agreed that international students were a great academic and cultural asset for the University and suggested that more should be done to celebrate the University's success in developing a rich and diverse academic community.

The Principal drew attention to the very successful Open Day that took place in September and coincided with both the opening of the V&A Dundee Museum and the inaugural Dundee Pride event.

USS Pensions

The Principal also drew attention to ongoing national negotiations on the USS Pension scheme valuation and the Report from the Joint Expert Panel set up earlier in the year. He explained that the JEP had delivered its report in the context of a very narrow window of opportunity for any new proposals to be considered. The Principal explained that the JEP's recommendations, if adopted, would entail increases in member and employer contributions and a significant increase in the level of acceptable risk being signed off by the Regulator.

THE World Rankings

The Principal observed that the University's league table performance remained positive despite the disappointing drop out of the top 200 in THE World Rankings. He explained that it was important to understand why this had happened and to aim to return to a top 200 position. Senate welcomed the indication that the University's position in UK league tables was solid and would form the basis of a realignment of marketing strategy.

People & Prizes

The Principal drew attention to the People and Prizes section of his Report and congratulated the recent graduates of the school of Art & Design who had been chosen to exhibit at the Royal Scottish Academy's New Contemporaries event.

He also noted the European Network of Forensic Science Institutes (ENFSI) accolade received by Professor Nic Daeid, Director of the Leverhulme Research Centre for Forensic Science (LRCFS). Senate noted that Professor Nic Daeid was currently giving expert evidence at the Grenfell Tower Inquiry in London.

Readership & Personal Chairs Committee

The Principal acknowledged that his recent attempt to expedite the circulation of outcomes from the promotion round, while undertaken with the best of intentions, had caused anxiety for some of the staff involved. He

apologised for this and assured Senate that all relevant staff would be receiving direct feedback on their applications in the normal way.

Appointment of Principal

Senate was asked to note that the official start date of Professor Andrew Atherton would be January 1st 2019 and that the University would open for business on January 5th 2019 after the customary holiday closure period.

The Senatus decided: to note the Report.

5. UNIVERSITY COURT

The Senatus received a Report from the meetings of University Court held on 11 June, 2 July and 30 August.

Ronnie Bowie (Chair of Court) introduced the Reports and explained that it was an important personal objective in his role as Chair of the University Court to build effective relationships across the institution, including those between Court and Senate. He recalled that his attendance at previous meetings had revealed a willingness in Senate to do its part to promote effective governance in the University. He noted that it was important for lay members of Court to work hard to appreciate the concerns and priorities of the academic community as a necessary precursor to a complete understanding how Court's decisions might impact on staff and students.

The Chair enumerated a number of instances where the voice of the academic community had been effectively expressed through clear and co-operative communications with Court, including the appointment of the next Principal, the impact of industrial action and the Business Transformation process. He noted that the work to develop the University Strategy and its conception of the University as a high-performance community was an area of particular significance for the Court-Senate interface as between 40-50% of the key deliverables in the implementation of the Strategy would need to be overseen by Senate and its Committees.

Senate noted that there would be an expectation from Court that progress on strategic objectives is considered and reported back so that the governing body could be confident of a shared understanding with the academic community on the future development of the University. The Chair also noted that Court needed Senate, as the body responsible for oversight of the academic work of the University, to report on major academic issues and exceptions to regular business in line with good governance and that work to facilitate effective communication would continue.

Senate was asked to note Court's discussions on the various initiatives on student and staff welfare. The Chair explained that there was now a process underway to map out these initiatives to ensure the most effective delivery of services as well as the efficient use of resources. Senate noted Court's commitment to highly effective student support, mental-health and well-being provision and welcomed its continuing focus on the quality of the student experience.

The Senatus decided: to note the Report.

6. ENHANCEMENT-LED INSTITUTIONAL REVIEW (ELIR 4)

Dr Lesley McLellan (Director of Quality & Academic Standards) introduced a Report on the Enhancement-led Institutional Review.

The Director explained that the report had been produced by QAA (Scotland) in the context of the Advance Information Set and Reflective Analysis submitted by the University in July 2018 and feedback from the Planning Meeting held in September 2018. Senate noted that the Report highlighted areas for further exploration with the visit team in November.

The Director emphasised that the purpose of the Review was to identify areas of good practice as well as the identification of areas for development and enhancement. Senate noted that the Review Team were highly experienced and would be planning to meet with a full range of staff and students during the visit week starting on 19th November 2018.

Senate welcomed the Report and asked that the timetable for the visit week be circulated as soon as possible to facilitate the participation of staff and students. A glossary of the acronyms and abbreviations used in the report was also requested.

Senate welcomed the careful approach to quality and academic standards that was evident in the work to support a successful ELIR outcome. Members agreed that the University had a positive story to tell and had responded well to quality and standards issues affecting the HE sector.

