

UNIVERSITY OF DUNDEE
UNIVERSITY COURT

A meeting of the University Court was held on 26 February 2019.

Present: Ronnie Bowie (in the Chair)
Janice Aitken
Principal Professor Andrew Atherton
Alan Bainbridge
Richard Bint
Lord Provost Ian Borthwick
Dr William Boyd
Shirley Campbell
Catherine Cavanagh
Lady Lynda Clark
Rumana Kapadia
Professor Tim Kelly
Rebecca Leiper
Bernadette Malone
Jane Marshall
Dr Alison Reeves
Karen Reid
Dr Jean Robson
Professor Mairi Scott
Sofia Skevofylaka (DUSA President)
Jay Surti
Keith Winter

<u>In Attendance:</u>	Wendy Alexander	(Vice-Principal (International))
	Claire Glancy	(Executive Support Officer)
	Dr Neale Laker	(Director of Academic & Corporate Governance)
	Professor Karl Leydecker	(Vice-Principal (Learning & Teaching))
	Dr Jim McGeorge	(University Secretary)
	Dr Christine Milburn	(Policy Officer (Corporate Governance))
	Pam Milne	(Director of Human Resources and Organisational Development)
	Carol Prokopyszyn	(Director of Finance)
	Wesley Rennison	(Director of Strategic Planning)
	Thomas Veit	(Director of External Relations)

<u>Apologies:</u>	Allan Murray	
	Sharon Sweeney	
	Professor Nic Beech	(Vice-Principal (Provost))
	Professor John Rowan	(Vice-Principal (Research, Knowledge Exchange & Wider Impact))

Prior to the start of the meeting, as part of a newly-initiated rolling programme of presentations from schools and directorates, the Interim Dean and the School Manager of the School of Art & Design delivered a presentation to the Court setting out an overview of the current operation, reputation and vision for the School, and its strengths and specific challenges.

32. MINUTES

Minutes of the Meeting of Court on 19 November 2018

The Court decided: to approve the minutes of the Court on 19 November 2018, including the reserved business minute (Minute 19).

33. MATTERS ARISING

(1) Action Log

The Court considered the action log and noted the updates provided. The Chair drew members' attention to a short report provided by the Dundee University Students' Association (DUSA) President with regard to the exploration of areas where DUSA and the University could enhance their partnership to the benefit of the student experience. Members welcomed the update and progress made and noted that a full report would be provided to the Court at its meeting on 30 April 2019.

The Court also noted that the Privy Council had approved changes to Statute 4 (The Rector) as previously approved by the Court at its meetings on 30 August and 19 November 2018 (**Appendix 1**).

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

(2) Vice-Principal (Learning & Teaching) (Minute 16(6))

The Court was invited to formally note the appointment of Professor Lynn Kilbride (Dean of the School of Nursing & Health Sciences) as Interim Vice-Principal (Education) effective from 1 March 2019. Members were advised that Dr Linda Martindale had subsequently been appointed as Interim Dean for the School of Nursing & Health Sciences.

Turning to the substantive appointment, the Court was supportive of the change in title from Vice-Principal (Learning & Teaching) to Vice-Principal (Education) on the basis that it reflected the broader nature of the role at the University.

The Court decided: to formally note the appointment of Professor Lynn Kilbride as Interim Vice-Principal (Education) effective from 1 March 2019, in accordance with powers previously delegated to the Appointing Committee by the Court.

34. UPDATE FROM THE PRINCIPAL

The Principal outlined to the Court his initial reflections after joining the University on 1 January 2019, which members noted were being informed by an on-going programme of visits to schools, directorates and DUSA. He told the Court that in his opinion the University did not always fully appreciate its own areas of excellence, and that external recognition was also below what would be expected on the basis of the University's clear quality and strengths.

The Principal highlighted five areas of particular strength for the University: teaching excellence; research excellence (and the balance between these); the sense of identity across each of the three campuses; the University's location at the heart of the city of Dundee, and the opportunity for it to grow its links within the community; and the embedding of innovation and impact through engagement. He drew members' attention to the potential opportunities arising from the combination of these strengths.

The Principal also outlined what he saw to be the four key challenges facing the University. With regard to financial sustainability, the Principal focussed on the need to address the deficit through means other than just unregulated student recruitment, which he told members had over recent years been exceptional in relation to the market and competitors. He also advised the Court of the importance of reviewing productivity and efficiency alongside new and more diversified areas for income generation. Turning to research, the Principal highlighted the University's ambition to remain a research-intensive university of the highest quality, and he outlined challenges relating to maintaining grant income levels, and optimising returns to the REF 2021. The third area highlighted related to the importance of building the University's reputation, and the Principal outlined both short and long-term aspirations in this respect. He also highlighted the University's physical environment (estate), in particular with regard to strategic investment and maintenance needs, and its impact on both student experience and University reputation, as a significant challenge. The Principal told the Court that investments needed to be tailored to achieve the maximum possible return in terms of finance, academic excellence and reputation.

The Court thanked the Principal for sharing his reflections and members agreed that Court business should be structured in a way which supported the consideration of these issues, including early engagement with individual proposals at a concept stage, and regular input through to final proposals for approval.

Discussions focussed on matters relating to the University's reputation, and members noted that that going forward the University planned to broaden its activities beyond the understandable initial focus on student recruitment to support the University's aspirations on a global scale. Turning to communications, the Court was pleased to note that the Principal's approach to internal communications was also being actively developed beyond the initial programme of school and directorate visits.

The Court decided: to thank the Principal for his update.

35. UNIVERSITY OF DUNDEE SCHOOL OF BUSINESS

Secretary's note: The Deputy Chair of Court, Bernadette Malone, informed the Court of a family relationship which might be a potential source for a conflict of interest. Members noted that, in this case, there was no conflict of interest in her participation in the item. Rebecca Leiper highlighted her role as School Manager for the School of Social Sciences.]

The Court received a paper from the University Executive Group which sought in-principle approval for the establishment of the School of Business as a tenth school within the University's organisational structure. Members noted that this would be subject to the consideration of further information relating to the academic, financial and business planning of the proposed School, and the consequent impact on the School of Social Sciences at the meeting of the Court on 30 April 2019.

In introducing the item, the Principal highlighted the outstanding student growth within the University of Dundee School of Business since its creation within the School of Social Sciences, and members noted that at the time of its inception there had been a clear understanding that successful performance would lead to it spinning out to form an independent school. Members were also advised that an independent Business School was the normal model for the sector and was vital to achieving necessary levels of external accreditation and maximising REF performance, as well as in the recruitment of a high calibre leader for the School in line with the University's aspirations. The University Secretary drew members' attention to the in-principle approval given by the Senate (see also minute 43) and the strength and long-term sustainability of the other areas of the existing School of Social Sciences. He advised members that a Working Group, chaired by the Vice-Principal (International) had been formed to take forward the further development of proposals to Senate and Court. Members also noted that, subject to the approval of the Court, officers would begin the process for recruitment of a Dean for the new School of Business in parallel with the recruitment of a Dean of Medicine and a Dean of the School of Art & Design to enable the University to maximise the impact of the advertising and to ensure that the project was not subject to unnecessary or detrimental delays at a crucial time. In response to questions the University Secretary confirmed that the appointment process would be subject to formal approval of the establishment of a Business School by the Court in June.

Discussions focussed on the future aspirations for the School of Business, and members provided feedback on matters which the Working Group would need to consider in the development of the proposal and full business case. Members were reassured to note that the plan would take account of strategic and operational risks and costs, and would look to maximise the unique strengths and opportunities for the University in this area. Members also noted that an initial assessment of academic performance, student numbers, income and financial contribution indicated a viable future for both a separate Business School, and the School of Social Sciences.

The Court decided: to approve in principle the establishment of the School of Business as a tenth school within the University's organisational structure, subject to more detailed proposals in relation to the academic, financial and business planning of the proposed School and consideration of the associated impacts on the School of Social Sciences being brought to the Court at its meeting on 30 April 2019 for approval, and any further approvals as necessary at the meeting on 24 June 2019.

36. 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.

37. CHAIR'S REPORT TO COURT

The Chair of Court introduced his regular update to the Court. In doing so he highlighted upcoming meetings of the Committee of Chairs of Scottish University Courts and the Committee of University Chairs.

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

38. PRINCIPAL'S REPORT TO COURT

The Court received a report from the Principal outlining sectoral and strategic matters of relevance to the business of the Court (**Appendix 2**). In doing so he drew members' attention to management arrangements for dealing with issues relating to Brexit, which were set out elsewhere on the agenda (see minute 40). Through discussion members noted that the position regarding funding for EU students beyond 2019/20 entry was unclear, and that this presented a challenge to recruitment activity which was already underway for 2020/21 entry.

The Principal drew members' attention to the Scottish Government's financial settlement for the HE sector, which represented a net reduction of 1.79% to the total funding available to universities. The Court was interested to note the SFC proposal to provide short courses to upskill people in response to economic need, but disappointed that this initiative would come at the expense of existing support for taught post-graduate activity.

The Principal highlighted to the Court the UK government's Review of Post-18 Education and Funding in England (the 'Augar Review'), which members noted would include a review of University Funding and Student Financing. The Principal drew to members' attention the potential implications for the Scottish HEI sector of any recommendations relating to student fees in England. Members noted that the outcome of the review was due for publication before the next meeting of the Court.

Members noted the update provided on student recruitment for 2018/19 entry, and the Principal drew attention to the outstanding nature of the University's performance relative to the sector in a challenging market. In particular members acknowledged the strong performance of the External Relations Directorate following investment in this area, as well as the work of staff across the institution in driving recruitment and maintaining the quality of the student experience.

Members were advised of proposed Scottish Funding Council (SFC) reductions to the number of Rest of UK (rUK) student places within controlled numbers in the School of Medicine and a compensatory increase in places for Scottish students. In particular, members noted that the manner in which the reductions had been applied disproportionately affected the University of Dundee due to its lower overall rUK numbers in Medicine; and that this might impact on the University's ability to recruit rUK students more generally from schools in England because the availability of places in Medicine often provided a 'route in'. Members noted that the University would continue to raise the matter with the SFC, but that initial approaches had not been successful.

With regard to the University & College Union (UCU) ballot in respect of the national dispute relating to 2018/19 pay negotiations, members noted that the threshold required to achieve a mandate for strike action had not been met across the UK.

In response to questions regarding Key Performance Indicator (KPI) reporting to the Court, the Director of Strategic Planning outlined the timeline of recent reports, and drew attention to the dashboard which offered a dynamic insight into performance. Members were keen that targets were considered in the near future and looked forward to the next formal report.

The Court decided: to note the report

39. **INTERIM QAA ELIR REPORT**

The Court received a copy of the QAA Enhancement Led Institutional Review (ELIR) interim report. The University had been invited to review the draft with a view to correcting any factual inaccuracies, and at the same time had commissioned an internal review in relation to recommendations that had been made in the area of collaborations. The Vice-Principal (Learning & Teaching) confirmed that the University welcomed the QAA report, drew attention to the significant number of commendations within it, and indicated that the recommendations had been made in the spirit of enhancement and would be taken forward.

The Court noted that the University would be required to indicate to the QAA how it planned to respond to the issues raised in the report and to give an account of the actions it had taken as a result one year after its publication. Members discussed the potential for the internal auditors to be engaged at some stage, if appropriate, to give the Court assurance in relation to the recommendations and mitigating actions taken, and members noted that the Interim Vice-Principal (Education) would update the Court in due course with regard to the response to ELIR and resulting recommendations.

The Court decided: to note the report.

40. **BREXIT**

The Court considered a paper which set out management arrangements in place for dealing with issues and potential risks relating to Brexit. A Brexit Oversight Group was meeting on a weekly basis to review preparedness. Members welcomed the update and highlighted opportunities for the University to coordinate with similar activities being undertaken by the Tayside Resilience Group and NHS Tayside. Discussions focussed on the impact on staff and students from the EU, and members were pleased to note that the University continued to focus its communications on these aspects. In response to questions the Director of External Relations confirmed that the University's approach to communications would be kept under review by the University Executive Group (UEG), and officers undertook to recirculate the most recent email to staff and students to the Court for information.

The Court decided: to note the report.

41. COMMITTEE REPORTS

(1) Audit Committee

(a) Report of the Committee's meeting on 22 January 2019

The Convener of the Audit Committee provided members with an overview of discussions at the meeting of the Committee on 22 January 2019 (**Appendix 3**). In doing so she drew members' attention to the internal audits relating to GDPR, for which the University was considered to be ahead of the sector, and Health & Safety, including training, processes and culture. The Convener in particular highlighted improvements made in relation to health and safety practices and culture.

The Court decided: to approve the report.

(b) Reserved Business: Minutes 6 and 7 of the meeting on 22 January 2019

The Court received minutes 6 and 7 of the meeting of the Audit Committee on 22 January 2019. The minutes were considered to be reserved business and the University claimed exemptions in sections 30(b), 30(c), 33(1)(b) and 38 of the Freedom of Information (Scotland) Act 2002. The minute will be included as an appendix to the minute of the Court meeting at which its release is approved.

The Court decided: to approve the report.

(2) Finance & Policy Committee

(a) Report of the meetings on 11 December 2018 and 5 February 2019

The Convener of the Finance & Policy Committee provided members with an overview of discussions at the meetings of the Committee on 11 December 2018 (**Appendix 4**) and 5 February 2019 (**Appendix 5**). In introducing the minutes the Convener highlighted discussions relating to future student accommodation requirements, growth in student numbers, and rising pension costs, with discussions focussed on long-term financial planning.

The Court also noted the Committee's review of school contributions and the presentation from the Vice-Principal (Research, Knowledge Exchange & Wider Impact) in relation to REF 2021 planning and research efficiency. Members agreed that maximising the REF return was a priority for the University, but also stressed the importance of ensuring an appropriate balance between research and teaching within schools and at an institutional level.

The Court decided: to note the report.

(b) Reserved Business: Minute 8(1) of the meeting on 11 December 2018

The Court received minute 8(1) of the meeting of the Finance & Policy Committee on 11 December 2018. The minute was considered to be reserved business and the University claimed exemptions in sections 30(b), 30(c), and 33(1)(b) of the Freedom of Information (Scotland) Act 2002. The minute will be

included as an appendix to the minute of the Court meeting at which its release is approved.

The Court decided: to approve the report.

(c) Reserved Business: Minute 9(1) of the Meeting on 5 February 2019

The Court received minute 9(1) of the meeting of the Finance & Policy Committee on 5 February 2019. The minute was considered to be reserved business and the University claimed exemptions in sections 30(b), 30(c), and 33(1)(b) of the Freedom of Information (Scotland) Act 2002. The minute will be included as an appendix to the minute of the Court meeting at which its release is approved.

The Court decided: to approve the report.

(3) Governance & Nominations Committee

The Court received a report from the meeting of the Governance & Nominations Committee on 5 February 2019 (**Appendix 6**). The Convener outlined key aspects of the Committee's discussions, including its consideration of recommendations arising from governance reviews elsewhere in the sector. In this respect members noted that the officers had undertaken to develop a draft resilience plan to guide the Court during any circumstances where there was discontinuity in senior management. The Convener also highlighted the review of the first Annual Public Meeting of the Court, and the Committee's discussions regarding further/future events.

The Court noted the Committee's review of the completion of mandatory training modules by members of the Court, and the Chair highlighted the importance of reaching 100 % compliance.

The Committee also recommended to the Court revisions to the Court Statement on Diversity.

Finally, the Convener drew members' attention to the Committee's preliminary discussion of the format of, and arrangements for, the Quinquennial Review of the Effectiveness of the Court. The Court approved the proposals set out and members were asked to indicate to the University Secretary their interest in serving on the Review Group.

The Court decided:

- (i) to approve the Court Statement on Diversity;
- (ii) to approve proposals for the Quinquennial Review of the Effectiveness of the Court and ask members to indicate their interest in serving on the Review Group to the University Secretary; and
- (iii) 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 31 January 2019 (**Appendix 7**). In introducing the report, the Convener outlined the detailed and extensive nature of the Committee's discussion of items on its agenda. She highlighted the Committee's review of the Health, Safety & Welfare Annual Report and the Health & Safety Policy, outlining areas where the Committee had indicated further attention was required. Officers outlined relevant processes and actions undertaken in relation to these matters, and discussions focussed on areas where the provision and presentation of information could be improved. In concluding discussions members noted that the Audit Committee was satisfied that appropriate processes were in place in relation to health and safety matters.

The Court commended the approach taken to addressing areas identified for attention within the Staff Survey.

The Court decided: to approve the report.

(5) Remuneration Committee

(a) Report of the meetings on 19 November and 11 December 2018

The Court received the report from the meetings of the Remuneration Committee on 19 November (**Appendix 8**) and 11 December 2018 (**Appendix 9**). With regard to the November meeting, members noted that the Convener had provided a verbal update at the meeting of Court on 19 November 2018. Turning to the minutes of the December meeting, the Court noted the Committee's focus on identifying and implementing best practice in relation to remuneration. In this respect members noted that the Committee would further consider the framework for consultation with staff and students after its meeting on 21 March 2019, at which time the Committee would undertake training designed to support members in discharging their duties and reviewing existing practice.

The Convener drew members' attention to the full year expenditure approved by the Committee during the 2018/19 remuneration round, which at £85k for the full year was noted to be substantially below the £140k budget set by the Court. Members noted that there had been an increase in applications from, and awards to, women and Court suggested that it would be valuable for future reports to include an analysis of applications and awards relative to other protected characteristics, along with a trend analysis for awards by school/directorate.

The Court decided: to approve the report.

(b) Remuneration Committee Annual Report

The Court received the annual report from the Remuneration Committee (**Appendix 10**), which outlined the Committee's activities and decisions over the previous 12-month period, and the context for those decisions. In doing so the Committee provided assurance to the Court that its decisions were properly

informed by relevant data and had been made in line with existing policies approved by the Court.

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

(6) Welfare & Ethical Use of Animals Committee

The Court received the minutes from the meeting of the Welfare & Ethical Use of Animals Committee on 17 January 2019 (**Appendix 11**).

The Court decided: to approve the report.

42. **SFC OUTCOME AGREEMENT: DRAFT AGREEMENT 2019/20 – 2021/22**

The Court received a copy of the University's Draft Outcome Agreement for the period 2019/20-2021/22. Members noted that the document was subject to amendment following discussion with stakeholder groups and the SFC, and that the final version would be provided to the Court for approval at its meeting on 30 April 2019. In particular the Court discussed the Research Postgraduate (RPG) recruitment targets and noted that this remained a strategic priority for the University.

The Court decided: to approve the Agreement in principle.

43. **NARRATIVE FOR THE SENATE**

The Court highlighted to the Senate its discussions relating to: the School of Business, and the Court's support for the criteria outlined by the Senate (minute 35); Brexit (minute 40); the importance of health and safety policies, processes and mandatory training (41(4)); and the ongoing desire to work closely with the Senate on strategic matters.

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

44. **REPORT FROM THE MEETING OF THE SENATUS ACADEMICUS**

The Court received reports from the meetings of the Senatus Academicus on 28 November 2018 (**Appendix 12**) and 30 January 2019 (**Appendix 13**) and members noted in particular the Senate's consideration of proposals relating to the School of Business (as noted in minute 35 above). The Court also reviewed the Senate's debate of school staffing strategies and the workload allocation model, and in particular matters relating to the use of Teaching & Research (T&R) and Teaching & Scholarship (T&S) contracts. Members noted that the matter had also been discussed at by the Finance & Policy Committee, and the Principal undertook to provide an update in his next report to the Court.

The Court decided: (i) to approve the recommendations concerning the conferment of the title of Professor Emeritus upon Professors Mary Renfrew and Martyn Jones; and

- (ii) approve the recommendations concerning the conferment of the titles of Professor Emeritus and Principal Emeritus on Professor Sir Pete Downes; and
- (iii) otherwise to note the report.

45. AHSP BOARD MINUTES

The Court received the minutes of the AHSP Board meeting held on 30 October 2018.

The Court decided: to note the minutes.

46. STAFF COUNCIL MINUTES

The Court received the minutes of the Staff Council meeting on 21 November 2018, and noted the questions posed at the meeting which related to financial sustainability, staff recruitment, business transformation, communications and the Principal's retirement.

The Court decided: to note the minutes.

47. NINEWELLS CANCER CAMPAIGN REPORT 2018

The Court received the annual report from the Ninewells Cancer Campaign which set out the donations and legacies pledged over the previous 12-month period, along with the focus of expenditure from the fund during the same period.

The Court decided: to note the report and congratulate the campaign on its fundraising achievements.

48. RESEARCH GOVERNANCE & POLICY SUB-COMMITTEE: ANNUAL REPORT

The Court received the annual report from the Research Governance & Policy Sub-Committee, which summarised the activities of the Sub-Committee for the 2017/18 academic year including policy review, alignment with the UK Concordat to Support Research Integrity and a statement on formal investigations.

The Court decided: to note the report.

49. RESPONSE TO INDEPENDENT TEF REVIEW

In accordance with the requirements of the Independent TEF Review, the Court was asked to approve the principles in the draft response before its online submission.

The Court decided: to approve the principles in the draft response.