The Principal thanked the Director and her team for their work in seeking to ensure the University had a successful review. He explained that ELIR was a distinctive part of quality assurance arrangements in Scotland and that the focus on continuous improvement rather than competition had served the sector well.

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

7. **LEARNING & TEACHING COMMITTEE**

Professor Karl Leydecker (Vice-Principal, Learning & Teaching) introduced (i) a Report from the Learning & Teaching Committee meeting of 25th September 2018 and (ii) a summary of Learning & Teaching priorities for the year.

The Vice-Principal explained that the Summary Document had been prepared in the context of preparations for the Enhancement-Led Institutional Review and that it would form the basis of a detailed Action Grid. He noted that the Grid would be a dynamic construct that included action items from the University Strategy and from the ELIR outcome report and recommendations once available.

The Vice-Principal noted the potential for a long list of actions to emerge and observed that the Learning & Teaching Committee and Senate itself would need to decide on priorities. He advised that the organisation and management of academic programmes and the need for continuous improvement in student satisfaction (measured by the NSS) were two areas where the University might agree to prioritise action.

Senate noted that the current sector-level Enhancement Theme, Evidence for Enhancement, might provide a way to incorporate work on equality and diversity issues (such as Black and Minority Ethnic student retention and progressions) into the Learning & Teaching Action Plan. The Vice-Principal noted that analysis of the Teaching Excellence Framework (TEF) had not identified any obvious problems for the University in this area.

Senate discussed the need for efficient coordination and standardisation of modules and welcomed the progress made to date and the plans for a comprehensive module catalogue to be delivered through the OneUniversity Business Transformation project in the near future.

Members of Senate welcomed the clear focus on the quality of the student experience that was evident from the work of the Committee. Members noted that student feedback to DUSA indicated a need to provide opportunities for interdisciplinary and transferable skills-based modules across the curriculum.

Senate discussed the need for careful alignment between the Committee's operational action planning and the basket of strategic measures under development, in support of the University Strategy. Members noted that a Red Amber Green (RAG) reporting mechanism could be developed as part of a clear reporting process. Senate agreed that the distinct roles of Senate and Court in monitoring progress towards achieving operational and strategic goals needed to be respected as part of the alignment of reporting mechanisms.

Senate also discussed the Report on Module Evaluation Core Questions that was approved by the Learning & Teaching Committee. Members sought clarification on the timing and methodology of the Module Evaluation Questionnaires. Senate noted that the Committee had agreed to recommend that the evaluation is carried out by students online, in class and before summative assessment grades are available. Senate welcomed the progress made towards comprehensive module evaluation. Members acknowledged some of the limitations of the approach being taken and recognised that other evaluative approaches, such as TESTA, could be considered alongside standard module evaluation where resources permitted.

The Senatus decided: to approve the Report.

8. RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE

Professor John Rowan (Vice-Principal (Research, Knowledge Exchange & Wider Impact)) introduced (i) a Report from the Research & Knowledge Exchange Committee meeting of 18th September 2018 and (ii) a summary of Research, Knowledge Exchange & Wider Impact priorities for the year.

The Vice-Principal introduced the Committee Report by highlighting recent successes in attracting research funding including the high-profile AHRC digital economy collaboration with Abertay University and the University of St Andrews. Senate noted the general increase in levels of overhead bearing UKRI funding.

The Vice-Principal also highlighted the University's sector-leading approach to research governance and open-access publication of clinical trial data and other research outputs.

The Vice-Principal explained that the Committee had been sharpening its focus on the Research Excellence Framework (REF 2021) and he praised the work of the Associate Deans in driving forward the quality agenda through the implementation of the Annual Review of Research in Schools.

Senate was asked to note the work of the REF Steering Group to help establish Unit of Assessment level planning and a REF Personal Circumstances/Equality & Diversity Group. The Vice-Principal emphasised that progress on the "REF journey" had been good but that there were still significant challenges ahead, especially in terms of communication with the research community and the inclusion of the whole University in developing the best possible REF submission.

The Vice-Principal explained that PhD students formed an essential part of the research environment in the University and outlined the plans for a Doctoral Academy to act as a focal point for efforts to increase student numbers and enhance the research student experience. Senate noted that a full business plan for increasing the quality of research degree programmes and the quantity of research degree students (especially those paying full fees) would be prepared by the end of November 2018, for consideration by the University Executive Group in the first instance. Members discussed the complexity of research degree financial sustainability and noted that growing numbers in line with the University's capacity to supervise high quality research and build critical mass would be a priority.

The Vice-Principal outlined the funding opportunities made available through the Global Challenges Research Fund (GCRF) and explained that the University needed to ensure it could respond rapidly to such opportunities with proposals for high quality interdisciplinary research projects. Senate noted the need for better alignment with shifts in the international research agenda and welcomed the proposed investment in research business development support that would help to deliver a more proactive approach.