50. **STAFF**(1) Professorial and Grade 10 Appointments

The Court noted the appointment of the following staff:

Professor José Fiadeiro	Dean of the School of Science & Engineering	1 August 2019
Professor Lynn Kilbride	Interim Vice-Principal (Education)	1 March 2019
Professor David Pontin	Personal Chair of Fluid and Plasma Modelling. School of Science & Engineering	1 October 2018

The Court decided: to note the appointments.

(2) Grievances, Appeals and Hearings

The Court decided: there were no matters to report.

51. **VICE-PRINCIPAL (LEARNING & TEACHING)**

The Court noted that the Vice-Principal (Learning & Teaching), Professor Karl Leydecker was attending his last meeting of the Court. The Court took the opportunity to reflect on his significant contributions during his tenure at the University and to wish him well in his future endeavours. The Chair highlighted in particular improvements to management information provided to the Court, the Vice-Principal's contribution to the University's TEF Gold award, ELIR outcomes, and focus on the student experience. Members also noted the importance of his commitment to engagement with staff and students across all of the University's campuses. In response, Professor Leydecker paid tribute to the contributions of colleagues and students and wished the University well for the future.

Mr Ronald Bowie
Chair of Court
University of Dundee

APPENDIX 1

**AMENDMENT TO STATUTE 4
(Minute 33(1))**

1. *Delete Statute 4 and substitute:*

“Statute 4 - The Rector

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

APPENDIX 2

PRINCIPAL'S REPORT (Minute 38)

1. Key areas of focus for my first months as Principal have been internal engagement and communication, and considering immediate and medium-term priorities for the University. I look forward to advising of key developments at the meeting of Court. A full schedule of UEG business from November 2018 has been included (annex a).
2. This report provides an update on sectoral change and internal strategic and operational matters of relevance to the Court. It also highlights University of Dundee staff and student achievements which will be of interest to the Court in their ambassadorial capacity.

Sectoral Update

3. **Brexit.** Brexit continues to be a key consideration for the University, as it is for the wider Higher Education sector. As you will note from, the University is reviewing and planning for the possible scenarios and will inform the Court as developments arise. In line with the University's commitment to valuing people, providing EU staff and students with support and advice is of the utmost importance and a communication to this effect was issued to staff on 6 February.
4. **External Partners and Organisations.** I attended the Universities Scotland Main Committee and the Universities Scotland (US), Scottish Funding Council (SFC) and Scottish Government (SG) Liaison Committee meetings in January. Significantly, the Liaison Committee meeting was chaired by the SFC's new CEO Karen Watt. The SFC outlined their intentions for implementation of the Scottish Budget Funding settlement next year, including a proposal to enable universities to provide short courses to upskill people in response to identified economic need. However, this proposal comes at the expense of existing support for taught postgraduate activity. Overall the sector again faces reduction in funding and it is evident that institutions must unite to present a strong sectoral response to cuts.
5. **Pay Negotiations.** As previously advised, the University received notification of a University and College Union (UCU) UK-wide aggregate ballot in respect of the national dispute relating to the 2018/19 pay negotiations. The ballot closes on 22 February 2019 and so an update on the outcome will be provided at the meeting of Court. In parallel, the Universities & Colleges Employers Association (UCEA) has begun consultation on the national pay award for 2019/2020 and the University will submit an initial response before national negotiations with trade unions commence at the end of March.
6. **Pension Matters.** As noted at the meeting of Finance & Policy Committee on 5 February, the consultation period for the Universities Superannuation Scheme (USS) 2017 valuation has now closed and we are awaiting a decision from the Trustees. The Trustee proposal is to complete the 2017 valuation while concurrently addressing the recommendation of the Joint Expert Panel (JEP) by carrying out a new valuation as at 31 March 2018, effectively creating a backstop position.
7. Trustee proposals in respect of the March 2018 valuation refer to 'bookends' (upper and lower limits of contribution). The lower bookend proposes that employers pay lower contributions but with contingent support which ultimately requires employers to accept more risk. The upper bookend option requires employers pay a higher contribution but would not require contingent support.
8. We are monitoring changes in this area carefully and undertaking work to quantify risk and plan for any mitigating actions but it should be noted that both options will result in significant additional cost.
9. Following the recent Guaranteed Minimum Pension ruling, the University is also in discussion with Trustees around modelling costing in respect of the University of Dundee Superannuation and Life Assurance Scheme.

Internal Strategic and Operational Matters

Senior Staffing Appointments.

10. **University Executive Group.** Professor Karl Leydecker will take up the position of Senior Vice-Principal at the University of Aberdeen from 1 March 2019. I am certain the Court will wish to commend Karl in person for his significant contributions to the University during his time here. In line with agreement from the Court, and following an internal advertising and recruitment process, Professor Lynn Kilbride (currently Dean of the School of

Nursing & Health Sciences) has been appointed as interim Vice-Principal (Education). Lynn has extensive experience of developing, delivering and quality assuring healthcare curricula at home and overseas. Her expertise and drive will be valuable in furthering the University's wider education strategy.

11. Applicants for the substantive post of Vice-Principal (Education) are now being shortlisted by the appointing Committee, which includes Court representatives Dr William Boyd and Jay Surti, with interviews scheduled at the end of March. The new title, Vice-Principal (Education), is in recognition of the fact that although teaching and learning continue to sit at the heart of the role, the post also has a wider focus on areas such as digital strategy, employability and student retention that are critical to achieving our strategic goals.
12. **Schools.** Professor Jose Fiadeiro has been appointed as the new Dean of Science & Engineering from August 2019. Jose is currently Head of the School of Computer Science, Information Security & Mathematics, and Dean of the Faculty of Science at Royal Holloway University of London. I have no doubt that his extensive experience and knowledge will reinvigorate the leadership of the School and strengthen its strategic direction.
13. Professor Paul Harris has stepped down after 5 years excellent service as the Dean of Art & Design, with Professor Jeanette Paul acting as interim Dean of School until the end of the academic year. In addition to recruiting for this position, the University will also be advertising for a permanent Dean of the School of Medicine, and subject to the approval of Court, the School of Business. The University intends to pursue a coordinated approach to advertisement of these three positions.
14. **Student Recruitment Update.** Student numbers for 2018/19 will be finalised next month and a full report provided at Finance & Policy Committee on 26 March 2019. Initial figures from our semester 2 recruitment are very encouraging, overall remaining within budget contingencies and showing impressive growth in some areas.
15. For the 2018/19 undergraduate student intake, the University has exceeded or met targets set in respect of non-controlled Home/EU undergraduate and undergraduate non-controlled overseas recruitment; SFC Outcome Agreement SIMD20 recruitment; and controlled undergraduate recruitment, with the exception of the overseas target for Medicine and Dentistry. RUK uncontrolled undergraduate recruitment has fallen short of target despite achieving growth from 2017/18 in a challenging RUK market.
16. For the 2018/19 postgraduate student intake, the University has exceeded targets for overseas taught postgraduate recruitment and is on track to meet targets in respect of Home/EU research postgraduate recruitment. Overseas postgraduate recruitment is on-going and we will continue to monitor progress on this. Recruitment for Home/EU taught postgraduate courses has fallen below target, as has recruitment for International College Dundee and consideration is being given to additional conversion and recruitment activity that could be undertaken in anticipation of 2019/2020.
17. Trends for 2019/2020 suggest continued growth in student numbers, especially in undergraduate overseas recruitment, which will bring additional income. However, RUK recruitment remains a challenge for the University, as it is across much of the Scottish sector and there remains uncertainty around the future funding position of EU students post-Brexit. We will continue to monitor student recruitment closely and benchmark results against the sector wide data, such as the Higher Education Statistics Agency 2018/19 student statistics published on 14 February.

Engagement and Awards

Stakeholder Engagement.

18. **Engagement Events.** The University's annual Discovery Days were held in January and provided opportunity to showcase our world class research and outstanding senior academics to a diverse audience. We also held our first Public Stakeholder meeting of Court. The event was well attended, particularly by University staff. We intend to continue to develop these sessions and aim to increase external stakeholder attendance to reflect the University's connection to its community and city and to further expand our network.
19. **School Visits.** As part of my approach to communication in the University, I spoke at a series of staff Q&A sessions in January and will be visiting each School and Directorate over the coming months to continue to get to know staff and the University and to better inform future decision making.
20. **Rector.** The Dundee University Students' Association (DUSA) have announced that Jim Spence, a Scottish sports broadcaster and University of Dundee law graduate has been elected unopposed as our new Rector from 1 August 2019. We look forward to engaging with Jim on student matters when his term of office begins and to thanking Mark Beaumont for his service in the role.

21. **People and Awards.** A list of awards and accolades won by staff and students since the last report to Court is included in annex b and annex c. However, I would particularly like to mention Professor Mike Ferguson, Regius Professor of Life Sciences at the University, who was awarded a knighthood for his services to science in the New Year Honours List. Professor Ferguson is one of the UK's most eminent life scientists, helping to build the Drug Discovery Unit (DDU) in the University's School of Life Sciences which has attracted over £75 million of investment. The DDU works with international health agencies and pharmaceutical companies to combat diseases such as Chagas' disease and tuberculosis.

University Executive Group Meetings

Since the last Principal's report to Court, the University Executive Group has met formally on 21 November, 5 December, 19 December, 16 January, 23 January, 30 January and 13 February. The following items were considered:

1. CORPORATE ISSUES

- Business Transformation Update
- Procurement Policy
- Ranking data and HESA data futures
- Institutional Risk Register and Risk Management Oversight Group Report
- Strategy Performance Measures Rollout
- Development of the Estates Strategy
- Emergency Phone App for Incident Response
- UKVI Audit

2. FINANCIAL ISSUES

- Review of the Financial Year
- Budget setting principles and planning
- University Strategic Innovation Fund
- Tay Cities Deal
- SFC Outcome Agreement Target Setting
- Treasury Ethical Investment Policy
- Travel and Expenses Policy
- Intellectual Property Management

3. ACADEMIC MANAGEMENT ISSUES

- Workload Allocation Model
- REF 2021 Strategy
- Enhancement-led Institutional Review
- Doctoral Academy
- Academic Data Capture Software Proposal
- University of Dundee Business School

4. HUMAN RESOURCES ISSUES

- Senior Staff Appointments
- Performance Management
- Teaching & Research and Teaching & Scholarship Staffing Strategies
- Pension Matters
- UCU Ballot
- Absence Management
- Annual Report on Grievances, Hearings and Appeals
- Health and Safety/ Mandatory Training
- EU Settled Fee Status

Major Grants and Awards

The following selection of Grants and Awards demonstrates the wealth of research undertaken across the University and the range of funding sources, which include research councils, charities and industrial sponsors.

Since the last report to Court in November 2018, £22,018,410 (including overhead) of research and related awards has been processed by the University of which the below forms only a part. Please note that any joint awards listed below state the University of Dundee value only.

Research Awards > £1 million

Professor IH Gilbert (School of Life Sciences)

Development of New Agents for the Treatment of Cryptosporidiosis (joint with University of Vermont).
£2,165,959 (including £756,301 overhead) from the Medical Research Council.

Cryptosporidiosis is one of the most significant causes of death and illness from diarrheal diseases amongst children in low and middle income countries. There is a lack of treatments for those patients with Cryptosporidiosis who are malnourished and have a weakened immune system. This funding from the MRC provides scientists funding to optimise some lead molecules discovered at the Drug Discovery Unit with the aim of identifying a preclinical candidate.

Dr M Pawlowic (School of Life Sciences)

Defining Oocyst Wall Biogenesis and Function in Cryptosporidium Transmission.
£1,506,784 (including £55,000 overhead) from the Wellcome Trust.

The Pawlowic lab is using genetics and biochemical approaches to understand how Cryptosporidium parasites are transmitted and how they cause disease. Understanding of basic biology will contribute to new tools and strategies for much needed drug discovery through collaboration with the Drug Discovery Unit.

Professor PNH Beech (University Executive Office)

Innovation for Games and Media Enterprise (joint with Abertay University and St Andrews University).
£1,419,100 (including £922,300 overhead) from the Arts and Humanities Research Council.

The creative industries are characterized by a large number of micro enterprises and a small number of big players. Achieving sustainable innovation for the small companies is a significant challenge in competitive product and labour markets. This project, working with Microsoft, Sony, Disney, the V&A and a wide range of small enterprises aims to improve technical and organisational innovation through new collaborative models. The project is interdisciplinary including art, humanities, computer games and business.

Professor J Rogers (School of Art & Design)

Open Internet of Trusted Things (OpenDoTT) (joint with MZ Denmark APS and 7 other partner organisations).
£1,356,667 (including £96,658 overhead) from EC Horizon 2020- Marie Skłodowska Curie Actions.

OpenDoTT is a PhD programme from the University of Dundee and Mozilla which will explore how to build a more open, secure, and trustworthy Internet of Things (IoT). As IoT evolves, the internet becomes more deeply entwined in humans' everyday lives. Data flows around us in ever more complex ways. Technologies need to be built responsibly, and this practice requires the cultivation of design research and advocacy. OpenDoTT will train technologists, designers, and researchers to create and advocate for connected products that are more open, secure, and trustworthy.

Professor AL Hopkins (School of Life Sciences)

European Screening Centre: unique library for attractive biology (joint with 20 other partner organisations).
£1,092,937 (including £270,022 overheads) from the EC - IMI - Innovative Medicines Initiative.

By bridging an important gap between basic research and drug development, ESCULAB will facilitate the translation of scientific insights into innovative drug starting points. New biological ideas will be collected by crowdsourcing, and novel targets, phenotypes and pathways will be translated and de-risked by delivering high-quality chemical starting points for drug development.

RESEARCH AWARDS >£500,000 <£1 MILLION

Name	School	Project Title	Total Value	Funder
Prof. E Pearson	Medicine	Health Data Research UK Substantive Site	£931,199 (including £140,503 overhead)	HDR UK (Health Data Research UK)
Prof. C MacKintosh	Life Sciences	DTP Bid	£885,220	Medical Research Council
Prof. J D Chalmers	Medicine	EMBARC2 - European Bronchiectasis Registry and Biobank	£794,299 (including £21,660 overhead)	European Respiratory Society
Dr. JK Dale	Life Sciences	Fine-Scale Regulation of Notch Signaling Dynamics in the Context of the Vertebrate Segmentation Clock	£771,944 (including £211,502 overhead)	Medical Research Council
Prof. K D Read	Life Sciences	Converting Natural Product Leads into Structure and Ligand Based Drug Discovery Campaigns against Leishmaniasis and Chagas' Disease (joint with Sao Paulo State University)	£696,192 (including £277,866 overhead)	Medical Research Council
Dr. D Bulgarelli	Life Sciences	Controlling Microbiomes Circulations For Better Food Systems (CIRCLES). (joint with Alma Mater Studiorum - Universita di Bologna as lead, and 28 other partner organisations)	£655,836 (including £152,966 overhead)	European Commission

RESEARCH AWARDS >£100,000 <£500,000 MILLION

Name	School	Project Title	Total Value	Funder
Prof. E Pearson	Medicine	Diabetes Research on Patient Stratification (joint with 26 other partner organisations)	£463,529 (including £108,740 overhead)	EC - IMI - Innovative Medicines Initiative
Prof. B Guthrie	Medicine	Scottish Primary Care Research Network (SPCRN) 2018-19	£440,000	Chief Scientist Office
Prof. T Tanaka	Life Sciences	Molecular Mechanisms for the Final Step of Dissolving Sister Chromatid Cohesion at Anaphase Onset	£431,188 (including £161,377 overhead)	Biotechnology and Biological Sciences Research Council
Prof. WN Hunter	Life Sciences	Industrial Collaborative Awards in Engineering (iCASE)	£381,388	Medical Research Council
Prof. DR Alessi	Life Sciences	Genome-wide and chemical screens to uncover novel upstream regulators of the LRRK2 signaling network	£374,265 (including £74,853 overhead)	Michael J Fox Foundation for Parkinsons Research
Dr. MA Sicilia Aguilar	Science & Engineering	The Planet-Disc Connection: Accretion, Disc Structure and Plant Formation	£350,768 (including £198,956 overhead)	Science and Technology Facilities Council
Dr. DI Pontin	Science & Engineering	Impact of Magnetic Complexity in Solar and Astrophysical (joint with Durham University)	£346,198 (including £195,418 overhead)	Science and Technology Facilities Council
Prof. C Rowland	Art & Design	In Search of Uniqueness – Harnessing Anatomical Hand Variation: H-Unique	£313,755 (including £151,532 overhead)	EC Horizon 2020 – European Research Council (ERC)
Prof. E Shemilt	Art & Design	Project Grytviken (supporting South Georgia)	£300,000 (including £53,624 overhead)	Paulsen Familiae Foundation
Dr. L Kang	Medicine	Targeting Early Extracellular Matrix Abnormalities to Treat Cardiac Insulin Resistance and Associated Dysfunction (joint with the University of Glasgow)	£295,241	British Heart Foundation
Prof. M Ashford	Medicine	Investigating Mechanisms and Models Predictive of Accessibility of Therapeutics (IM2PACT) Into The Brain (joint the University of Oxford and 26 other institutions)	£294,163.00 (including £79,200 overhead)	EC - IMI - Innovative Medicines Initiative
Prof. JD Chalmers	Medicine	Development of Biomarkers to Identify Inhaled Antibiotic Response in Bronchiectasis	£286,838 (including £106,811 overhead)	Chief Scientist Office
Prof. HS Hundal	Life Sciences	C5aR a Novel Immunomodulator of Metabolic Signalling and Energy Metabolism in Skeletal Muscle	£274,686	Diabetes UK

Dr. NG Rena	Medicine	Immunometabolic Remodelling of Macrophage Responses by Metformin in Non- diabetic CVD	£205,642	British Heart Foundation
Prof. J R Swedlow	Medicine	Providing an open collaborative space for digital biology in Europe with European Molecular Biology Laboratory as lead and 39 other partner organisations)	£196,049 (including £64,847 overhead)	EC Horizon 2020 - Societies
Prof. N P Hopkins	Life Sciences	Under Surveillance – Being Misrecognised	£155,845 (including £11,837 overhead)	Volkswagen Foundation
Prof. M A Ferguson	Life Sciences	Michael Ness Charitable PhD Studentship	£120,000	Funder Wishes to remain Anonymous
Dr. S Wyllie	Life Sciences	Identification and Validation of the Targets of Compounds Demonstrating In Vitro Activity Against Trypanosoma Cruzi	£100,500 (including £33,500 overhead)	The Royal Society

People and Prizes

The University of Dundee was awarded the THE DataPoints Merit Award trophy at the Times Higher Education Awards in December. For the DataPoints Merit Award, Times Higher Education matched research performance to outcomes in global reputation surveys and found that Dundee had the highest score for the citation impact of their scholarship compared with their reputation.

Exscientia, a world leader in artificial intelligence (“AI”) driven drug discovery and a spinout company of the University, has raised US\$26 million to advance selected programmes towards clinical development. It will also be embarking on an AI drug discovery collaboration with Roche worth up to CHF67 million in research funding and development and commercial milestone payments.

Platinum Informatics, a spin-out company from the University, won £100,000 at the Scottish EDGE Awards. Platinum Informatics provides state of the art software solutions for the management, visualisation and analysis of large and complex data sets in a wide range of laboratory and industrial environments. The company is commercialising software developed for more than ten years within the University by Professor Angus Lamond’s team in the School of Life Sciences.

Charlie Kleboe-Rogers, a University graduate and Vice-President of Academia for DUSA, has been granted a Fellowship with the Royal Society of Arts (RSA). Fellows of the Royal Society are elected by a panel of existing fellows who consider the nominee’s merits, creativity and alignment with the society’s ambitions. Former fellows of the RSA include Karl Marx and Charles Dickens.

Annie Anderson, Professor of Public Health Nutrition, has been elected President of the UK Society for Behavioural Medicine (UKSBM). The Society acts as a forum for presenting research on public health policy and individual level preventive/therapeutic approaches and the election reflects her position as one of the UK’s foremost authorities in behavioural medicine.

Katarina Spenerova, a recent Interior and Environmental Design graduate, was overall winner at the Society of British and International Design’s Student Design Competition for her modular living design ‘PETAL.’ Her flower-inspired housing concept, designed in response to environmental and social change, won a £30,000 prize.

Anna Morozova, recently graduated with a MDes in Comics & Graphic Novels, was commissioned by 2000 AD, one of the most successful British comics of all time, to draw for ‘Future Shock’, a section dedicated to the best up-and-coming writers and artists. She has provided the art for a story entitled Juncture which will appear in the comic later this year.

APPENDIX 3

AUDIT COMMITTEE (Minute 41(1)(a))

A meeting of the Committee was held on 22 January 2019

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

In Attendance: Richard Bint (Convener of Finance & Policy Committee)
Alan Bell (Head of Information Governance (item 4 (2)));
Chris Brown (Scott Moncrieff);
Dr Nicholas Helps (Head of Safety Services) (items 1-3, 5 and 9);
Dr Neale Laker (Director of Academic & Corporate Governance);
Ian Leith (Director of Business Transformation) (item 7);
Dr Jim McGeorge (University Secretary);
Carol Prokopyszyn (Director of Finance);
Dr Liz Rogers (Assistant Policy Officer (Risk & Audit));
Douglas Trainer (Scott-Moncrieff (Item 4(2) via teleconference)

Apologies: Karen Bassett;
Keith Winter;
Wendy Alexander (Vice Principal) (International);
Stephen Reid (Ernst & Young).

1. MINUTES

The Committee reviewed the minutes from the meeting on 29 October 2018.

Resolved: subject to an amendment, to approve the minutes from the meeting of 29 October 2018.

2. MATTERS ARISING

(1) Action Log

The Committee considered a log of ongoing actions. The Director of Academic & Corporate Governance agreed to provide members with an update on the DUSA business plan via email, noting that the DUSA President had referred to a draft business plan in her presentation at the Public Stakeholder Meeting of Court earlier in the month. The Committee discussed risk appetite, noting that the Court would need to formally review its risk appetite statement and that the Risk Management Oversight Group would be carrying out some additional work on risk appetite, tolerances and thresholds.

Members also noted progress towards undertaking the Business Transformation 'lessons learned' phased review.

Resolved: to approve the Audit Committee action log as presented and await an update on the DUSA business plan.

3. CONVENER'S REPORT

The Convener had met with the Deputy Chair of Court and Director of Strategic Planning. She informed the Committee that the Director would be developing proposals using a 'balanced scorecard' approach to reports to the Court on KPIs and targets. She also 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.

Resolved: to note the update.

4. INTERNAL AUDIT

(1) Readiness Review for Higher Education Governance (Scotland) Act

The internal auditor introduced the readiness review for the Higher Education Governance (Scotland) Act. Members noted that the report confirmed full compliance with the Act, noting that the one area rated as 'limited compliance' (membership of the Remuneration Committee) was being addressed, with a staff member of Court and student member of Court now serving on this Committee and plans in place to consider how the Committee consulted with the wider staff and student communities about its work.

It was agreed that the internal auditors would provide officers with further information on 2.15 which referred to the Court skills matrix and had been validated by them as 'broadly compliant' as opposed to 'fully compliant' (the University's position).

Members discussed item 7.83 which referred to the measures in place to clarify the different responsibilities of the governing body and the academic board, and the mutual understanding between the two. The University Secretary provided an overview of how this worked, such as the Senate minutes being actively considered by the Court and dedicated agenda items for Senate and Court to identify those issues they wished to highlight to each other. Members noted that the quinquennial reviews of Court and Senate would provide an opportunity to investigate this further, if necessary, but recognised that it was important to maintain the separation of roles and responsibilities.

Resolved: to note the update.

(2) General Data Protection Regulations (GDPR) Health Check

The internal auditors introduced their report on GDPR. The auditors informed the Committee of its view that the University was in a strong position and making good progress in terms of GDPR compliance when compared to other institutions, and outlined the 'amber' ratings in the report. The Head of Information Governance was in attendance for this item and confirmed that the report aligned to his own view of the University's current status.

Members noted that the Data Records & Information Committee had agreed to fully meet the Cyber-essentials accreditation requirements by May 2019, which would further strengthen compliance.

The Committee discussed the risks pertaining to GDPR compliance, noting that this was closely monitored in the risk register for the Library & Learning Centre and Culture & Information Directorate. Members requested that the institutional risk register be updated to better reflect this risk.

The Committee agreed that the report provided assurance that the University understood the issues that needed to be addressed and had plans in place. Members noted that, as stated in the Committee workplan, a report would be presented at the May Audit Committee meeting to provide an update on progress.

Resolved: to note the update.

(3) Internal Audit Progress Report

The internal auditor introduced the internal audit progress report summarising the audit activity during the year to date. Members noted that the review of strategic planning had been issued in draft form to management but had been delayed to the March meeting due to the illness of the member of staff responsible for providing feedback on the report and preparing management responses. The status of some planned internal audit reviews, such as the general ledger, would be reliant on the implementation of the finance module of the OneUniversity system, and as such could become delayed. It was agreed that officers would discuss timings with the internal auditors prior to the next Committee meeting.

Resolved: to note the update.

5. SAFETY SERVICES UPDATE

The Head of Safety Services introduced a paper providing an update on the status of internal audit recommendations pertaining to health, safety and welfare. Discussions focused on the tiered reporting structure for incidents and noted that the People & Organisational Development Committee received an update on incident reporting on an annual basis. Members also discussed 'higher risk' areas on campus, noting that Safety Services

worked closely with Estates & Campus Services to ensure controls and frequent testing were in place for these areas, particularly in relation to fire risk assessment.

Members questioned mandatory health and safety training completion rates for new starts, seeking assurance that arrangements were in place to deal with individuals who did not complete it within the agreed timescale. It was noted that it had been recently agreed that the University Secretary and Vice-Principal (Provost) would receive quarterly updates on training completion and follow these up on a School and Directorate basis with Deans and Directors. Individuals failing to comply following this escalation process would be subject to disciplinary sanctions. It was noted that this new approach had also been reported to the People & Organisational Development Committee.

Discussions took place on inspections and to clarify the way in which training was adapted following incidents on campus.

Resolved: to note the update.

6. 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.

7. RESERVED BUSINESS: BUSINESS TRANSFORMATION

[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.

8. RISK MANAGEMENT OVERSIGHT GROUP MINUTES

The Committee viewed minutes from the Risk Management Oversight Group meeting on 4 December 2018. The Director of Academic & Corporate Governance provided the Committee with an overview of the process used by the Group to review and provide feedback to Schools and Directorates on risk registers.

Resolved: to note the minutes.

9. HEALTH, SAFETY & WELFARE SUB-COMMITTEE MINUTES

The Committee viewed the minutes from the meeting of the Health, Safety & Wellbeing Sub-Committee on 10 December 2018. Discussion focused on cultural issue in relation to the management of health and safety in the School of Life Sciences, with members noting that an Associate Dean had been appointed specifically to address cultural issues in the School, such as academic integrity and professional behaviours. Members requested that the Associate Dean be invited to a future meeting of the Committee to discuss progress she had made, specifically in the area of health and safety compliance.

Resolved: (i) to invite the Associate Dean to a future meeting of the Committee; and
(ii) otherwise to note the minutes

10. NARRATIVE FOR COURT

During the meeting it was agreed that the Convener's next oral report to the Court would include the following: the Committee's consideration of health and safety matters and the health and safety management culture in the School of Life Sciences; the strong position of the University in relation to GDPR compliance; and the excellent report on compliance with HEGSA.

11. DATE OF NEXT MEETING

Resolved: Tuesday 5 March 2019.

APPENDIX 4

FINANCE & POLICY COMMITTEE (Minute 41(2)(a))

A meeting of the Committee was held on 11 December 2018. The meeting was preceded by a tour of the Crawford and Matthew Buildings.

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

In Attendance: Willie Anderson (DUSA Finance Manager)(minute 10);
Karen Reid (Chair, Audit Committee);
Professor Nic Beech (Vice-Principal (Provost));
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 8);
Afzal Mahmood (External Consultant, Business Transformation) (minute 8);
Dr Jim McGeorge (University Secretary);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Wesley Rennison (Director of Strategic Planning).

Apologies: Professor John Rowan (Vice-Principal Research, Knowledge Exchange & Wider Impact).

1. MINUTES

Resolved: to approve the minutes of the meeting of 22 October 2018 including the reserved minute 10(10).

2. MATTERS ARISING

(1) Action Log

The Committee received the action log for its business, and members noted the updates provided. The Convener drew members' attention to the updates relating to Business Transformation, the development of the management accounts, and capital planning.

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

(2) Tay Cities Deal

The Principal provided an overview of the Tay Cities deal announcement on 22 November 2018, including the Heads of Terms which had been circulated to the Court. Members noted the announcement included awards of £25m for the 'Biomedical Cluster' from the Scottish Government, and £15m from the UK Government for 'JustTech'. Members also noted a number of awards to other projects where the University was a collaborator. The Principal confirmed that the deal covered a 15 year timeframe, but that at the time of the meeting it was not known when the funding for individual projects would be made available. In response to questions the Principal also outlined the external governance structure and processes associated with the release of the funding.

The Principal also reminded members that the projects had not been funded in full and drew members' attention to the different balances of capital/revenue funding between them. Members noted that once the timelines and governance requirements were known, work would begin to develop robust business cases, including an assessment of opportunities to leverage additional funds (or reduce scope), clarity on expected outcomes, and consideration of any resource/expertise required.

Resolved: to ask officers to provide a report detailing the timeline and governance processes and arrangements when these were published.

3. **FINANCE DIRECTOR'S REPORT**

The Director of Finance provided a verbal update on matters of relevance to the work of the Committee. In doing so the Director drew members' attention to the recruitment process associated with the vacancy in the position of Deputy Director of Finance. Members also noted that a meeting of the Pension Sub-Group had been scheduled for 5 February 2019 to discuss matters relating to the University of Dundee Superannuation Scheme (UoDSS) and the impact of the Guaranteed Minimum Pensions Ruling.

The Director updated the Committee on early discussions in relation to potential future loan financing options. Members noted the likely sources of potential funding, and timing of approaches. In particular, she confirmed that the University would be best served by a phased approach to sourcing funding, working on a project by project basis. The Director however also drew members' attention to the impact of the declining cash-flow on borrowing options, and the importance of addressing long term sustainability.

Resolved: to note the update.

4. **STUDENT RESIDENTIAL ACCOMMODATION**

The Committee received a paper which provided a contextual analysis of key issues relating to the University's long-term requirement for student residential accommodation. Members were advised that new entrants were guaranteed a place provided that they apply before 15 June (Home) or 31 August (International/RUK), and that the University no longer provided an accommodation offer to continuing students. Members noted that following significant growth in international and other unregulated student recruitment, the University had sought 212 additional bed spaces from private placements in 2017/18 and 269 in 2018/19, with this figure anticipated to rise to 337 in 2019/20.

The University Secretary highlighted operational and business considerations regarding the approach and provision of guaranteed accommodation, and members noted that the issue would be considered as part of the review of the Estates Strategy in the context of the discussion of future borrowing options for the University. Members also noted the current arrangements in place with Dundee Student Villages Ltd.

Members discussed the potential impact of Brexit outcomes on EU student numbers and, noting that the University currently provided accommodation to 177 EU students, members agreed that in the short-term risks relating to recruitment levels should inform the timing of decisions regarding the provision of additional student accommodation.

Discussions subsequently focussed on the different options set out in the paper to address a projected longer-term need of at least 200-400 additional student rooms, and members considered the differing levels of opportunity and risk relating to each of the options outlined. The Committee noted that more detailed proposals and evaluations would be submitted by officers in due course as part of the Estates Strategy. Following discussion of the changing requirements of the student population, and in particular the increase in international student and widening access student numbers, members encouraged officers to continue dialogue with the Dundee University Students' Association (DUSA) when reviewing the options.

Resolved: to note the report and await further discussion in due course.

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

The Director of Estates & Campus Services introduced a paper which set out an overview of the estates programme and the ongoing development of the Estate Strategy. In doing so, she set out matters relating to the Estates Infrastructure Budget, capital projects, and the development of key themes for the future capital plan and strategic investment. The Director highlighted the value of the recent round of consultation meetings with Deans and Directors, with the aim of developing a 5-year Capital Plan which was structured and transparent. Members were pleased to note that the Director would also be meeting with DUSA.

The Director advised members of the potential impact of anticipated changes to fire protection and containment legislation that would affect future decisions in relation to the estate. Members were also advised of a notice relating to 2017 amendments to the 'Pollution Prevention and Control (Scotland) Regulations 2012', and noted that the resulting changes to measurements of exhaust fumes from the CHP plant were anticipated to necessitate a change to the planned approach to replacing the CHP engines.

Members received an update on projects listed against the infrastructure budget and the capital programme, and welcomed the format of the report.

Following the tour of the Crawford Building immediately preceding the meeting, the Committee discussed its future. In response to questions the Director outlined the nature of the issues with the building, including maintenance concerns, accessibility issues, and the way in which the building detracted from the ability to teach students using modern and effective techniques. Members recognised that significant improvements were required in the near future, but also the complexity and high costs associated with addressing the issue, and the Director confirmed that these considerations would be addressed in the Estates Strategy.

Resolved: to note the report.

6. MANAGEMENT ACCOUNTS 2018/19 – QUARTER 1

The Director of Finance presented the Management Accounts for the first Quarter (Q1 Accounts). The Q1 Accounts showed a surplus of £3.2m, a positive variance of £4m relative to the budget. Cash was £43.8m, which was lower than budget due to the unbudgeted University of Dundee Superannuation Scheme cash funding approved by the Committee in August 2018. Members noted that the forecast for the full year was for a deficit of £6.8m, £0.6m ahead of budget, and that the cash forecast position was in line with budget at £12.6m. Members also noted that research grants and contract awards were in line with budget.

The Committee welcomed the new format for the accounts and agreed to provide feedback to the Director to inform her further development of the approach to reporting. Members also noted the projected downward trajectory for the cash balance over the coming 3-year period and the likelihood that the University would require to use the revolving credit facility at the end of this period.

The Committee reviewed the staff costs reported relative to the budget and the possibility of the full year outturn continuing the trend of the quarter end surplus. In relation to the content of the management accounts the Director undertook to work with the Human Resources Directorate to enhance the staff numbers information provided, including a breakdown of numbers by school and directorate.

Turning to research grant efficiency and income, the Committee agreed that it would be useful for the annual report from the Vice-Principal (Research, Knowledge Exchange & Wider Impact) to include a trend analysis for the mix of grants, number of applications below £50k, and total number of applications by funding source. Members however noted that the financial scale and nature of grants varied significantly across subject areas, and that any targets set in this respect would need to account for these nuances.

Resolved: to note the accounts.

7. OUTLINE OF BUDGET SETTING & PLANNING PROCESS FOR 2018/19

The Committee received a paper from the Director of Finance which outlined the process to set the budget for the 2019/20 academic year, and to develop medium term plans to address the financial sustainability challenge and resource the delivery of the University strategy. The paper made reference to key risks and opportunities, operational processes, and actions taken to date. Members were pleased to see that the planning period had been extended from three to five years.

The Committee was advised that the University Executive Group (UEG) had approved the basic principles for target setting, and that recruitment targets would now be reviewed as part of the process - the outcome of which would be reported to the Committee at its next meeting on 5 February 2019. Members also noted that the UEG was to undertake a review of how the University would achieve financial sustainability, and that this review would in turn inform target setting.

Resolved: to note that the budget setting and planning process for 2018/19 was on track.

8. 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: 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 26 October 2018.

Resolved: to note the minutes.

9. **TUITION FEE INCOME UPDATE**

The Committee received a regular report on tuition fee income forecasts based on the September 2018 intake, progress in recruitment for the January 2019 intake, and full year expectations for distance learning and Research Postgraduate recruitment. Members noted that recruitment was in line with budget (including contingency), and that school accountants were working with all schools to ensure that the financial impact of the recruitment round was collectively understood and that appropriate action was taken to mitigate any budget implications.

Overall, there was an adverse variance of £1,482k, which was offset by a contingency of £1m and savings on core fee waivers. Members noted that there had been significant growth against all categories of recruitment within a challenging and competitive market and against ambitious budget targets. In particular, members noted that overseas recruitment had exceeded the budgeted targets, representing a 30% increase relative to 2017/18. Undergraduate recruitment was forecast to be £319k below budget, despite growth of 27%, while RUK growth was £961k below budget despite an 11 % increase relative to 2017/18. Home Taught Postgraduate recruitment was also £456k below budget despite 20% growth. Members discussed the variances on a school by school basis, including areas of performance beyond that budgeted as well as those where recruitment was below the budgeted targets.

Through discussion of the overseas market, and in particular partnerships with Chinese institutions, members were pleased to note the approach taken by the Education Partnerships Development Unit was resulting in improved financial returns. The Committee also noted the changing needs of students, in particular in terms of their requirements from the Dundee University Students' Association (DUSA), and noted the importance of supporting DUSA to align its activities to the student recruitment projections of the University.

Resolved: to note the update.

10. **DUNDEE UNIVERSITY STUDENTS' ASSOCIATION – ACCOUNTS 2017/18**

The Committee received the annual report on the financial performance of DUSA for 2017/18, along with current forecasts for 2018/19 and projections to 2024/25. The DUSA Finance Manager highlighted the importance of the night-time economy in the financial success of DUSA, but members noted increased competition in 2018/19 was likely to impact on the 2018/19 results.

Discussions focussed on the changing character, needs and spending habits of the student community, and the need for DUSA to adapt, both conceptually and physically to these requirements. Members highlighted the importance of ensuring that student facilities supported an integrated community, and therefore of the University being informed on DUSA's overall aspirations and direction of travel. The DUSA President went on to highlight areas of good practice elsewhere in the UK, the development of a long-term strategy for DUSA, and the importance of international spaces, appropriately sited pastoral care spaces, and the use of technology to engage with students both on campus and on Distance Learning programmes. In response to questions, the Director of Estates & Campus Services outlined the process by which DUSA was engaged in discussions relating to the development of the Estates Strategy.

The Committee encouraged DUSA to engage with the University in the development and delivery of its business plan.

The Committee noted that the DUSA accounts had not yet been approved by their auditors and asked that a copy of the signed accounts be provided to the next meeting for information.

Resolved:

- (i) to thank the DUSA Finance Manager and DUSA President for their update;
- (ii) to await further reports on the development of DUSA as part of the Estates Strategy in due

course; and

- (iii) to request that a copy of the signed accounts be provided to the Committee at its next meeting.

11. **NARRATIVE FOR THE COURT**

The Committee agreed that the following items and discussions should be highlighted to the Court: Student Accommodation requirements (minute 4); the development of the management accounts (minute 6); budget setting & planning processes (minute 7) and in particular the longer-term financial planning approach; Tuition Fee report (minute 9); and the changing needs and expectations of students, and the associated approach of the Dundee University Students' Association (DUSA) (minute 10).

12. **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 discussions on the item.]

The Committee received the minutes from the Pension Sub-Group on 22 October 2018 as verbally reported at the meeting of the Finance & Policy Committee of the same date.

Resolved: to approve the minutes.

13. **ENDOWMENTS SUB-COMMITTEE**

The Committee received the minutes from the meeting of the Sub-Committee on 20 November 2018.

Resolved: to approve the minutes.

14. **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. The Committee noted that there had been no approvals sought since the last meeting, and also noted one application with a submission deadline of 16 January 2019 as reported previously, along with a further application to a commercial funding source where the costs were being worked up for submission at the time of the meeting. With regard to the latter, members noted that commercial funding was expected to be awarded at a level greater than Full Economic Costing (fEC).

Resolved: to note the update.

15. **ANNUAL PROCUREMENT REPORT 2017/18**

The Committee welcomed the approach and format of the annual procurement report for 2017/18 which had been prepared in accordance with requirements of the Procurement Reform (Scotland) Act 2014 and the University's Procurement Strategy & Action Plan which was approved by the Court at its meeting on 19 November 2018.

Resolved: to approve the report.

16. **DATE OF NEXT MEETING**

Resolved: to note that the next meeting of the Committee would be held at 2.00 pm on 5 February 2019.

APPENDIX 5

**FINANCE & POLICY COMMITTEE
(Minute 41(2)(a))**

A meeting of the Committee was held on 5 February 2019.

Present: Richard Bint (Convener);
Alan Bainbridge;
Principal, Professor Andrew Atherton;
Jane Marshall;
Allan Murray (by telephone);
Sofia Skevofylaka; and
Sharon Sweeney.

In Attendance: Geoff Clark (Head of Finance Change) (excluding minute 9);
Carol Prokopyszyn (Director of Finance);
Aidan McColgan (Deputy Director of Estates & Campus Services);
Dr Jim McGeorge (University Secretary);
Dr Christine Milburn (Policy Officer (Corporate Governance)) and;
Professor John Rowan (Vice-Principal Research, Knowledge Exchange & Wider Impact).

Apologies: Ronald Bowie;
Professor Mairi Scott;
Karen Reid (Chair, Audit Committee);
Professor Nic Beech (Vice-Principal (Provost));
Rose Jenkins (Director of Campus Services);
Dr Neale Laker (Director of Academic & Corporate Governance); and
Wesley Rennison (Director of Strategic Planning);

1. MINUTES

Resolved: to approve the minutes of the meeting of 11 December 2018 including reserved minute 8(1).

2. MATTERS ARISING

(1) Action Log

The Committee received the action log for its business. In reviewing the updates provided, the Convener highlighted the delay to the signing of the DUSA 2017/18 Annual Financial Statements. The Committee also indicated an on-going interest in the work DUSA was doing to meet the changing requirements of the student population and asked the DUSA President to give a presentation on the DUSA business plan to a future meeting. In this respect, members also noted that the future development of the DUSA building would be included within the University's Estates Strategy.

The Committee was advised that, with the approval of the Convener, the report on the student intake for entry in 2018/19 had been deferred to enable an analysis and narrative to be presented alongside the data, but that the initial indications following the January matriculation were very positive.