Members of Senate suggested that a better shared understanding of the research funding landscape and more opportunities for research staff to develop interdisciplinary and collaborative networks would be welcomed.

The Senatus decided: to approve the Report.

9. INTERNATIONALISATION COMMITTEE

Wendy Alexander (Vice-Principal, Internationalisation) introduced a Report from the Internationalisation Committee meeting of 18th September.

Senate was asked to note the revised Remit & Membership and a Strategic Priorities document that had been discussed and approved by the Committee.

The Vice-Principal explained that the Committee's principle objective was to help deliver increases in international student numbers. Senate noted that the Committee also had strategic oversight of transnational education developments, projects to maximise student mobility and the promotion of Academics Abroad, the initiative to support effective academic engagement with international student recruitment and conversion activity.

The Vice-Principal also noted the Committee's discussions on future approaches to EU student recruitment and an exploration of ways to encourage dynamic interaction and integration with the research and learning & teaching agendas as well as to support increases in international distance learning and postgraduate research student numbers.

The Vice-Principal highlighted the need for all parts of the University to promote the International Student Barometer (ISB) survey and encourage a high response rate. Senate noted the University's record of success in the ISB and its importance for maintaining institutional reputation.

The Vice-Principal emphasised that the Committee would help to inform strategic decision making and help shape the debate on the strategic allocation of resources and investment in support of the internationalisation agenda. Senate was asked to note that one of the main areas for debate would be finding a balance between investing academic staff resources in international partnership development and doing so in support of open recruitment of international students.

Members of Senate sought clarification on the relationship between the Internationalisation Committee and the International Deans Operational Committee (IDOC). Members agreed that the focus and responsibilities of the two groups needed to be clearer and that the Associate Deans for (Internationalisation) could help to maintain a close connection between strategic and operational considerations.

Senate also discussed the problems caused by the University's early start to Semester 1 and the consequences for international students who might not arrive in time for welcome and induction events. Members noted that Admissions & Student Recruitment had prioritised the production of Certificates of Acceptance for international students. Members also noted that the University's Academic Calendar was under review with new proposals under consideration.

The Vice-Principal explained that some parts of the University had taken steps to ensure that any late arriving students were offered additional induction and catch-up sessions. Members agreed that all Schools should consider ways of supporting students unable to arrive at the start of Semester, including offering a January start when possible.

International Scholarship Awards

Members of Senate were invited to attend the International Scholarship Awards 2018 event planned for 8th November in the Apex City Quay Hotel.

The Senatus decided: to approve the Report.

10. **QUALITY & ACADEMIC STANDARDS COMMITTEE**

Professor Karl Leydecker (Vice-Principal, Learning & Teaching) introduced a Report from the Quality & Academic Standards Committee meeting of 25th September 2018.

Senate noted that the Committee had been working well and had been effective in its approach to oversight of quality and academic standards. The Vice-Principal highlighted the Committee's discussions on enhancing the processes for considering mitigating circumstances applications, preparations for ELIR and amendments to the Assessment Policy.

Senate also noted the Committee's consideration of Professional, Statutory and Regulatory Body (PSRB) Accreditation reporting.

The Senatus decided: to approve the Report.

11. **SUMMARY REPORTS OF SCHOOL BOARDS**

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

School of Art & Design

Senate noted the visit of representatives from the Sichuan Fine Arts Institute to discuss collaboration opportunities and welcomed the growing international influence of the School.

Senate also noted the School's participation in events to mark the opening of the V&A Dundee Museum of Design.

School of Nursing & Health Sciences

Senate noted the School's discussions on the challenges of operating across all three of the University's campuses. Members noted that targeting of improved communications technology might offer solutions to some of the School's current accommodation issues.

School of Social Sciences

Senate was pleased to note that the Dundee Law School now appeared in the subject-level top 10 in all the major UK league tables. Members noted that a number of the University's Schools and disciplines had also established themselves towards the top of subject-level tables in recent years.

The Senatus decided: to approve the Reports.

12. **GRADUATION TIMETABLE**

CEREMONY	SCHOOL	Total Eligible	Estimated Attending
10am Thursday 15th November	Education and Social Work (Including Skills Hub)	473	225
	Life Sciences	46	10
	Science and Engineering	218	104
		737	339
2.30pm Thursday 15th November	Art and Design	79	37
	Humanities	140	84
	Social Sciences	416	177
		635	298
10am Friday 16th November	Nursing and Health Sciences	450	330
	Dentistry	20	12
	Medicine	236	26
		706	368

13. **PROFESSOR EMERITUS**

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

Lord Naren Patel

14. **ANNUAL QUALITY REPORT TO SFC in AY2017/18**

The Senatus decided: to endorse the Report.

15. **STATUTE & ORDINANCE**

The Senatus decided: to endorse to Court amendments to Statute, Ordinance and Regulations on the appointment of The Rector.