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

(2) Tay Cities Deal

The Principal provided an update on developments in relation to the Tay Cities Deal. Members noted that Heads of Terms had now been signed, but that the University was currently seeking clarification regarding the governance process by which the funding would be accessed. The Principal confirmed that he would continue to chair the Tay Cities Deal HE:FE forum, ensuring high level representation for the University, and outlined the membership of an internal working group which had been established to support project leads in the development of full funding bids and which included the Director of Finance, Director of Estates & Campus Services, and the Deans of schools associated with the successful projects alongside the project leads. In response to questions the Principal confirmed that the University was making appropriate arrangements to ensure that the resource implications associated with the preparation of full bids were

addressed efficiently.

Resolved: to note the update.

3. **FINANCE DIRECTOR'S REPORT**

The Director of Finance introduced her regular report to the Committee. She drew members' attention to the Period 5 (P5) Management Accounts which had been provided to members as an interim update ahead of the production of the accounts for the second quarter (Q2 Accounts) which would be considered by the Committee at its next meeting. Members noted that the forecast was ahead of the budget, but that the Q2 Accounts would provide further analysis of the trends and headline data highlighted in the P5 report.

The Committee focussed on the update provided on pension issues, including the Universities Superannuation Scheme (USS) 2017 valuation, the USS 2018 valuation, and the impact of the Guaranteed Minimum Pension Ruling (GMP) on the University of Dundee Superannuation Scheme (UoDSS). Members noted that the Pension Sub-Group would meet later that afternoon to discuss these matters in more detail. Members noted that with regard to the USS 2017 valuation, the consultation period had now closed and the University was awaiting a decision from the USS Trustees, but that the Trustee's proposal had been to complete the 2017 valuation while at the same time addressing the recommendations of the Joint Expert Panel (JEP) by carrying out a new valuation as at 31 March 2018. The Director advised members that the 2017 proposals created a 'back-stop' position which would come into force should the 2018 valuation not be concluded before October 2019, and went on to set out the potential risks and cost implications, including deficit recovery contributions, of this for the University. Turning to the GMP ruling, the Director confirmed that the estimated cost to the University was £5m Income and Expenditure (I&E) cost in 2018/19, which members noted was not included in the budget or forecast.

The Committee also noted the update provided in the report with regard to the utilisation of investment funds identified in the 2018/19 budget – which stood at £2.4m after the tuition fee contingency was taken into account. The Director advised members that £1.4m had been invested in external relations and student recruitment activities, which had enabled the University to meet its tuition fee targets in 2018/19 and had contributed to positive trends for 2019/20 applications. Further investments had been made to support the student experience, including in mental health services, and in the expansion of course provision in the School of Medicine, and members noted that the remaining balance of £342k had not been allocated in recognition of the requirement to fund an additional payment of £1.9m each year to UoDSS (which had only been partially allocated in the budget). Through discussion the Committee indicated that notwithstanding financial challenges, it was keen that the University continue to seek to make funding available in future budget cycles to support investments. In this respect members noted that the University Executive Group (UEG) was planning to do so and would track the outcomes of investments as part of its normal operational activities.

Resolved: to note the update.

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

The Deputy Director introduced the regular Estates & Campus Services report which provided an overview of: the infrastructure budget expenditure; current projects within the Capital Plan; themes for the future Capital Plan; strategic investment; and the development of the Estates Strategy. With regard to capital projects, the Deputy Director highlighted the completion of the phase 1 consultation work, and members noted the formation of a group to consider the prioritisation, streamlining and management of projects emerging from the consultations.

Turning to strategic investment, the Deputy Director confirmed that the required additional funding had been secured for the CAHID project, and that as a result work had now begun on site. Members noted the potential impact of the Tay Cities Deal projects on strategic investment works, and the Deputy Director confirmed that an overview of strategic investment would be provided in the context of the Estates Strategy once the work in relation to University's borrowing position had progressed.

The Deputy Director outlined recent positive discussions with Dundee City Council in relation to the Estates Strategy, and members noted that the University intended to work toward the creation of a development framework as this would facilitate both the consideration of the development needs of the campus and its buildings, but also provide the flexibility required to meet emerging needs of the University. The Committee indicated that it welcomed this approach and looked forward to future reports.

Elsewhere, the Committee noted that the University Executive Group (UEG) was actively engaged with NHS Tayside in relation to the Ninewells Campus, and that the Director of Estates & Campus Services continued to engage with the NHS with regard to negotiations relating to the resetting the Pro Indiviso agreement.

In response to questions regarding maintenance work, the Deputy Director confirmed that the percentage of the estate categorised as being in condition A/B should improve based upon the level of funding allocated to this in the capital plan, but members noted that the impact of maintenance work on this measure would vary significantly from building to building. The Deputy Director also confirmed that there was on-going work to address issues highlighted by students with regard to heating within the Fulton Building.

Resolved: to note the report.

5. **SCHOOL CONTRIBUTIONS REVIEW**

The Director of Finance introduced a paper which presented financial data on all nine schools and reminding members that it did not capture other contributions, such as student experience, league table performance, and Research Excellence Framework (REF) performance, she also highlighted the high-level considerations from the report which would be used to inform the 2019/20 planning round.

The Committee discussed the data, and welcomed the fact that eight of the nine schools had increased their contribution over the last five years, with the performance of the School of Dentistry being affected by a change to government policy which had reduced its SFC controlled student numbers. This indicated the progress that had been made in increasing unregulated income to the University.

Members also considered school contribution as a percentage of income, which was seen to be a useful indicator but one where care was needed due to the different character of different subject disciplines. In this respect, members noted the relatively high ratio for the School of Nursing & Health Sciences and significant increases for the schools of Social Sciences, Science & Engineering, and Humanities. Members noted the ratio for DJCAD remained the same as in 2014/15 and that there had been a fall in the School of Dentistry. Members noted that the School of Life Sciences had consistently provided the lowest percentage contribution over the last five years. In exploring these data, members noted that variations of this kind were to be expected between subject areas based on the differing nature and requirements of teaching and research across the disciplines. An extract of Tribal's 2014/15 benchmarking report within the paper indicated that similar variations existed in other UK institutions.

The Committee also considered a summary based on the 2016/17 TRAC analysis. Members noted in particular the deficit on publicly-funded teaching across all subjects with the exception of the schools of Medicine and Nursing & Health Sciences. Members also noted the deficit on research across all schools and the Vice-Principal drew members' attention to the Full Economic Costing (fEC) efficiency rates for each school. With regard to the latter, members were interested to note that the School of Life Sciences was exceptionally efficient in its percentage recovery of overhead against full cost, but that its scale led to it having the largest deficit on research. Members were pleased to note evidence that the School was actively seeking to grow its non-publicly-funded teaching income, but also expressed an interest in receiving benchmarking data for research deficits by subject area if it could be obtained.

Through discussion, members discussed the sectoral position, and noted that it was normal for Universities to carry a deficit on publicly-funded teaching and research, and that the key to financial sustainability would be through ongoing work to close the deficit where possible, and increase unregulated teaching funding. In response to questions regarding the current planning round, officers confirmed that the data were being actively used in discussions with Schools and clear financial targets were being set.

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

6. **UNIVERSITY STRATEGY TO 2022 – PERFORMANCE MEASURES INITIAL ANNUAL REVIEW**

The Committee considered a report setting out performance relative to measures which were relevant to the remit and business of the Committee. Members agreed that the approach and data provided in the report and through the dashboard was helpful.

Noting that the Court would consider a report based on Key Performance Indicators (KPIs) later in the year and that this would inform further interrogation of the data by the Committee, it was agreed that 'cash generated from operations' be considered as a further performance measure.

Turning to the data presented the Committee discussed measures relating to the usage of teaching rooms on campus. With regard to the benchmarking indicators, the Deputy Director of Estates & Buildings confirmed that the methodology employed in returns for this measure differed across the sector in ways which impacted on the

benchmark, but that the University had improved its performance over recent years and continued to make progress.

Resolved: to note the accounts.

7. RESEARCH EFFICIENCY AND SUSTAINABLE AMBITION

The Committee considered a report from the Vice-Principal (Research, Knowledge Exchange & Wider Impact) which outlined research priorities and the management of research across the University. Discussions focussed on elements of the report relating to the Research Excellence Framework (REF) 2021 preparations, cost recovery, and targeted investment proposals.

The Committee discussed the profile of publications across the research staff population and noted that a variable profile of outputs was normal in the sector. The Vice-Principal confirmed that the University continued to promote opportunities for interdisciplinary working with a view to improving REF performance and grant awards across the whole population. Members noted the decrease in research staff numbers since the REF 2014 as a result of measures taken to address changes in the methodology for 2021 and reduce the level of unfunded/non-returnable research being undertaken. It was noted that overall this approach, including the introduction of an annual research review, had driven an improvement in quality, but that the decreased volume of REF returnable staff might impact on the level of REG funding awarded to the University after the REF 2021 depending on the relative performance of other UK universities. In response to questions the Vice-Principal confirmed that the University proposed to address this through targeted investment where analysis indicated it could improve the overall outcome, and that work was being undertaken to ensure that all staff with relevant outputs were included in the return. In response to questions, the Vice-Principal reminded the Committee that it was unlikely that the total level of REG funding for the sector would increase, and that as such the University needed to compete strongly to maintain the existing level of REG income.

Turning to cost recovery, the Committee was advised that based on benchmarking data available, the University performed exceptionally well in terms of full Economic Costing (fEC) recovery. Members noted that although the University had a higher level of charitable income (with a lower level of fEC) than many research-intensive universities, many Research Council grants with higher levels of fEC now included a match-funding element which effectively reduced the overall fEC, and that the diversity of the University's funding portfolio was therefore advantageous. The Vice-Principal went on to outline the manner in which the partnership model supported improvements in the balance of funding sources and indicated that the University aimed to improve its record with regard to leveraging industrial funding for research.

On the basis of the data presented, the Committee recognised that research at the University was highly efficient and was a fundamental driver of quality, although the level to which it was unfunded relative to its full costs across the UK system posed a financial challenge. In order to move forward with the REF and nurture the research economy, it agreed that UEG should continue to closely monitor its position regarding growth in research as it took the proposed £1m budget for pre-REF investment forward and potentially relax its previous view that it would prefer overall research income not to increase significantly. Members also noted that it was important that the University fully realised the commercial benefits of its research.

Resolved: to highlight to the Court the key messages regarding REF performance, effectively, quality and the future approach as set out.

8. UPDATE ON BUDGET SETTING & PLANNING PRINCIPLES 2018/19

The Director of Finance provided the Committee with an outline of work completed to date on budget-setting and planning for the 2018/19 academic year and the following five year period. The Director highlighted the position relative to year 2 of the budget agreed in June 2018 and steps being taken with schools and directorates to address it. The Director also outlined the timetable for the preparation of the budget, including the review of student recruitment targets, the submission of school and directorate plans and budgets, and the preparation of a consolidated budget.

The Committee reiterated the importance of setting a cash operations surplus target, but noted that further work was required in that regard and that this should be implemented for the 2020/21 budget setting round.

The Director confirmed that the budget included projections for income from licencing and commercial contracts, and the Committee noted that due to the volatile nature of this income source the projection was based upon a 5 year rolling average.

Resolved: to note the update.

9. 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: 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 29 November and 18 December 2018.

Resolved: to note the minutes.

10. SPIN OUT COMPANIES AND EQUITY STAKES

The Committee received a paper from the Director of Research & Innovation Services which provided an overview of the University's Intellectual Property (IP) and Research based spin-out company portfolio. The paper set out the University's approach to spin-out company creation and access to its IP, along with details of a number of companies and the University's equity holdings in them. Members were pleased that the University was seeking to actively manage the portfolio and noted that the pipeline for spin-out companies of genuine potential was advanced relative to the rest of the HE sector. In response to questions, the Committee noted that the University had clear policies in place regarding the treatment of staff involved in spin-out companies.

The Committee went on to explore how to continue to ensure appropriate benefits to the University in this area, including through appropriate policy frameworks and governance arrangements and noted that the UEG planned to review this area over the coming months.

Resolved: to note the update.

11. ANNUAL REVIEW OF TREASURY MANAGEMENT POLICY

The Committee considered and approved proposed changes to the Treasury Management Policy.

Resolved: to approve the policy.

12. NARRATIVE FOR THE COURT

The Committee agreed that the following items and discussions should be highlighted to the Court: estimated increases to pension costs (minute 3); the discussion of school contributions (minute 5); the Committee's intended approach to the review of performance measures (minute 6); the report on REF preparations and research efficiency, the Committee's support for UEG's work to consider targeting increased research income, and the University's strong performance in cost recovery (minute 7); the budget update (minute 8); and the quality of the University's spin-out company portfolio (minute 10).

Resolved: to approve the narrative.

13. STANDING ITEM: APPROVAL OF LARGE RESEARCH BIDS

The Committee received a paper which provided an overview of approvals since its last meeting, and information on upcoming applications which would require approval in the near future. The Committee homologated its decision to approve, by electronic circulation, applications by Professor Ron Hay to the Wellcome Trust, and by Dr David Gray to Takeda Pharmaceutical Company Ltd in January 2019.

Members were advised of a further application for renewal of funding which was expected to require approval in

the short term.

Resolved: to note the update.

14. **TRAVEL AND EXPENSES POLICY**

The Committee approved the policy, subject to final input from officers and consultation within the University as appropriate.

Resolved: to approve the policy subject to further input as described.

15. **DATE OF NEXT MEETING**

Resolved: to note that the next meeting of the Committee would be held at 2.00 pm on 26 March 2019.

APPENDIX 6

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 41(3))

A meeting of the Committee was held on 5 February 2019

Present: Richard Bint (Convener
Ronald Bowie (Convener) (by SKYPE);
Janice Aitken;
Principal, Professor Andrew Atherton;
Rumana Kapadia;
Bernadette Malone (Acting Convener); and
Jane Marshall.

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

Apologies: Lady Lynda Clark of Calton;
Professor Mairi Scott; and
Dr Neale Laker, (Director of Academic & Corporate Governance).

The Committee welcomed the Principal to his first meeting. Additionally the Committee noted that the Vice-Principal (Learning & Teaching) was attending his last meeting and thanked him for his input to its work.

1. MINUTES

Resolved: to approve the minutes of the meeting of 22 October 2018

2. MATTERS ARISING

Action Log

The Committee received an action log summarising progress in relation to outstanding actions from previous meetings. Members asked officers to indicate on the log a timeline for the Ethical Investment Policy work outlined.

Resolved: to note the log and ask that a timeline be provided for work relating to the Ethical Investment Policy.

3. CONVENER'S/SECTORAL UPDATE

The Acting Convener updated members on the Chair's activities since the last meeting. In doing-so she highlighted a number of meetings that he had arranged with local government and Scottish Government civil servants in relation to the Tay Cities Deal. She also outlined the agenda for the upcoming meeting of the Committee of Scottish Chairs (CSC), which was anticipated to be focussed around many of the same topics as were covered on the agenda for the Committee.

With regard to the sectoral update, the University Secretary highlighted the University's submission to the CSC Repository of Good Practice, which was being established as part of the sector's response to the recommendations within the Scottish Code of Good HE Governance (2017). Members noted that the University's return focussed on recent enhancements to the work of the Remuneration Committee, and the University Secretary undertook to circulate it to the Committee.

The University Secretary also introduced a paper from the Director of Academic & Corporate Governance which summarised the recommendations from the recent Robert Gordon University (RGU) and NHS Tayside governance investigations. Members noted that the Director had outlined areas of relevance to the University and had made a number of recommendations for consideration in the context of practice and policies at the University of Dundee. The Committee agreed that the University should continue to review its practice relative to any reviews of this kind within the HE sector, and that it was also useful to note the outcome of reviews which related to partners or public bodies.

With regard to the RGU review, members noted that a focus of the recommendations was around senior appointments, conflicts of interest and the handling of anonymous allegations of impropriety against senior staff. The Committee agreed with the recommendation in the paper that, as one element of the wider upcoming review of the existing Whistleblowing Policy, consideration should be given to ensuring that it was clear how anonymous allegations and allegations against senior officers would be handled. The Committee however noted that the University's existing Whistleblowing Policy already provided an option to explore anonymous allegations, as well as incorporating safeguards against vexatious claims. The Committee also discussed the potential implications of introducing specific arrangements for senior officers, and members agreed that this should be carefully considered to ensure that the broad applicability of the policy was maintained. Members also highlighted the importance of the Whistleblowing process in terms of promoting a culture of openness, and 'valuing people', and noted the importance of a clear communication strategy to relaunch the policy once revised.

Turning to other matters raised in the report, the Committee was supportive of the recommendation that officers prepare a resilience plan to guide the Court during any circumstances where there was discontinuity in senior management, suggesting this should be set within a broader resilience plan which addressed a range of different issues to ensure that risks to the University were appropriately managed through any period of disruption. The importance of seeking appropriate and timely advice and considering perceptions across stakeholder groups was also highlighted.

Turning to the NHS Tayside review members noted the focus on financial probity and decision-making. While the Committee was satisfied that the points raised in the report were addressed by existing policies and processes, members agreed that access to independent advice and an independent perspective on messaging and communication would be valuable.

Through discussion the Committee noted the issues raised in the RGU report around the use and publication of settlement agreements. The Committee noted the need for transparency had to be balanced against the employment rights of the individual, and that while it would be reviewed, the University's current policy was broadly consistent with the relevant recommendations in the report, with for example the Remuneration Committee required to approve any agreements exceeding £100k.

Resolved: to agree the findings and recommendations of the paper including the following actions:

- (i) to note that officers would address matters relating to anonymous allegations and allegations made against senior officers when drafting a revised Whistleblowing Policy for Audit Committee consideration later in the year;
- (ii) to request that officers review the University's policy on settlement agreements for senior staff, and how information in the public interest might be shared in line with the RGU report's recommendations, for consideration by the Remuneration Committee;
- (iii) to request that officers begin work to draft a resilience plan;
- (iv) to request that officers review advice to appointing panels on conflicts of interest;
- (v) to ensure that the quinquennial review of the effectiveness of the Court again consider the relationship between management and the Court; and
- (vi) to request that officers review the University's Conflict of Interest Policy in light of the findings of the reviews.

4. ELECTION OF THE CHAIR OF COURT

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

The Deputy Chair of Court summarised the process to date with regard to the election of the Chair of Court. Members noted that the Appointing Committee had shortlisted and interviewed three candidates, and that two candidates were considered to have sufficiently demonstrated that they met the criteria set by the Committee and would therefore be included on the ballot for the election. In his capacity as Returning Officer for the election, the University Secretary confirmed that he had since met with both candidates to provide feedback from the Appointing Committee and Stakeholder Group meetings, and to highlight to them the terms of the Regulations for the Appointment of the Chair of Court. The Secretary went on to outline the proposed format for the open meetings which had been scheduled for 11 March 2019 and progress in relation to the election

arrangements. In response to questions he confirmed that he would circulate an update to all Court members shortly after the meeting.

Resolved: to note the update.

5. QUINQUENNIAL REVIEW OF COURT EFFECTIVENESS

The University Secretary introduced a paper which outlined proposed arrangements for the 2019 Quinquennial Review of Court Effectiveness (annex a). In doing-so he highlighted revisions to the process undertaken in 2014 and members were supportive of the proposed approach. Through discussion members highlighted the importance of selecting an external facilitator with an appropriately strong skill-set.

In particular, the Committee noted that a range of the outputs of the 2014 review had been largely 'hygiene-based', dealing with issues of membership, remits and papers and agreed that it would be more valuable for the 2019 review to focus on the effectiveness of the Court, its decision-making, and the discharge of its duties. Members noted that it was proposed that the 2019 exercise be led by a Review Group accountable to the Court, and that this Group would oversee the further development of the scope and methodology for the Review, the appointment of a facilitator, the review process itself and be responsible for the drafting of the final report to the Court. The Committee was supportive of the proposed membership for the 'Review Group' being the same as in the 2014 review: two lay members (one being a member of the Governance & Nominations Committee), a staff member, and a student member of the Court.

Resolved: to recommend to the Court that it approve the proposals set out in annex a.

6. PUBLIC STAKEHOLDER MEETING OF COURT

The Committee considered an overview of the first annual Public Stakeholder Meeting of the Court held on 9 January 2019. The Committee noted that the meeting had been attended by around 300 people, including around 31 of the 218 invited stakeholders with representation across the breadth of the categories invited. Members noted that the feedback from the event had been very positive.

Discussions focussed around the demographic of those attending, which members noted was, perhaps unsurprisingly, biased towards University staff. The Committee highlighted the importance of trying to build on this in future years, and in particular among the student and local communities. Members discussed the timing of the event and noted feedback from the student members of the Court that it was a convenient time for students. Members noted that the attendance had benefitted from the cross-promotion of the Discovery Days events, and from including the Principal's first presentation to the University. Members also discussed opportunities to try to obtain enhanced media coverage in future years.

The Committee went on to consider arrangements for future events, and suggested that officers consider the addition of an event for invited stakeholders and the University Executive Group, and holding the meeting out-with the University to maximise interactions with the local community. The Committee also discussed the merits of holding an event during 2019/20 at Holyrood to broaden the engagement with Government stakeholders and asked that officers engage with External Relations in this respect.

Resolved: to agree the findings and recommendations of the paper including the following actions:

- (i) to note the report of the event on 9 January 2019;
- (ii) to ask officers to consider options for enhancement in 2020; and
- (iii) to ask officers to engage External Relations with regard to holding an event at Holyrood.

7. GENDER REPRESENTATION ON PUBLIC BOARDS

The Committee received a paper from the Director of Academic & Corporate Governance which set out the requirements of the Act to achieve a gender representation objective of 50% membership of women among the non-executive members of the governing body. Members noted how it was proposed that the Act would be interpreted in the context of the composition of Court as defined in Charter and Statutes and agreed that the University had achieved the gender representation objective.

Resolved: to note the report and highlight to the Court that the University had met the gender representation objective of the Act.

8. COURT STATEMENT ON DIVERSITY

The Committee considered amendments proposed to the Court Statement on Diversity (annex b), following comments from the People & Organisational Development Committee. Members agreed that it was appropriate that the Statement be revised as set out to focus equally on all protected characteristics and endorsed the revisions subject to a minor amendment.

Resolved: to endorse to the Court the revised Statement subject to minor amendment (annex b).

9. UK CORPORATE GOVERNANCE CODE

The Committee received a paper which summarised the principals and provisions of the UK Corporate Governance Code which were considered to be of relevance to the University.

Members agreed with the recommendation that the Committee should continue to consider appropriate ways of engaging meaningfully with the University community and with wider stakeholder groups, and highlighted the Public Stakeholder meeting discussed in minute 6 (above) as a positive step in that respect. Members also noted the recommendation that the University review provisions in its governing instruments/policies relating to conflict of interest and the raising of concerns by staff, students and members of Court, and highlighted similarities to the issues raised in the RGU Governance Review (minute 3 (above)).

Following discussion, the Committee also agreed that the Standing Orders for the Court should be revised to address issues of good practice in relation to: additional external appointments by members of Court; remuneration for Court members not otherwise employed by the University; and the regulation of any family ties. In this respect members indicated that they would welcome the inclusion of training for members of the Court, perhaps including case studies or scenarios based around governance expectations, good practice and failures that had occurred in the sector, as a potential session for the 2019 Court Retreat.

The Committee also agreed that Section 5 of the Code should be made available to the Remuneration Committee to inform its consideration of revisions to Remuneration Policies and procedures.

- Resolved:**
- (i) to note that officers would bring forward considerations in relation to conflict of interest in due course;
 - (ii) to note that the Standing Orders for the Court would be revised to address the points raised above;
 - (iii) to ask that the Principal and University Secretary consult with the Chair of Court regarding a development session for the Court Retreat on 5-6 September 2019; and
 - (iv) otherwise to note the summary.

10. EARLY STAGE COURT BUSINESS

The Committee reviewed early proposals for the agenda for the meeting of the Court on 26 February 2019 and members noted the substantive and strategic matters proposed for inclusion. Discussions focussed on the Business School item, where it was anticipated that an in-principle agreement would be sought from the Court for the establishment of the University of Dundee School of Business (UDSB) as a separate and tenth school. In response to questions officers explained the reasons why the proposal had been progressed in an expedited manner relative to the normal business processes.

Resolved: to endorse the proposed approach.

11. COMPLETION OF MANDATORY TRAINING MODULES BY MEMBERS OF COURT

The University Secretary updated the Committee on the completion of mandatory training modules by members of the Court, those being the 'Diversity in the Workplace' and 'Disability' Equality, Diversity & Inclusion modules and the Cyber Security module launched in 2018. Members noted that completion rates were regularly monitored, and that the University Secretary would now formally write to members who had not yet completed them. The Committee highlighted both the importance that Court members were seen to lead by example, and that all members were familiar with the matters which were highlighted in the modules when making decisions on behalf of the University.

Resolved: (i) to note that the University Secretary would formally write to those members who had not

completed the mandatory modules; and

- (ii) to reiterate to Court members the necessity of completing these modules.

12. NARRATIVE TO COURT

The Committee agreed to highlight to the Court the importance of the continued assessment of governance practice against best practice and in light of the review reports considered at the meeting. In particular, the Committee wished to draw the Court's attention to the decision to review the Conflict of Interest and Whistleblowing policies, proposals for the Quinquennial Review of the Effectiveness of the Court, and proposals relating to the Stakeholder Meeting of Court – including a proposed event at Holyrood.

Resolved: to highlight the matters outlined above to the Court.

13. INTERNAL AUDIT: READINESS REVIEW FOR HIGHER EDUCATION GOVERNANCE (SCOTLAND) ACT

The Committee noted the internal audit on 'Readiness Review for HE Governance (Scotland) Act' as previously considered by the Audit Committee on 22 January 2019. Members noted that the internal auditors had agreed with the self- assessment previously approved by the Court, and that the University had made further progress since the fieldwork had been undertaken.

Resolved: to note the report and that there were no areas which required to be highlighted to the Court for further consideration.

14. APPOINTING COMMITTEE FOR THE CHAIR OF COURT

The Committee received minutes from the meetings of the Committee on 19 December 2018 and 14 January 2019.

Resolved: to note the minutes.

15. DUNDEE UNIVERSITY STUDENTS' ASSOCIATION (DUSA)

The University Secretary informed the Committee that the DUSA Trustees, management and executive had approached the University to request support in relation to a review of their governance instruments and practices. Noting DUSA's independence, he advised that the Director of Academic & Corporate Governance and his team had agreed to provide advice and support for DUSA to consider in taking forward its review.

Resolved: to note the minutes.

16. DATE OF NEXT MEETING

Resolved: to note that the next meeting would be held on 26 March 2019.

Quinquennial Review of Court Effectiveness

Introduction

1. Members will be aware from previous discussions that a review of Court effectiveness is due to take place in 2019 (previous reviews having taken place in 2009 and 2014). The expectations for such a review are set out in paragraph 49 of the updated 2017 edition of the Scottish Code of Good Higher Education Governance¹, which states that:

The governing body is expected to review its own effectiveness each year and to undertake an externally facilitated evaluation of its own effectiveness and that of its committees, including size and composition of membership, at least every five years. As part of these processes or separately, the effectiveness of the academic board (also known as Senate, Senatus Academicus or academic council) is expected to be reviewed similarly. These reviews should be reported upon appropriately within the Institution and outside. Externally facilitated reviews should be held following any period of exceptional change or upheaval (allowing suitable time to see the effects of changes made), the usual timetable for externally facilitated review being brought forward if necessary, in these circumstances.

2. Court's practice has been to delegate responsibility for overseeing and taking forward the review to the Governance & Nominations Committee. At its meeting on 5 February 2019 the Committee considered draft proposals from officers for the conduct of the review, drawing on experience of the 2014 process.
3. This paper represents an updated version of those proposals incorporating the outcome of the Committee's discussion and is submitted to Court for formal consideration and approval.

The 2014 review²

4. The 2014 review was undertaken at a time of some turbulence for the University and against the backdrop of Court being asked to make difficult decisions around financial sustainability and staffing reductions. It was also the first to be undertaken with the support of an external facilitator, the requirement for which had been stipulated in the first edition of the Scottish Code published in 2013.
5. The Governance & Nominations Committee appointed a small steering group (the Review Group) to take forward the review with officers and liaise with the external facilitator between Committee meetings. The Review Group was responsible for finalizing the terms of reference and approach to the review and for preparing a final report to the Governance & Nominations Committee and then Court. Its membership comprised two lay members (one of whom was a member of the Committee), a staff member of Court and a student member of Court.
6. The Committee engaged John Lauwerys, an experienced former University Registrar at the University of Southampton (working as a consultant with the Leadership Foundation for Higher Education), as the external facilitator. Members determined that the role of the external facilitator should be to provide the Review Group with a report and recommendations based on having undertaken a review of Court paperwork, attended a sample of Court and Court Committee meetings and conducted interviews with Court members and other internal and external stakeholders as appropriate. The Review Group considered this report as one of a number of sources of evidence in producing its own overarching report to the Governance & Nominations Committee and Court.
7. The Review Group's final report, including 24 recommendations, was considered by the Court in December 2014. Subject to some amendments to reflect Court's discussion of the issues raised, the report was approved and its recommendations were adopted for formal implementation. Feedback at the time was that Court felt the process that had been followed had been a good and robust one.

Proposals

8. On that basis, the Governance & Nominations Committee proposes that the following approach be taken in relation to the conduct of the 2019 review, which is based on that used in 2014:

¹ Available online at: <http://www.scottishuniversitygovernance.ac.uk/2017-code/>, accessed 30 January 2019.

² The output of the 2014 review is available online at: https://www.dundee.ac.uk/media/dundeewebsite/pgla/documents/court/Report_from_RCE_2014.pdf, accessed 30

- (a) That a small Review Group be established with the same composition as in 2014 to have overall control of the review (lay member of G&NC as Chair; lay member of Court; staff member of Court; student member of Court), finalize its terms of reference and approach, and prepare a final report to the Governance & Nominations Committee and then Court;
- (b) That the Review Group be supported in its work by the University Secretary, Director of Academic & Corporate Governance and Policy Officer (Corporate Governance);
- (c) That, in consultation with the Committee, the Review Group identifies and appoints an appropriate external facilitator(s) to attend its meetings, contribute to the review and in particular meet with Court members individually or in groups to explore the issues identified through the review process. It is suggested that consideration be given to appointing a suitably independent current or former Secretary/Registrar and/or Chair of Court to this role;
- (d) That the Review Group be tasked with producing a draft report and recommendations based on the following inputs:
 - An evaluation of the outcome of the implementation of the review undertaken in 2014 and the annual effectiveness reviews carried out in the period since;
 - The assessment of alignment to the Scottish Code recently undertaken by the University's internal auditors;
 - A review by officers of Court's Statement of Primary Responsibilities based on sector-wide best practice;
 - The findings and recommendations arising from the work of the external facilitator;
 - The outcomes of a survey of Court members to be carried out by means of a fully reviewed and revised version of the questionnaire used for the 2014 exercise.
- (e) That the Review Group be asked to provide an initial report for discussion by Court at its Retreat on 5/6 September 2019, with a final report being issued to the Committee and Court at their final cycle of meetings in 2019.

Recommendation

- 9. The Court is invited to discuss this paper and the options and proposals within it with a view to establishing a Review Group and confirming arrangements for taking forward the forthcoming Quinquennial Review of Court Effectiveness.

University Secretary/Director of Academic & Corporate Governance/Policy Officer (Corporate Governance)
February 2019

Statement on Equality, Diversity and Inclusion on the University Court

As the Governing Body of the University of Dundee, the Court is publicly committed to ensuring that established principles of good practice in equality, diversity and inclusion pervade all activities in which the University is engaged. The Court is committed to promoting inclusivity in terms of all nine protected characteristics (age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation). The Court recognises that a diverse staff and student community underpins the very nature of academic endeavour, whose foundation is the dialogue and interplay between differing opinions from different backgrounds and standpoints. The success of the University rests on fostering such diversity.

The Court recognises that it must espouse these same principles of good practice in respect of its own membership and that it should be subject to the same scrutiny in respect of equality, diversity and inclusion as the rest of the University community. The Court is particularly concerned to proactively ensure balance in its own membership, as well as in the membership of its own committees and those across the institution. In support of this, the Court has affirmed its commitment to the use of advertising in a way which reaches out to as diverse a range of candidates as possible, and this may include the use of external search agencies. The Court will also promote greater diversity from those groups who elect members to serve on the Court.

The Court, through its Governance & Nominations Committee, has established a robust process for appointing new lay members to the Court, which it believes to be transparent, fair and objective. To support this process the Court ensures that appointment panels for new Court members, and for senior appointments within the University, do themselves demonstrate principles of good practice in equality, diversity and inclusion, and this includes an awareness of the risks of unconscious bias. Moreover, Court already considers an evaluation of the range of skills in all lay appointments as well as equality and diversity information relating to current Court members to be able to promote inclusivity and equality in terms of all nine protected characteristics in the selection process.

APPENDIX 7

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE (Minute 41(4))

A meeting of the Committee was held on 31 January 2019.

Present: Shirley Campbell (Convener);
Dr William Boyd; Catherine Cavanagh; Professor Tim Kelly; Rebecca Leiper; Bernadette Malone; Dr Alison Reeves;
Dr Jean Robson;
Jay Surti (items 7-15).

In Attendance: Professor Nic Beech (Vice-Principal) (Provost);
Dr Jim McGeorge (University Secretary);
Dr Nicholas Helps (Head of Safety Services) (items 8 and 9);
Pamela Milne (Director of Human Resources & Organisational Development);
Dr Liz Rogers (Assistant Policy Officer) (Risk & Audit); and;
Julie Strachan (Deputy Director of Human Resources & Organisational Development).

1. MINUTES

Resolved: to approve the minutes of the meeting on 1 November 2018.

2. MATTERS ARISING

(1) Action Log

The Committee considered a log of ongoing actions. Members were content that the log offered a comprehensive record of outstanding actions and noted the progress updates and target completion dates provided.

Resolved: to note the updates provided, and to approve the action log.

(2) Staff Survey

The Vice-Principal (Provost) provided the Committee with an update on progress to date with addressing the staff survey outcomes in the schools of Dentistry and Humanities, outlining the differing issues faced by each School and the plans in place to address them. Discussions focused on the mechanisms in place to enhance management arrangements in the Schools, and the Committee noted that a financial recovery plan would be put in place for the School of Dentistry. Members questioned whether wellness and absence should be included in dashboards for Schools. The Vice-Principal agreed that this information could be kept separately for the management team as opposed to publicly on the dashboards.

Members thanked the Vice-Principal and Director of Human Resources & Organisational Development for the significant amount of work undertaken and the sensitive way it had been handled.

Resolved: to note the update.

(3) Staff Recruitment Report

The Committee reviewed the staff recruitment report which provided a summary of recruitment and selection activity at the application and appointment stages over the period 1 August 2017 to 31 July 2018. Members noted that that additional analysis had been provided on gender, BME and grade and commented on variances in the appointment rate between BME and white applicants.

The Committee recognised the University's commitment to equality, diversity & inclusion, noting that it had recently signed up to the Race Charter in addition to Athena SWAN. The Committee felt that it would be helpful if a cross category analysis and summary sheet was provided in future reports to highlight how recruitment activity was impacting on the shape of the workforce and any changes to this.

Resolved: to note the update.

(4) University Website: Equality, Diversity & Inclusion

The Director of Human Resources & Organisational Development informed the Committee that she had liaised with External Relations regarding the prominence of the equality, diversity and inclusion pages on the University website. Members noted that a University-wide website review was ongoing and that this would be considered as part of the review.

Resolved: to note the update.

3. **BUSINESS TRANSFORMATION**

The Director of Human Resources & Organisational Development provided members with an update on progress with the regard to the Human Resources & Payroll module of the OneUniversity system being delivered through the Business Transformation Programme. The Committee noted that testing on the module would commence in February.

Resolved: to note the update.

4. **ANNUAL REPORT ON GRIEVANCES, APPEALS AND HEARINGS**

The Committee received a paper from the Deputy Director of Human Resources & Organisational Development which outlined the processes for handling appeals, grievances and hearings and provided a summary of the total number of cases considered by the University over the previous academic year. Members welcomed the report and asked that future reports contain further evaluative content, particularly in relation to how the University complied with procedural timescales, the effectiveness of procedures and any lessons learned. The Committee noted that work would be carried out to further analyse the relatively high proportion of number of academic promotion appeals upheld and the way in which outcomes were communicated.

Resolved: to note the paper.

5. **ABSENCE MANAGEMENT REPORT**

The Deputy Director of Human Resources & Organisational Development introduced the annual absence management report. Members noted that, following feedback from the Committee at the meeting on 1 February 2018, the methodology for reporting had been further refined. The Committee noted that the University's performance was closely aligned to sector benchmarks. Noting the number of days lost due to mental health, members were pleased to note that the Wellbeing Group had developed action plans towards addressing this and that the University had joined the Healthy University Initiative. Members suggested that future reports provide a breakdown of long-term absence, in order to help the Committee better understand the impact of mental health on days lost and recognised the impact a small number of staff with long-term health conditions could have on the data for individual Schools and Directorates. The Convener suggested that the impact of initiatives towards supporting mental health could be tested via the staff survey. The Director of Human Resources & Organisational Development informed members that the University Executive Group would be discussing targets for absence rates.

Resolved: to include further breakdown of figures in future reporting.

6. **MERIT AWARDS**

The Director of Human Resources & Organisational Development introduced the annual report on merit awards, which provided analysis on the outcomes of the University's annual merit awards process. Members suggested that individuals who had not completed mandatory training should not be eligible for merit awards.

Resolved: to ask UEG to consider whether merit awards should take into account compliance with mandatory training.

7. PEOPLE RISK REVIEW

The Committee considered the risk register for Human Resources & Organisational Development. Discussions focused on Brexit, training compliance and equality, diversity and inclusion. It was agreed that it would be beneficial to view a summary of people-related risks from both the HR&OD and institutional risk registers.

Resolved: the Assistant Policy Officer (Risk & Audit) to provide a summary on people risks.

8. HEALTH, SAFETY & WELFARE ANNUAL REPORT

The Head of Safety Services attended to introduce the annual health, safety & welfare annual report. He outlined progress to date in completing actions from recent internal audit reports, accident statistics and training completion rates. Members welcomed the comprehensive nature of the report and thanked him for his work over the course of the year.

Discussions focused on the completion by new staff of the mandatory health & safety training modules. The Head of Safety Services informed members that a new process had very recently been put in place to improve training completion rates, with an escalation process involving action by the University Secretary and Vice-Principal (Provost) including the threat of disciplinary proceedings. The Director of Human Resources & Organisational Development confirmed that this process would be reviewed once it had been fully embedded, and that the University Executive Group would also consider widening this approach to include individuals who had not completed other mandatory training, such as that for Cyber-security and equality & diversity). The Committee also questioned whether refresher training was on offer for long serving members of staff and questioned the training provided for members of staff dealing with hazardous substances. The Committee noted that an update on the suite of training modules would be provided at the March meeting.

Discussion also focused on fire safety, inspections and testing, student health & safety incidents and corporate liabilities.

Members noted the Committee's need for continuing assurance on the processes to monitor health & safety, and asked management to consider developing a health & safety maturity matrix. The Committee also agreed that it should ensure that matters relating to health & safety were given consideration at Court.

Resolved:

- (i) to consider a health & safety maturity matrix; and
- (ii) otherwise to note the report.

9. HEALTH & SAFETY POLICY

The Head of Safety Services introduced the revised Health & Safety Policy. Members noted that the policy had been previously considered by the Local Joint Committee, the Health, Safety & Welfare Committee and the University Executive Group.

The Committee discussed the membership of the Health, Safety & Welfare Committee, questioning whether it would be of value also to include a School Manager. The Committee also discussed mechanisms to ensure all Schools operated a separate Health & Safety Committee but did so in an efficient as well as effective way.

Members provided several suggested amendments to the policy including: further clarity around certain roles and responsibilities; additional guidance to support the implementation of the policy; and consideration to the additional committees in Schools.

Resolved: to note that the policy would be revised in accordance with the Committee's discussions.

10. COURT NARRATIVE

The Committee agreed that the Convener should highlight the following matters to the Court at its meeting on 26 February 2019: progress made in relation to the findings of the staff survey in the Schools of Dentistry and

Humanities (item 2(2)); the annual report on Grievances, Appeals and Hearings as requested by the Court at its meeting on 11 December 2017 (item 4); the Committee's in-depth discussions on health, safety & welfare (item 8); and the Health & Safety Policy (item 9).

11. **UCU BALLOT FOR STRIKE**

The Director of Human Resources & Organisational Development informed the Committee that UCU's ballot for strike action had opened on 15 January 2019 and that this would be an aggregate ballot across the UK sector as opposed to an individual institution ballot.

12. **BREXIT**

The Director of Human Resources & Organisational Development informed the Committee that the University had been part of the Settlement Status Pilot Scheme and that it continued to support EU staff with applications for this. The Committee noted that the University continued to provide the most up-to-date information possible on its website and that there were concerns around Settlement Status in the event of a no-deal Brexit.

13. **SCHOOL OF BUSINESS**

The Committee noted that Senate had approved, in principle, the creation of the Business School as a tenth School of the University. Members noted that this would be subject to Court approval and that consultation with staff, DUSA and the campus unions would be taking place.

14. **COMMITTEE REPORTS**

(1) Local Joint Committee minutes

The Committee received the minutes from the meeting of the Local Joint Committee on 28 November 2018.

Resolved: to note the minutes.

(2) Health & Safety Sub-Committee minutes

The Committee received the minutes from the meeting of the Health & Safety Sub-Committee on 10 December 2018.

Resolved: to note the minutes.

15. **DATE OF NEXT MEETING**

Resolved: 21 March 2019.

APPENDIX 8

REMUNERATION COMMITTEE (Minute 41(5)(a))

A meeting of the Committee was held on 19 November 2018.

Present: Bernadette Malone (Convener);
Richard Bint (by telephone);
Ronald Bowie;
Shirley Campbell (by telephone);
Rumana Kapadia.

In Attendance: Dr Jim McGeorge (University Secretary);
Pam Milne (Director of HR and Organisational Development); and;
Dr Christine Milburn (Policy Officer) (Corporate Governance)).

Apologies: Sharon Sweeney.

1. RESERVED BUSINESS: NEW PRINCIPAL AND VICE-CHANCELLOR

[Secretary's note: The University asserted that the paper was exempt from public disclosure and claimed exemptions in sections 30(b) of the Freedom of Information (Scotland) Act 2002.]

The Committee considered a paper which proposed an amendment to the relocation package previously agreed by the Committee for the incoming Principal. The Committee noted that under the terms of the new agreement, the first £8k would continue to be paid by the University without deduction of income tax and NI contributions in line with HMRC rules. However, a further gross amount of £40,000 would be paid on appointment, as a one-off 'disruption allowance', this amount being inclusive of all necessary tax and NI payments. This new arrangement reduced the overall value of the relocation package by £2k.

It was noted that following deductions, the one-off payment would amount to a net sum of around £17k, and in discussion members indicated that the Principal should be accountable to the Chair of Court with regard to its use. Members agreed that the use of an explicit disruption allowance should be exceptional to this appointment. The University's standard rules with regard to repayment in the event of leaving the University's service within the first two years of appointment would apply to both amounts (the £8k and the £40k).

The Committee agreed that in view of the requirement to amend the package there should be a review of the negotiating process, and the Convener outlined a number of initial thoughts. The Director of Human Resources & Organisational Development confirmed that she would provide a report to a future meeting.

Resolved:

- (i) to accept the proposals as outlined;
- (ii) to ask officers to undertake a 'lessons learned' review; and
- (iii) to review policies in this area light of any recommendations resulting from the review, and to determine if any amendments were required to improve practice and inform the process for future senior appointments.

APPENDIX 9

REMUNERATION COMMITTEE (Minute 41(5)(a))

A meeting of the Committee was held on 11 December 2018.

Present: Bernadette Malone (Convener);
Richard Bint;
Ronald Bowie (by telephone);
Rumana Kapadia; and
Sharon Sweeny.

In Attendance: Principal Professor Sir Pete Downes (Items 1-9 by invitation of the Convener);
Professor Nic Beech (Vice Principal (Provost)) (Item 7 by invitation of the Convener);
Dr Jim McGeorge (University Secretary); (items 1-7, 9-10, and part of 8 by invitation of the Convener);
Pam Milne (Director of HR and Organisational Development) (items 1-7 and 9-10 by invitation of the Convener); and
Dr Christine Milburn (Policy Officer (Corporate Governance)).

Apologies: Shirley Campbell.

1. MINUTES

Resolved: to approve the minutes of the meetings of the Committee on 11 June, 30 August and 19 November 2018.

2. MATTERS ARISING

(1) Action Log

Members received the action log for the last meeting of the Committee and noted the updates provided. Members were satisfied that the items identified in the log as 'on-going' were appropriately reflected in the work-plan for the Committee for 2018-19. Discussions focused on the oversight of processes for in-year awards and the Director of Human Resources & Organisational Development highlighted amendments to the Committee's Remit & Terms of Reference designed to clarify this issue.

Resolved: to note the updates.

(2) Continuing Professional Development Training for the Committee

The Director of Human Resources & Organisational Development (HR & OD) updated members on discussions with potential training providers, and in doing-so presented two options for the Committee to consider. Members noted that the training was scheduled for the meeting on 21 March 2018. Through discussion members expressed a particular interest in the benchmarking of practice at the University relative to comparator institutions, as well as the consideration of case studies. Members delegated authority to the Convener and the Director to finalise arrangements for training for the Committee.

Resolved: to delegate authority to the Convener and the Director of Human Resources & Organisational Development (HR & OD) to finalise arrangements for training for the Committee

(3) Policies and Procedures

The Director of Human Resources & Organisational Development (HR & OD) updated members on options with regard to the proposed review of remuneration policies and procedures by an external consultant. The Committee agreed that it would be valuable for this to take place after the Committee's training session in March, and noted that it had been provisionally scheduled for the meeting on 20 May 2018.

Members were invited to consider the approach to the review, and agreed that it would be useful to focus on practice within the HE sector.

Resolved: to delegate authority to the Convener and the Director of Human Resources & Organisational Development (HR & OD) to finalise arrangements for the proposed external review.

(4) Scottish Code of Good HE Governance: Section 80

The Director of Human Resources & Organisational Development (HR & OD) reminded members that in accordance with the Scottish Code of Good HE Governance (2017) section 80, in addition to changes already made to the membership of the Remuneration Committee, the University had undertaken to develop a framework to seek the views of students and staff of the institution in relation to the remuneration packages of the Principal and the senior executive team. Members noted that the Committee had previously deferred discussions on this matter until the new staff and student members of the Committee had been appointed to allow them to contribute to developments – recognising their membership in itself delivered student and staff input to their decision-making.

Following discussion members agreed that the first step should be to develop communications to staff and students outlining the process and timeline for Remuneration Committee decisions, and to then consider options for engagement such as meetings with unions and the scheduling of open meetings. The Committee noted that the purpose was to consult and give confidence that remuneration decisions were taken openly, fairly and that processes were rigorously adhered to. Members also highlighted the need to be sensitive to the timing and environmental context of communications.

Resolved:

- (i) to ask the Director of Human Resources & Organisational Development (HR & OD) to develop communications to staff and students around the process and timeline for remuneration decisions; and
- (ii) otherwise to ask the Director to schedule meetings with the unions as part of the remuneration timeline, and to consider the timing/feasibility of open-meetings.

3. **WORK-PLAN, OBJECTIVES, AND REMIT & TERMS OF REFERENCE**

The Committee considered and approved the work-plan, objectives, and schedule of business for the Committee for 2018/19.

The Committee also reviewed proposed amendments to the Remit & Terms of Reference for the Committee, and members noted that the changes focused around the application of the Scottish Code of Good HE Governance (2017), the development of the Strategy to 2022, and pensions matters. Members also reviewed changes to the Reward Policy, and confirmed that they were content that the changes addressed requests made by the Committee for the document to highlight reward principles within the policy.

Resolved:

- (i) to approve the work-plan, objectives, and schedule of business for the Committee for 2018/19;
- (ii) to endorse to the Court amendments made to the Remit & Terms of Reference for the Committee (annex a); and
- (iii) to endorse to the Court amendments made to the Rewards Policy, subject to minor amendment.

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

The Convener updated the Committee on discussions relating to the business of the Remuneration Committee at meetings she had recently attended on behalf of the Chair of Court. Following discussion the Committee recommended that the Governance & Nominations Committee be invited to review lessons learned from the recent Audit Scotland report on NHS Tayside and the report of an investigation at Robert Gordon University which was expected to be published before Christmas.

The Director of Human Resources & Organisational Development (HR & OD) also drew members' attention to information circulated to the Committee summarising matters relating to the terms and conditions of contracts for Grade 10 staff across the sector. Members noted a mixed pattern of introduction/non-introduction of a banding structure within Grade 10, and that practice in relation to payments when life-time pension allowances were reached had changed significantly since the University last reviewed its position. Noting the level of resource

required to implement an effective a Grade 10 banding structure, the Committee noted that further discussion of this topic was included in the Committee's work-plan.

Resolved: to note the updates

5. **SEVERANCE POLICY**

The Director of Human Resources & Organisational Development (HR & OD) advised the Committee that it was normal practice for the Severance Policy to be reviewed on a regular basis. No changes were proposed to the policy and members endorsed its continued appropriateness.

Resolved: to note the review of the policy.

6. **RESERVED BUSINESS: ANNUAL REPORTS TO THE REMUNERATION COMMITTEE**

(1) Reserved Business: Schedule of Delegation

In accordance with the remit for the Remuneration Committee, and the corresponding policies, the Committee received a report from the Director of Human Resources & Organisational Development (HR & OD) detailing decisions taken by the Remuneration Committee and/or the Convener of the Remuneration Committee in accordance with the Schedule of Delegation and Decision-Making Powers over the previous 12 month period.

In introducing the report the Director drew members' attention to requests by senior members of staff to undertake consultancy where remuneration exceeded £5k per annum, or where the individual was a member of the University Executive Group. Members were reminded that the Committee had previously approved, by email circulation, a request that Professor Karl Leydecker, Vice-Principal (Learning & Teaching), be permitted to undertake consultancy work for the German Council of Science & Humanities, the payment for which he was donating to the University.

The Committee also considered a consultancy contract for Professor Niamh Nic Daeid (School of Science & Engineering) which related to the Grenfell Public Enquiry. The Committee supported the approval of the consultancy but, noting that approval was retrospective and readily given, highlighted the need to clarify the role of the Committee with in-year decisions of this nature.

The Committee also commented on the relatively low number of consultancy approvals coming forward for approval.

- Resolved:**
- (i) to homologate the approval for Professor Karl Leydecker, Vice-Principal (Learning & Teaching), to undertake consultancy work for the German Council of Science & Humanities;
 - (ii) to retrospectively approve the request that Professor Niamh Nic Daeid (School of Science & Engineering) accept a consultancy contract related to the Grenfell Public Enquiry; and
 - (iii) otherwise to ask the Director of Human Resources & Organisational Development (HR & OD) to consider how practices relating to in-year approvals could be clarified and improved.

(2) Reserved Business: Severance Report

In accordance with the Remuneration Committee remit and the University's Severance Policy, the Director of Human Resources and Organisational Development provided the Committee with a severance report for the 12 month period since the last meeting of the Committee. Members noted that there were 5 cases (totalling £149,540), and that there were no cases at a level which required approval by the Remuneration Committee. The Director drew members' attention to the Equality Impact Assessment (EIA) of the Severance cases.

- Resolved:**
- (i) to note the Equality Impact Assessment (EIA) of the severance cases; and
 - (ii) otherwise to note the report.

7. **RESERVED BUSINESS: REPORT TO THE REMUNERATION COMMITTEE – 2018/19 REMUNERATION ROUND**

[Secretary's note: The Vice-Principal (Provost) attended the meeting for this item to answer questions from the Committee in relation to awards recommended by the Deans' Group.]

The Vice-Principal (Provost), University Secretary and Director of Human Resources & Organisational Development, as members of the USS Pension Scheme, declared a conflict of interest with regard to discussions relating to USS life-time pension allowance and withdrew from the meeting for the duration of discussions on this topic.]

The Committee received a report highlighting contextual information relevant to the remuneration award process, and a summary of decisions taken by the University Executive Group (UEG) regarding senior staff remuneration. Minutes from the remuneration meetings of the UEG (12 November 2018), Deans' Group (31 October 2018), and Professional Services Remuneration Committee (4 October 2018) were also provided for members' information.

The Director of Human Resources & Organisational Development (HR &OD) drew members' attention to instances where the UEG had approved amendments to the recommendations made by the Deans' Group, including two instances where the subsequent award exceeded the guideline £5k limit. In this respect members noted the justification of these awards in terms of: ensuring that the salary reflected an appropriately competitive position; risks around retention; and the individuals' exceptional and sustained performance. Members also discussed an instance where the level of the award had been reduced and, noting the circumstances, suggested that officers review the process by which sensitive due diligence information was made available to the Deans' Group and Professional Services Remuneration Committee when making remuneration decisions. Members indicated that they were fully satisfied that the applicable governance processes and policies had been appropriately followed. Members also noted Equality, Diversity & Inclusion reports relating to the awards and were pleased to see improvements in the position.

The Committee also considered the format of the report and, noting the low overall total of awards/areas where few applications had been received, members indicated that it would be helpful to see a trend analysis for applications and awards to enable the Committee to identify if there were issues which required attention, or if the lack of applications resulted from awards being made in previous years. Members also suggested a number of formatting enhancements to the report but were otherwise pleased with the improvements made to the approach to reporting.

The Director of Human Resources & Organisational Development (HR &OD) also drew members' attention to a request from a senior Professor that consideration be given to a salary adjustment as they had reached their life-time pension allowance. The Committee agreed that the University should review its position in relation to practice when life-time pension allowance was met. The Committee indicated that it would be necessary to complete the review before considering any individual requests, and asked that the Director of Human Resources & Organisational Development (HR &OD) to respond to the Professor to indicate this position.

Salary increases in Schools and Professional Services had been approved by UEG as follows:

	No. of awards	Total
Professional Services	4	£11,000
Deans	0	£0
Academic Staff	13	£59,000
Total		£70,000

- Resolved:**
- (i) to note that the Committee was satisfied that due process had taken place, that from a governance perspective the UEG had discharged its delegated authority appropriately, and that the Remuneration Committee could report to the Court that this was the case; and
 - (ii) otherwise to note the value of the awards made, but to highlight to the Court that the remaining funds within the £140k budget allocated may still be required to address in-year retention matters.

8. **RESERVED BUSINESS: REMUNERATION OF UNIVERSITY EXECUTIVE GROUP MEMBERS**

[Secretary's note: The Director of Human Resources & Organisational Development, withdrew from the meeting for the duration of discussions on this item. The University Secretary also withdrew from the meeting for this item, but

was invited to rejoin for discussions relating to the performance of Professional Services members of the UEG].

The Committee considered reports on the current salaries of University Executive Group (UEG) members, UCEA Senior Staff Remuneration benchmarking information, a report from the Principal regarding the performance of the UEG and its members, and applications submitted for consideration.

The Committee discussed the level of experience, performance relative to objectives and sectoral expectations, and benchmarking information relating to those where awards were recommended.

Resolved: to approve the total award of £15k across 4 members of the UEG.

9. **REMUNERATION COMMITTEE ANNUAL REPORT**

The Committee considered a draft of the Annual Remuneration Committee Report to the Court. The Director of Human Resources & Organisational Development (HR &OD) undertook to update the report based on feedback provided, and members noted that the report would be submitted to the Court at its meeting on 26 February 2019 alongside the minutes for the meeting.

Resolved: to note that the Director of Human Resources & Organisational Development (HR &OD) would circulate a revised report prior to its submission to the Court.

10. **OBJECTIVE SETTING: PRINCIPAL**

[Secretary's note: The Principal was not present during the discussion of this item]

The Chair of Court updated members on discussions with the new Principal, Professor Andrew Atherton, regarding his visits to the University since his appointment. He advised members that he would discuss objectives for 2018-19 with the new Principal when they met during the week commencing 17 December 2018, and that these would be shared with the Convener and members of the Remuneration Committee in due course.

Resolved: to note the update.

**UNIVERSITY OF DUNDEE
UNIVERSITY COURT**

**Remuneration Committee
Remit, Terms of Reference and Membership**

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

Appendix – Framework of Information for the Remuneration Committee

1. Purpose of the Remuneration Committee

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

The Committee will report to the Court on decisions regarding the salary, emoluments and terms and conditions of service for the members of the UEG, including the Principal.

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

In so doing, the Committee must:

- take account of SFC's guidance on the governance of senior salaries.
- give due regard to the academic, institutional and financial wellbeing of the University.
- ensure the University's principles of fairness, equality, diversity and inclusion are applied and monitored.
- ensure that the Principal, the members of the UEG and staff at grade 10 are fairly rewarded for their individual contribution to the University's overall performance.
- ensure compliance with the financial parameters within which the Committee and the UEG must operate when making salary/monetary awards, approving 'other paid work' e.g. consultancy payments or considering termination arrangements.
- satisfy itself that the grade 10 staff who have been made salary/monetary awards have actively engaged in the University's Objective-setting and Review process and demonstrate performance which supports the University's Vision and Strategy .
- fulfil its duties as outlined in the Schedule of Delegation.

2. Context

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

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

The University is required to adhere to the principles of the Scottish Code of Good HE Governance (2017), specifically under paragraphs 78-81 on Remuneration Committees.

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

3. **Composition of the Remuneration Committee**

The Remuneration Committee must have the expertise to review and determine the salaries, emoluments and terms and conditions of service for the most senior members of the University (i.e. the Principal and the UEG) and to monitor the application of the Remuneration Policy to ensure it is being applied fairly, effectively and consistently, in the University's interests. In the interests of equity, the Remuneration Committee should aim as far as possible to have a diverse membership in relation to the Protected Characteristics as defined in the Equality Act 2010.

The membership of the Committee will comprise:

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

The quorum of the Remuneration Committee will be three.

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

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

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

In addition, a separate meeting of the Committee will be convened to consider the salary and other terms & conditions of the Principal, which require to be discussed. The Principal will not attend this meeting.

The following skills/experience are particularly valued by the Committee

- General understanding of, and commitment to, good governance;
- Experience or qualifications relating to Human Resources matters;
- Experience in reward and remuneration strategies and their application;
- Experience of performance management systems;
- Experience of the operation of appraisal systems;
- Experience of employee engagement/stakeholder consultation, ideally with staff and students;
- Understanding of the broader political, media, and governance environment relating to senior pay across the

- public and private sector;
- Awareness of sector-wide legislation and requirements relating to remuneration;
- Knowledge/experience and understanding of equality, diversity and inclusion legislation and approaches;

In addition, the following abilities and attributes would be valued

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

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

4. **Key Responsibilities**

The key responsibilities of the Remuneration Committee are:

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

5. **Core Values**

The core values of the University:

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

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

- Merit (defined as clear contribution to the Vision and Strategy of the University), including the retention of key employees and the need to address any pay gap issues arising from an analysis of protected characteristics, will be the only basis on which remuneration awards will be distributed. Fairness, equality and diversity. No discrimination will be permitted arising from a protected characteristic as defined by the Equality Act 2010.

- Any conflicts of interest throughout the process, leading up to and at the Remuneration Committee must be declared and action taken to rectify the situation.

6. **University Strategy to 2022**

The Strategy to 2022 supports the core purpose, vision and values of the University. It has committed the University to being a high performance community through a multi layered approach, which includes;

- Advancing our values
- Enabling our people to flourish and
- Enhancing university performance and reputation

Reward which recognises contribution and commitment across these and other areas of the Strategy supports its delivery of these and the Remuneration Committee has a responsibility to ensure that is inherent in the process.

7. **Support for the Remuneration Committee**

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

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

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

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

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

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

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

8. **Meetings of the Remuneration Committee**

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

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

legislation.

9. Delegated Authority

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

10. Governance

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

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

University of Dundee Information for the Remuneration Committee

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

UNIVERSITY OF DUNDEE

REWARD POLICY FOR PROFESSORIAL AND GRADE 10 STAFF

Contents

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9. Core Employee Benefits for grade 10 Staff
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1. Introduction

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

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

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

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

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

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

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

2. **Aim of Policy**

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

3. **Scope**

This policy applies to all grade 10 employees of the University, including the Principal, Vice-Principals/University Secretary, Professors, Directors and other senior professional services staff.

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

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

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

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

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

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

5. **University Values in Practice**

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

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

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

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

Valuing People, however, does not mean that difficult decisions and actions in relation to staff are avoided. Rather, it means that when difficult decisions and actions are necessary, they are put into effect with humanity and respect.

Consideration should be given to good management methods and practice. The leadership of the University in this senior group will have a particular responsibility for role-modelling this behaviour both in respect of taking difficult decisions, where necessary, and for the manner in which these decisions are executed.

No member of grade 10 staff will be considered for a salary increase unless they have engaged fully in the OSaR process: be it personally, conducting OSaR meetings for their direct reports and, where necessary, nominating

Reviewers. The Principal, Vice-Principal (Provost), Deans, the University Secretary and Directors must have a full understanding of the contributions their grade 10 staff are making in order that they may recognise achievements or intervene where there are performance difficulties.

6. **The University Strategy to 2022**

The Strategy supports the core purpose, vision and values of the University. It sets our commitments over the next five years and these include;

- Advancing our values
- Enabling our people to flourish and
- Enhancing university performance and reputation

Remuneration is one way in which the University can contribute to these commitments, ensuring Grade 10 staff are suitably rewarded for their contribution to the University, students and community.

7. **The Purpose of the Reward Policy**

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

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

8. **The University's Reward Policy for Grade 10 Staff**

Starting Salary on Appointment to Grade 10

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

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

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

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

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

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

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

Increases to Base Salary and Related Decisions

Grade 10 salaries sit outside the nationally-negotiated salary framework in operation for staff at grades 1-9 in the University, only the starting salary for Grade 10 being noted on the salary scale which is the equivalent of the first contribution point at Grade 9. However, the University provides the opportunity for grade 10 base salaries to be considered annually and awards are made, where appropriate, dependent on performance.

At the beginning of the annual cycle, on the recommendation of the Finance & Policy Committee, Court considers its overall approach to senior staff remuneration, including the budget available and gives guidance on its expectations to the Remuneration Committee. It should be noted that the University's financial position in any year will influence the distribution of base salary increase awards.

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

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

Performance Ratings

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

E - Exceptional

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

EE - Exceeds Expectations

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

ME - Meets Expectations

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

IR - Improvement Required

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

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

Base Salary Increase Awards

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

Objectives, Achievements and Markers of Esteem

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

Process

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

Honoraria

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

9. Core Employee Benefits for Grade 10 Staff

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

Pension

The Universities Superannuation Scheme (USS) is a defined benefit career revalued scheme whereby 1/75th of pensionable salary per annum is accrued as pension, plus three times this amount as a one off lump sum at retirement. Staff on grade 7 to grade 10 are contractually enrolled into USS from their start date. For more information please view the USS booklet – New employees guide to USS – found at: <https://www.uss.co.uk/members/members-home/resources>

There are other useful factsheets/booklets on this link, covering things such as: annual allowance, lifetime allowance, the new 'voluntary salary cap', etc.

Death-in-Service Benefit

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

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

With effect from 1 October 2016, USS are introducing a Voluntary Salary Cap (VSC) for pension purposes only, which may be of interest to some staff. More information on this can be found at the USS link above.

Members are encouraged to seek qualified independent financial advice on the impact of personal taxation. The issues are complex, and the implications may extend beyond the rights which a member holds in USS. For example, it may impact upon other pension entitlements and accruals, hence qualified independent financial advice may be appropriate.

Occupational Sick Pay

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

10. Other Benefits

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

- Subsidised membership of the Institute of Sport & Exercise: employee wellbeing is a high priority issue at present for employers.
- Subsidised nursery facilities on the city campus.
- Services which would ordinarily incur professional fees should they be used:
 - Occupational Health
 - University Health Service
 - Counselling Services
 - Mediation Services.

- A salary sacrifice scheme offering benefits in relation to pension payments and childcare vouchers.
- Relocation Allowance: one month's gross pay.
- Generous annual leave entitlement: 39 days per annum compared with the statutory 28 days.
- Encouragement to take advantage of free Training & Development opportunities on the OPD programme.
- Flexibility of work hours for academic and senior professional staff.
- Work/Life Balance Policies.

APPENDIX 10

REMUNERATION COMMITTEE ANNUAL REPORT (MINUTE 41(5)(b))

Introduction

1. The role of the Remuneration Committee is to recommend to the University Court the remuneration strategy and policy framework for all grade 10 staff, including the Principal and the University Executive Group (UEG). The Remuneration Committee is then responsible for considering the remuneration of members of the UEG, but delegates authority to UEG for the application of the Remuneration Policy and Procedure for all other grade 10 staff. The Remuneration Committee can confirm to Court that all policies and procedures have been followed in relation to the 2018 senior staff review.
2. The annual review of the Remit and Terms of Reference for the Remuneration Committee took place at the December 2018 meeting. Revisions were made to ensure alignment with the Scottish Code of Good HE Governance (2017) and best practice.
3. The current membership of the Remuneration Committee comprises:

Bernadette Malone (Chair)	Rumana Kapadia
Richard Bint	Sharon Sweeney
Ronnie Bowie	
Shirley Campbell	

The Scottish Code of Good Governance (2017) made specific recommendations in relation to Remuneration Committees (section 7, recommendations 79 – 81). These included recommendations in relation to membership and representation. A series of meetings were held with student and staff stakeholder groups, which led to a decision being taken in partnership with these groups, to have a student and staff member sit on the Remuneration Committee. The two new members joined the Committee in August 2018. A decision was also taken in partnership with the stakeholders to provide training to support them in their role on the Committee. Training for the whole Committee is being arranged to take place in 2019.

4. The Committee had 5 meetings in 2018 on 24 April, 11 June, 30 August, 19 November and met finally for the 2018 Remuneration Round on 11 December 2018. The minute of this meeting which included the breakdown of awards for 2018 is to be considered by Court on 26 February 2019. Much of the focus of the meetings in June, August and November related to the remuneration package for the new Principal and Vice-Chancellor, Professor Andrew Atherton, who started with the University on 1 January 2019. Three members of the Remuneration Committee were also members of the Appointing Committee for the new Principal. Other Committee business included: discussion regarding the introduction of a Grade 10 banding structure which included a presentation from the HR Director from the University of Glasgow, review of the Severance Policy, benchmarking terms and Conditions for Grade 10 staff with other Scottish Universities, the Scottish Code of Good HE Governance (2017) and compliance with respect to Remuneration Committees.
5. The University's approach to senior staff remuneration was reviewed in 2015 and since then, year-on-year, the Committee (supported by officers) has made significant progress in fully implementing the Policy and Procedure. Remuneration Committee acknowledged that there has been, over this period, a radical shift in the University's approach to senior staff pay and has stated its strong desire for continuous enhancements.
6. Senior staff salaries are reviewed on an annual basis; senior staff being defined as all of those on grade 10 on the University's pay and grading structure which comprise salaries on or above £59,828. This group typically consists of Professorial members of academic staff in Schools and senior Professional Services staff. This group of staff receives any nationally-agreed pay award in the same manner as all other staff.
7. The annual round of review for senior staff, deals with recognition for exceptional performance of grade 10 staff and takes account of the fact that incremental progression, accelerated advancement and contribution-related points are not available to these staff. Any agreed increases are implemented on 1 October each year.

Approach to Remuneration

8. The University Strategy to 2022 supports the core purpose, vision and values of the University. It sets our commitments to core strategy areas over the next five years and these include:

- Our high-performance community
- Embrace One Dundee approach
- Advancing our values
- Enabling our people to flourish
- Enhancing University performance and reputation

Having clear policies and procedures in relation to reward and recognition is one way in which the University can demonstrate support and contribution to these commitments, ensuring Grade 10 staff are suitably rewarded for their contribution to the University, students and community. In addition, as part of the University's Transformation vision, five core values were defined:

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

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

9. **Retention:** There is no doubt that other institutions look to Dundee as a possible recruiting ground for good staff and over the last 12 to 18 months, a small number of our high performing staff have been lost to other institutions including at Vice-Principal, Dean and major subject leadership (e.g. Business School) level. This trend may increase as the next REF approaches. It is very important therefore that the salaries of our senior staff remain competitive. The University's continued strong performance in league tables and other nationally-recognised measures such as the NSS has not gone un-noticed across the sector and we might suppose that this will increase the risk of some of our best leaders being approached for positions elsewhere. There needs to be a continuing improvement in practice in relation to making sure that attention is paid to individuals and the salary levels of our high performing staff to ensure that we remain competitive at this level.
10. **Succession Planning:** Developing our future leaders and ensuring that robust plans are in place for their career progression is essential. Each Dean and Director considers this issue for their School/Directorate and details their plans for succession, as part of their salary reports.
11. **Benchmarking:** The salaries of senior staff at Dundee are benchmarked against the salaries of other senior staff at other HE institutions and is part of the remuneration process. The benchmarking surveys referred to comprise:
the annual Senior Staff Remuneration Survey conducted by the University and Colleges Employers' Association (UCEA) and, for the Principal, the annual Vice-Chancellor salary survey carried out by the Committee of University Chairs (CUC). Benchmarking information from the UCEA survey is presented by giving a range of salaries: lower decile, lower quartile, median, mean, upper quartile, upper decile. This information is interpreted against individual salaries in terms of experience, performance and external recognition/standing.
12. **Internal Relativities:** An internal analysis of: salary distributions, performance and contribution to the strategy by staff in Schools, Directorates, Deans, Directors and UEG is also considered as part of the senior staff salary review.
13. **Range of salary increases:** The salary increases awarded through the senior salary review process are: £2,000, £3,000 or £5,000. Higher amounts can be considered for exceptional performance.
14. **Gender Pay Gap:** Particular attention is paid to issues of gender pay. In Scotland, under the Public Sector Equality Duty, it is now a requirement to publish the gender pay gap for the organisation as a whole (which the University has done, with this being 23.78% in favour of males in 2016). The Remuneration Committee received a further more detailed analysis which had been carried out in relation to the gender pay gap with specific focus on the grade 10 salary band. It was noted that the issue was one of proportionality rather than there being paygaps beyond acceptable limits when looking at 'like for like roles' where there was no significant pay gap. It was also noted that in several 'like categories'; (for example, Vice-Principals and Deans) the gender gap was in favour of women, but acknowledged that the absolute number of women at each level was low and the focus had to be recruiting and promoting more women into senior positions. A further gender pay gap analysis is currently underway and the results of this will be available for the meeting of the Remuneration Committee in March 2019.

15. **Performance Ratings:** Each individual member of staff should receive a rating. This is arrived at after a review discussion, which is largely about performance and whether objectives have been met or not. Each Dean and Director details this on the salary report for their School/Directorate.
16. **Future considerations:** A number of Universities have introduced a banding structure within grade 10 and the Remuneration Committee received a presentation from the HR Director at Glasgow University which has already introduced such a system. The Remuneration Committee have requested a plan for implementation of such a structure at Dundee and this will be discussed in more detail at their next meeting.

It should also be noted that the HR strategy and action plan will continue to support the University Strategy to 2022 and the Transformation Agenda and will continue to have a strong focus on continuing to improve performance management and thus the performance of all. This will include the 'joining up' of a new workload model with performance and reward and ensuring that in particular, academic staff time is aligned to support the University's overall strategic priorities. In order to deliver the Vision, focus has remained on continuing to improve performance and developing leadership capacity and capabilities. All of these things support the University's core values of valuing people and excellence. Remuneration and reward need to be part of this strategy.

Current Context and Outlook for the HE Sector

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

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

Current Performance of the University

18. Set against this background, the University continues to work towards delivering its very ambitious Strategy to 2022 and 'Transformation Agenda' that will support: the delivery of the Vision for the University, the 'big goal' to become Scotland's leading University and the focus on excellence. The University Strategy for the next 5-year period has been approved by Court and the KPI/Performance Measures are in the process of being finalised. The Business Transformation programme is now well underway to ensure efficient, single processes and approaches are adopted by the University supported by and making best use of a new Integrated Business System (IBS). However, the implementation of the new system has been hugely challenging.
19. During this year, the theme of change has continued as has that surrounding the financial challenges faced by the University. A number of major change projects have continued this year including: the further development of the new Business School, the implementation of research performance reviews and teaching efficiency across the Schools of Medicine and Life Sciences and, the International College is now up and running. Various strategic projects have also taken place including a review of all support staff in the School of Medicine and a whole Directorate review of Estates & Campus Services. There have been ongoing challenges with making progress with the Business Transformation programme and these challenges continue.
20. Over this last year, staff have continued to work incredibly hard in order to keep business going as usual, support the business transformation programme and deliver excellent results in terms of student recruitment. In order to ensure the continued delivery of successful outcomes, it is vital that the University is able to hold on to key staff. One of the main challenges for the whole University is to achieve the balance between dealing with continual change, striving for and maintaining the excellence agenda and achieving financial sustainability.
21. Turning to other aspects of performance, whilst we have narrowly missed being in the Top 200 universities this year (THE) we have consolidated our position as a top 30 UK universities in the major UK league tables. We achieved a top 10 ranking in the NSS (National Student Survey) for the third year in a row and were 14th in the THE Student Experience survey. In the International Student Barometer (ISB) we achieved our best results yet,

student satisfaction being the 3rd highest of all 31 participating UK universities and 7th globally (out of 120 worldwide universities).

22. Over the last few years, recruitment in our Home (Scotland/EU) Undergraduate markets has continued to be successful, including meeting successfully our widening access targets. Great progress had been made in increased applications and offers to overseas students. Overseas postgraduate student numbers for semester 1 are well ahead of last year (+35% and +15% respectively) and semester 2 entry is looking equally promising. Overseas Undergraduate numbers have shown strong performance, albeit our controlled numbers in Medicine/Dentistry and Nursing were shy of budget. Whilst uncontrolled recruitment for students from rest of the UK (RUK) has increased year on year we have not met budget in 2018/19, mainly due to below budget recruitment in controlled subjects. International College Dundee was launched in the autumn of 2017, with 37 overseas students progressing successfully onto University programmes in 2018 against a budget of 27. The external context (competition, Brexit uncertainty and immigration policies) continues to be highly challenging.
23. In relation to excellence in Research and Innovation in particular, the University is ranked among the top 25 most innovative universities in Europe and first in Scotland, in the ranking produced by Reuters. Reuters say their list of Europe's 100 most innovative universities 'identifies the educational institutions that are doing the most to advance science, invent new technologies and help drive the global economy.' The annual assessment of research is established across all schools in preparation for delivering an improved performance in the next REFround.
24. In addition to the above University-wide performance, there are of course outstanding individual academics and academic teams who have achieved excellence in their respective areas of work and equivalent levels of performance across the professional Services.

Financial Considerations

25. All of the above is set against a financial context whereby the University is facing rising costs and a trend of falling income. The financial deficit position for 2018/19 is a deficit for the year of £8.1m compared to £1.4m in the previous year.
26. The pay award for 2018/19 is 2% which was paid to staff from 1 August 2018.
27. The future outlook for research income remains very challenging on a UK wide basis. However, the University continues to do well in winning external grants and contracts, with income for 2017/18 being £74m.
28. Given all of the above, the University Executive Group (UEG) felt that in 2018 it should continue to give very careful consideration to senior staff reward and continue to demonstrate restraint but should not forego the ability to reward senior staff. Not to recognize and reward excellent performance would send out the wrong message and would not help retain the best staff here in Dundee and indeed, may contribute to staff who are delivering exceptional levels of performance, leaving to go to other institutions that are not adopting such an approach to reward. Given the very positive outcomes against many measures, particularly in terms of external judgements on performance such as league tables, UEG felt strongly that there should continue to be focused investment in senior staff, in order to give recognition where this is due and continue to motivate senior staff to continue to deliver in an increasingly challenging environment. Given that a framework has been developed and is now operating, which identifies key features of performance which are important to the University and aligned to our strategic goals and aspirations, it is very important that staff who had contributed in this way should be rewarded. In addition, the review includes the opportunity to identify any equal pay issues which should be addressed.
29. In its own considerations, UEG took account of all the relevant factors, in particular the balance between the need to reward and retain senior staff who are making a major contribution to the achievement of the University's strategy and the need for continued financial prudence. Thereafter, UEG consulted with the members of the Remuneration Committee and confirmed that it is Remuneration Committee's intention to oversee the process in line with the terms agreed by Court in 2015. On that basis, UEG (with Remuneration Committee's support), recommended to Finance & Policy Committee that a sum of £140,000 (full year effect) be included in the 2018/19 budget for senior remuneration awards, which was approved. Given awards made are part way through a financial year, the £140,000 budget is £116,667 for 10 months of 2018/19. Total spend in 2018/19 senior staff remuneration round was £85,000 (full year effect), £70,833 for 10 months of 2018/19. The Remuneration Committee has in the past expressed a concern that relatively small amounts were being awarded to a relatively small number of staff and that the University would not become 'Scotland's leading University' if it was unable to retain and reward high-performing individuals in the face of a highly competitive marketplace for the very best talent. However, acknowledgement is also given to the challenging financial position which the University has been in and the contentious nature of the debate around senior pay.

Remuneration Committee Decisions Relating to the Principal & Vice-Chancellor (Professor Pete Downes)

30. The Principal received no salary increase in the 2018 senior salary review round.

Remuneration Committee Decisions Relating to the New Principal & Vice-Chancellor (Professor Andrew Atherton)

31. Court agreed that the salary offered to the new Principal must be within the existing financial envelope for the previous Principal and this was adhered to by the Remuneration Committee. Other matters relating to the new Principal's appointment were also fully discussed by the Committee including relocation expenses, a disruption allowance and his renting of the flat at University House. All decisions made by the Remuneration Committee in relations to those other matters were also approved in full by the Court.

Payments to Members of Court

32. Members of the University Court receive no remuneration.

Expenses for Members of the University Executive Group

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

Pamela Milne
Director of HR and Organisational Development
February 2019

APPENDIX 11

WELFARE & ETHICAL USE OF ANIMALS COMMITTEE (Minute 41(6))

A meeting of the Committee was held on 17 January 2019.

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

The Convener welcomed two new members of the Committee.

1. MINUTES OF LAST MEETING

These were approved.

2. MATTERS ARISING

- (1) *Project to be carried out under the authority of a service project licence.* The DBS reported that there had been further discussion with the scientist and with the Dean of the relevant School. The Dean was still waiting for a report from the scientist as to the manuscript in preparation and the gap that would have to be filled by any further experimental use of animals before this could be submitted for publication.

Resolved: to present the scientist with a reasonable deadline, after which the colony will be terminated if no clear plan is in place. One more back-cross to be set up to provide proven fertile males for sperm cryopreservation.

- (2) *"Tunnel and cup" handling of mice.* The NACWOs, UVS, TC and DBS reported that this is now the handling method taught to all new users of the resource units. The method is now in routine use in all the resource units and nearly all staff have been formally assessed as competent. Re-training and assessment of scientists will begin shortly. The general impression was that mice were calmer and easier to handle, once they had been acclimatised to this capture method. Some objections to the use of this method, on the grounds of interfering with scientific studies, have been raised but these will continue to be dealt with on a case-by-case basis by the UVS and NACWOs.

3. BUSINESS FOR 2019

- (1) *Annual report to the Research Governance and Policy Sub-Committee.* The Convenor and DBS reported that a brief report had been sent to this Sub-Committee. The deadline did not allow for the Welfare and Ethical Use of Animals Committee to review the report before submission, but a copy will be circulated to its members.
- (2) *Numbers of animals used in 2018.* The DBS reported that collection of data for the annual returns of procedure to the Home Office was under way and that an aggregated report will be presented at the next meeting of the Committee.
- (3) *Breeding practices.* The UVS reported that the Home Office inspector wishes to see a report from the Committee on its oversight function in this regard, in particular as to whether the Home Office-supplied tool is useful in the management of mouse breeding in the University. The UVS reported that, if anything, there appeared to be under-breeding of mice (i.e. maintenance of very small colonies and incomplete back-crossing to defined genetic backgrounds), almost certainly being driven by financial considerations, rather than any systematic over-breeding. A draft report will be presented to a future meeting of the Committee, for its consideration.
- (4) *Functions of an AWERB.* The UVS reminded the Committee of the Home Office expectations of an Animal Welfare and Ethical Review body, and its suggestions for enhanced performance. The Committee agreed that it was fulfilling most of these expectations but that documentation of its oversight was patchy in some areas, for example the professional development of licence-holders. It was therefore agreed to circulate dates of future training events to the Committee and to place the relevant materials on its shared file storage site.

- (5) *The 3Rs*. The DBS outlined the initiative to appoint regional programme facilitators (RPFs), part-funded by the NC3Rs and the funding completed by up to three Establishments. Should the University contribute, it would likely cost in the region of £10,000 pa. While the value of RPFs to consortia of larger Establishments was clear, this level of commitment would prevent, for example, investment in locally available advice on experimental design and statistical analysis. Nevertheless, the Committee considered the continuing engagement with the NC3Rs as essential and proposed that the organisation be invited to give a formal presentation at the University in 2019.
- (6) *Website development*. The Committee identified this as an important activity for 2019, for all concerned.
- (7) *Use of animal tissues in undergraduate teaching*. The UVS and DBS undertook to prepare a report to the Committee on this very low-level but relevant activity, for review.
- (8) *Non-schedule 1 methods of killing*. The Committee agreed to review any requirement for these methods to be used without project licence authority, which would require amendment to the Establishment Licence.

4. REPORT FROM THE UNIVERSITY VETERINARY SURGEON

Standing agenda item.

- (1) *Date-expired diet*. The UVS updated her previous report on some scientific studies that had involved the administration of a specialist diet after its expiry date. Chemical analysis had now revealed no significant change in nutritional content or in fat oxidation and no adverse welfare effects on the animals that could be attributed to the diet had been observed. However, this had not been good practice and could have had a very different outcome. The UVS had spoken with the project licence-holder and the Home Office inspector, who has advised that no further action will be taken on this occasion.
- (2) *Vaccination studies*. There had been a recurrence of sterile abscesses in a study involving alum as an adjuvant. The lumps had been smaller in this second study, no doubt because a lower concentration of the adjuvant had been used. They appeared to be causing no distress to the mice and therefore, with the Home Office inspector's permission, this study had been allowed to continue.
- (3) *Veterinary cover*. No issues had been raised by the veterinary surgeons who had provided cover while the UVS was on annual leave over Christmas.
- (4) *Risk management meeting*. The UVS reported on the outcome of the most recent annual meeting between the Home Office inspectors and the Establishment Licence-Holder. The main points discussed related to the monitoring of breeding performance (see item 3.3 above), the ongoing problems with maintaining the environmental infrastructure in one of the facilities and a new emphasis on providing enrichment in all rodent cages (this is well-advanced already).

5. TRAINING

Standing agenda item. The TC reported as follows:

- (1) *Directly Observed Practical Skills (DOPS)*. This method of assessment was now in use for all new trainees, with 164 assessments carried out to date.
- (2) *Schedule 1 register*. This had been reviewed and any individuals no longer requiring registration had been removed. All staff in two of the resource units had been re-assessed for competence in Schedule 1 killing of mice, with assessments being in progress in the third. Training of all new entrants on the register and the re-assessment of all presently on it involved the completion of an online module in the theory and legislation (67 completions to date) and the practical assessment in individual methods of killing (plus their associated methods of confirming death) using DOPS. Re-assessment of scientific users will prioritise those who clearly are frequent visitors to the resource units, followed closely by those who have been on the register for the longest times. The aim is to complete re-assessment by September 2019, following which at least the practical element will be repeated annually (i.e. individuals will be invited to present themselves for re-assessment after one year, and will have a further year in which to complete this).
- (3) *Biosecurity training*. This had been completed for all relevant resource unit staff and scientific users. It would now be delivered as part of the routine induction training in each unit.
- (4) *Online training modules*. Fourteen individuals had completed the FLAIRE online module on "Anaesthesia"

and 57 the module on “Recognition and prevention of pain, suffering and distress in laboratory animals”.

- (5) *ScotPIL course*. A course was held in Dundee on 8/9 January 2019. Thirteen delegates undertook the modules on legislation and ethics, of whom 10 also studied the PIL-A/B modules. Training had also been given to an existing personal licence-holder who now wished to work with rats as well as mice
- (6) *Other training events*. One individual had attended an accredited course for NACWOs and had passed the assessment. Three people had attended a mouse handling workshop organised by the NC3Rs. A refresher workshop for project licence-holders had been delivered in November 2018.

6. **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. It noted that the inspector had raised no additional significant issues on animal welfare or scientific grounds. There had been a comment on one application in which a licence for five years had been requested, but funding was only guaranteed for the first two years, a point previously observed by the Committee. Nevertheless, this licence had been granted.

7. **ANY OTHER COMPETENT BUSINESS**

None.

8. **DATE OF NEXT MEETING**

The date of 10 April 2019 is in the University Calendar. However, as a member of the Committee expects there to be frequent clashes between this Committee and other meetings on Wednesday afternoons, Thursday 11 April 2019 (to be confirmed) is proposed as the date of the next meeting.

APPENDIX 12

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 44)

A meeting of the Senatus Academicus was held on 28 November 2019.

1. REPORTING TO COURT

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

Senate's discussion on School Staffing Strategies and the Workload Allocation Model
Professor Nicola Stanley-Wall's presentation on Public Engagement and its implications.
The Principal's reflections on the role of an effective Senate (including its Committees) in overseeing the academic work of the University.

2. ENHANCEMENT-LED INSTITUTIONAL REVIEW

Senate noted that the Initial Report from the ELIR Review Team would be received by the University on Friday 30 November 2018.

3. PRINCIPAL'S REPORT

Financial Report

The Principal reported on the University's financial situation and explained that there had been an improvement on the anticipated deficit budget, a healthy 2017/18 year-end cash balance and a break-even position in relation to operational activity.

Senate noted that the introduction of the FRS102 financial reporting standard made year on year reporting more difficult and that from an operational point of view the overall £9.1m deficit in the University's Financial statement gave a distorted picture of performance in any one year.

The Principal emphasised that the University had outperformed the market in the number of international students that had been recruited in the current academic year (up 11%) and that this represented a significant success, in a very challenging marketplace, that needed to be acknowledged. He explained that the University's recovery from a deficit position required continuous improvement in those areas capable of delivering additional income and that the exceptional performance in open student recruitment would need to be maintained to allow for investment and long-term sustainability.

The Principal explained that unregulated tuition fees now represented 25% of the University's total income but that there was still some way to go before reaching a benchmark position and producing surplus over costs. He noted the continuing erosion of core public funding and the significant cost pressures caused by pay and pensions increases. Senate noted that the Scottish Funding Council main teaching grant did not cover the University's teaching provision costs and that continued flat-cash settlements would further constrain the University's ability to improve its infrastructure and to invest strategically.

The Principal concluded that the University's overall financial performance represented a very positive result under difficult circumstances and expressed thanks to staff in all parts of the University for their efforts to achieve challenging targets.

Members of Senate asked about the possible consequences for the University if tuition fees were reduced in England following the review currently in progress. The Principal explained that scenario planning would be needed to counter any financial threats but also to take advantage of any possible opportunities, especially if the Review recommended a rise in tuition fees for Science, Technology, Engineering and Mathematics (STEM) subjects.

Members also asked about the possible financial consequences of Brexit for the University. The Principal explained that one of the main issues would be cultural, both in terms of the University's support for staff and students who faced uncertainty and in terms of ensuring that the University continued to be an open and welcoming institution with a genuinely international outlook. The Principal explained that financial consequences would depend on the final terms of withdrawal and the future participation of the UK in EU research funding

arrangements.

Tay Cities Deal

The Principal welcomed the recent announcement of the Tay Cities Deal Heads of Terms and explained that the University would be involved in core projects funded by the Deal. He noted the £15m funding of the JustTec project led by the University's Leverhulme Research Centre for Forensic Science and the £25m for the Tay Biomedical Cluster.

Senate noted that the Deal would involve significant capital investment and that business plans would be developed in order to make the best use of these investments. Members welcomed the indication that the development of an Innovation Hub on the City Campus would form part of the planned investment.

Research Grant Income

The Principal welcomed the growth of research income for the University and Senate noted that the £70-80m of full grant income was augmented by £26m from the Research Excellence Grant distributed by the Scottish Funding Council.

Senate Effectiveness

The Principal thanked members for their efforts to help ensure that the work of Senate had become more effective in recent years. He explained that a culture of co-operative and constructive criticism had emerged at Senate. He noted that this had provided reassurance to Court that the academic work of the University operated with effective oversight and accountability within governance structures that promoted collegiality and a clear focus on academic excellence.

The Principal expressed a hope that the effectiveness of Senate would continue to develop and improve in future and he thanked all members of Senate for their commitment and contributions during his time as Principal of the University.

University Executive Group: School Staffing Strategies and Workload Allocation Model

The Principal explained that he had circulated two papers from recent University Executive Group (UEG) meetings, on an exceptional basis, partly in response to a request from members of the Senate Business Committee to bring forward the specific issues considered in the two papers, for Senate to discuss. In response to a question the Principal confirmed that UEG had taken decisions on the issues involved and that comments from Senate would be taken back to UEG for consideration, if necessary.

Senate noted that, in the context of significant shifts in the profile of current academic staff contracts and the request to Schools to develop their own strategic positions on academic staffing, UEG had agreed to implement a moratorium on the appointment of additional academic staff on Teaching and Scholarship (T&S) contracts.

Members noted that one reason for the proliferation of T&S contracts was related to preparations for the Research Excellence Framework (REF) 2021 based on evidence from the Annual Review of Research carried out in all Schools.

Members discussed the rationale behind the moratorium and advised against the possible conflation of individual cases where employment contracts might need to be reconsidered with an overall institutional or school-level staffing strategy. Members warned against confusing strategic and operational imperatives that might be caused by the imposition of an overly mechanistic approach to academic staffing. The Principal explained that the moratorium was designed to give schools the opportunity to develop their own strategic approach to balancing staff resource with the research and teaching requirements of each school. He emphasised that any exceptions to the moratorium would need to be underpinned by a clear business rationale and approved on a case by case basis.

Senate noted that Scholarship was and should remain a highly valued area of academic activity and agreed that care should be taken to avoid giving any impression that Teaching & Scholarship staff were less valued than Teaching & Research staff.

Members also discussed the Workload Allocation Model and noted that the UEG paper represented an update on the development of the Model over the two-year period since it was first implemented by Schools. The Principal explained that UEG had agreed that some changes were needed to ensure greater consistency but that these had been formulated as high-level principles rather than detailed operational instructions.

Members discussed the pressures for greater flexibility in the model and the allocations intended to meet specific mandates on mission critical activities, such as internationalisation. Some members observed that new kinds of activity, such as public or external engagement, were becoming more important in some Schools and that a degree of flexibility would be needed to encourage innovation.

Senate noted that the high-level principles had been discussed at Senate and School Committees, but some members argued that a wider consultation might be helpful and that due process needed to be followed. Members also noted that lots of different activities were covered by the model and that this might mean some aspects of academic work being undervalued. Members also expressed a concern that the Model as presented seemed to be hard-wired and might be implemented in a closed and inflexible way.

Senate discussed potential problems caused by introducing a workload model part way through an academic year when many teaching allocations would have already been made by Schools. The Vice-Principal (Learning & Teaching) emphasised that in time the Model would become a useful planning tool that would enable workload decisions to be made by Schools earlier in the academic planning cycle. He argued that its usefulness was dependent upon agreeing high-level principles for its operation to ensure fairness and consistency.

Some members indicated that schools would welcome the opportunity to explore the impact of the Model in practice. The Vice-Principal (Learning & Teaching) explained that the model had been developed in consultation with staff and that a Working Group organised by the Director of Strategic Planning continued to oversee its development. Members were advised to feedback to the Working Group with comments and suggestions.

Senate noted that those schools who had been using the Model had found it a useful tool and that it had allowed for adaptation over the course of an academic year.

Members also welcome the inclusion of PhD supervision as a standard item in the academic workload and agreed that workload issues needed to be included in discussions on the proposed Doctoral Academy in the University.

The Principal thanked members of Senate for their comments and agreed to feedback on the main points of the discussion to UEG for their further consideration.

The Senatus decided: to note the Report.

4. **PUBLIC ENGAGEMENT**

Professor Nicola Stanley-Wall (School of Life Sciences) gave a presentation on Public Engagement and outlined her work as School Lead, including activity that led to a National Co-ordinating Council for Public Engagement (NCCPE) Gold Faculty Award in 2017.

In her presentation Professor Stanley-Wall emphasised that public engagement (PE) activity was a two-way process and that sharing the benefits of the University's research with the public was also beneficial to staff and students in the University. She explained that PE was integral to University strategy, the transformation agenda and helped to establish impact case studies and evidence of research environment excellence for REF.

Senate noted that PE also provided significant professional development opportunities for research staff. Professor Stanley-Wall explained that there had been a high level of support for her PE work by the School of Life Sciences, who had provided dedicated staff resources by making the most of internal and external funding opportunities.

Senate noted that there was also support for PE at University level and that a Public Engagement Forum had been established in 2017. Professor Stanley-Wall emphasised that PE activity was taking place in all parts of the University and that improved co-ordination would help maximise its focus and effectiveness. Senate was asked to note that the Leverhulme Centre for Forensic Sciences had been working towards a NCCPE award and that the Public Engagement Forum would develop an action plan to build a case for an institutional-level NCCPE award.

Professor John Rowan Vice-Principal (Research, Knowledge Exchange and Wider Impact) explained that PE was an integral part of his remit and praised those who had taken forward this area of activity so successfully. He welcomed the opportunity to further advance and consolidate activity within an inclusive framework. He agreed on the importance of public engagement activity for REF and the research agenda more generally but emphasised that it was also important for other parts of the University's academic community, including students.

Members of Senate agreed that students should be given the opportunity to collaborate in PE activity and gave examples of when this had been very successful in the past. Senate noted the themed student challenges had also proved to be an effective way for students to engage and collaborate with the wider community. Senate agreed that research students should be given opportunities to become involved in PE with appropriate support from supervisors.

Members of Senate observed that there were multiple publics and care should be taken to carefully align activity and events to the needs of different groups. Senate noted the range of activity taking place, sometimes within the curriculum. Members agreed that it was important for the Public Engagement Forum to capture information on the range of activity as part of its remit for co-ordination.

The Senatus decided: to thank Professor Stanley-Wall for her presentation.

5. **QUALITY & ACADEMIC STANDARDS COMMITTEE**

Professor Karl Leydecker (Vice-Principal, Learning & Teaching) introduced a Report from the Quality & Academic Standards Committee held on 11 September 2018.

The Vice-Principal highlighted the Committee's discussions on the need to avoid late changes to academic provision. He asked members for their assistance in ensuring that this requirement was considered by all Schools and Programme Teams.

The Vice-Principal explained that apparently small changes to academic programmes might have consequences downstream that needed to be properly managed. He noted that the efficient management of academic programmes was one area for improvement in the University according to National Student Survey data.

Senate noted the Committee's approval of the taught elements of the new Professional Doctorate programme. In response to a question, Professor Tim Kelly explained that the Professional Doctorate programme had been carefully designed over several years to build on existing expertise in the School of Education & Social Work. He reassured Senate that the programme was aligned with the doctoral level expectations and outcomes set out in the Scottish Credit & Qualification Framework. He explained that it would open up opportunities for mid-career professionals to undertake research at doctoral level.

The Principal paid tribute to the contribution of Dr Lesley McLellan, who was retiring from her post as Director of Quality & Academic Standards. Senate applauded the Director's work as a champion for academic quality, her contribution to building the University's reputation for an excellent student experience and her leadership of the University's Enhancement-Led Institutional Review preparations since 2011.

The Senatus decided: to approve the Report

6. **LEARNING & TEACHING COMMITTEE**

Professor Karl Leydecker (Vice-Principal, Learning & Teaching) introduced a Report from the Learning & Teaching Committee meeting held on 14 November 2018

The Vice-Principal highlighted the amended dates for the planned My Dundee Blackboard migration. Senate noted that the move was intended to ensure the least amount of disruption to staff and students.

Senate noted the Committee's discussion on distance and blended learning developments including efforts to improve student representation.

Senate also noted the Committee's concerns about the low number of students who had completed the online Equality & Diversity training and agreed that schools should consider ways to encourage more students to complete the training, available in My Dundee.

Senate noted the potential problems with online exam invigilation that had been reported to the Committee. Senate noted with gratitude that Registry had already issued updated guidance to invigilators in advance of the Semester 1 examination diet.

The Senatus decided: to approve the Report.

7. RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE

Professor John Rowan (Vice-Principal (Research, Knowledge Exchange & Wider Impact)) introduced a Report from the Research & Knowledge Exchange Committee meeting held on 12 November 2018.

The Vice-Principal highlighted the visit of Sir John Kingman (UKRI) to the University and acknowledged that Sir John had also visited the School of Science & Engineering and discussed the creative industries with the Deans of Art & Design and Humanities.

Senate noted the Committee's discussions on the Annual Review of Research, preparations for REF and the development of a Doctoral Academy in the University.

Senate also noted that the School of Art & Design had now completed work on their Athena Swan resubmission and thanked Dr Anna Notaro for her leadership and support.

The Vice-Principal explained the importance of maintaining progress on the equality, diversity and inclusion agenda. He welcomed the news that two more schools were now able to submit for an Athena Swan Award. He also welcomed the University's decision to recruit an additional staff member to support work in this area. He emphasised that success in this area needed to be measured against genuine changes in culture in line with the University's values.

The Senatus decided: to approve the Report.

8. INTERNATIONALISATION COMMITTEE

The Senatus received a Report from the Internationalisation Committee held on 6 November 2018.

The Senatus decided: to approve the Report.

9. SUMMARY REPORTS OF SCHOOL BOARDS

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

The Senatus decided: to approve the Reports.

10. FINANCE & POLICY COMMITTEE

The Senatus received a Report from the Finance & Policy Committee meeting held on 22 October 2018, for information.

The Senatus decided: to note the Report.

11. HONORARY DEGREES COMMITTEE

The Senatus received a Report from the Honorary Degrees Committee meeting held on 6 November 2018.

The Senatus decided: to approve the Report.

12. ELECTION OF THE RECTOR

To note that the Election of the Rector will be held at the same time as DUSA Executive Elections in 2019 according to the following timetable:

- Nominations Open 14 January 2019
- Nominations Close 8 February 2019
- Voting Opens 22 February 2019
- Voting Closes 28 February 2019
- Result Announced 1 March 2019

The Senatus was asked to approve **Janice Aitken** and **Dr Richard Ingram** as the two members of academic staff nominated to oversee the Election.

The Senatus decided: to approve the timetable and Senate nominated academic staff members to

oversee the Election of the Rector

13. **UNDERGRADUATE APPEALS COMMITTEE**

The Senatus received a Report from the Undergraduate Appeals Committee meeting held on 28 September 2018.

The Senatus decided: to approve the Report.

14. **PROFESSORS & PRINCIPAL EMERITUS**

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

Professor Mary Renfrew (effective 30 November 2018)

Professor Martyn Jones (effective 22 March 2019)

and to confer the titles of (i) Professor Emeritus and (ii) Principal Emeritus upon

Professor Sir Pete Downes (effective 31 December 2018)

15. **RETIRAL OF THE PRINCIPAL**

Members thanked the Principal for his commitment to improving the effectiveness of Senate and noted that during his term of office there had been a fundamental change in approach and culture that encouraged debate and constructive criticism.

The Vice-Principal (Research, Knowledge Exchange & Wider Impact) on behalf of Senate paid tribute to the Principal and recalled his distinguished scientific career, his role in transforming life science research in the University, his work as Vice-Principal and Head of the College of Life Sciences and in 2008 his appointment as Principal and Vice-Chancellor of the University.

The Vice-Principal expressed admiration for the Principal's inclusive approach, his ability to steer the institution through challenging financial times and the significant successes enjoyed by the University in its ambition to become Scotland's leading University.

Senate applauded the Principal's many achievements, praised his loyalty to the City and the University of Dundee and wished him well in retirement.

APPENDIX 13

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 44)

A meeting of the Senatus Academicus was held on 30 January 2019.

1. REPORTING TO UNIVERSITY COURT

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

- Continuing commitment to improving Senate effectiveness
- Senate's in-principle approval to establish a School of Business in the University

2. PRINCIPAL'S REPORT

The Senatus received a Verbal Report from the Principal.

The Principal reflected on his initial impressions of the University, gained during his first few weeks in office. He observed that the University was performing well in many areas of activity and noted the growth in student numbers in recent years that had out-performed the sector. He also noted that this growth had been achieved in the context of a historic low point in the school-leaver demographics and against a highly competitive market for unregulated students. He explained that the University's success in the area was a consequence of applicant perceptions of institutional academic excellence and the high quality of the student experience at Dundee. The Principal explained that the University's development plans had put it on the right trajectory for future success and that he would not advocate a change of direction. However, he emphasised that the University did need challenge and further encouragement to consider the next steps in developing its institutional ambitions.

The Principal identified three key issues that needed to be addressed by the University: securing financial sustainability, optimizing the scale of the academic endeavour and enhancements to external perceptions of institutional reputation.

The Principal observed that the issues he had identified did not present intractable difficulties and he expressed confidence in the University's ability to respond to the challenges that it faced. He explained that Senate had an important role to play in shaping the University's responses to such challenges as it helped define the academic character of the institution.

The Principal outlined his intention to lead discussions on improvements to the way Senate operated to ensure it was effective and focused on key academic debates rather than more routine transactional matters. He explained that he would welcome feedback and suggestions for improvement from Senate members. He outlined the intention to introduce a mechanism to allow Senators to submit questions to the Principal in advance of each meeting, for possible inclusion on the Senate Agenda for strategic discussion and debate. He also outlined his intention to consider an advance schedule of business for Senate to be agreed each academic year.

The Principal emphasised that good communications across the University was also an important priority and that he had planned open meetings and School visits to talk with staff and students on a regular basis. He explained that these would be in addition to existing opportunities for staff engagement through Principal's Question Time and other regular events in the University.

Members of Senate asked the Principal to consider the introduction of microphones at Senate meetings given the acoustic limitations of the Ustinov Room.

Members also advised the Principal that the Senate Awayday had proved to be effective way to encourage more strategic debate and discussion and should be repeated. Members also discussed the need to agree clear actions arising from Senate meetings, the quasi-representative role of elected Senators and effective strategies for reporting Senate business to colleagues in Schools and Directorates.

Interim Vice-Principal (Education)

The Principal congratulated Professor Lynn Kilbride who had been appointed as interim Vice-Principal. Senate noted the re-alignment of the Vice-Principal's remit from Learning & Teaching to Education to reflect a more holistic approach.

The Senatus decided: to note the Verbal Report.

3. UNIVERSITY COURT

The Senatus received a Verbal Report from the open meeting of University Court held on 10 January 2019. The Principal explained that the open format had been designed to help meet the University's obligations for wider stakeholder engagement under the Scottish Code of Good HE Governance.

Senate noted that the Principal, the Chair of Court and the President of the Students' Association had taken the opportunity to present an overview of the strategic direction of the University.

Members of Senate who had attended the open meeting agreed that it was a useful and positive event. Members advised that as an annual event it would be important to ensure a variety of information is included each year to avoid repetition. Members welcomed the intention to analyse the feedback from all those who attended the event. Representatives from the Students' Association expressed a willingness to participate in the feedback process.

The Senate decided: to note the Verbal Report

4. SCHOOL OF BUSINESS PROPOSAL

Senate received a proposal paper from the University Secretary, on behalf of the University Executive Group, seeking in principle approval for the establishment of a separate School of Business in the University. The Principal explained that the need to establish a Business School to operate in its own right had been prompted by its growth within the existing structure as a discipline of the School of Social Sciences. The Principal emphasised that the proposal recognised the important role played by the School of Social Sciences in supporting the development of the Business School and gave a clear commitment of strong support for the continued development and success of the School of Social Sciences. He noted that there would be further consultation on how best to move the project forward, the establishment of a Working Group and plans for a transition period before the new School was launched at the start of the next academic year.

The Principal also emphasised that the proposal did not represent any intention to move towards a wider restructuring of the existing Schools nor to discourage interdisciplinary working across the University. The Secretary outlined the background to the proposal and reminded members that the intention to create a separate Business School, in due course, was agreed during the 2015 restructuring exercise. He explained that the exceptional growth of the Business School within Social Sciences and the need to appoint a new Head of Discipline due to Professor Kevin Grant's move to Stirling Business School had led UEG to conclude that the time was right to bring forward the proposal. Senate noted developing plans for a new centrally-located building on campus to accommodate the new School.

Senate also noted that external accreditation of business schools required a degree of organisational independence and that an appointment at Dean level within the University would help attract high quality applicants to the post.

Professor Nick Fyfe (Dean of Social Sciences) welcomed the proposal and noted the successful development of the Business School within the School of Social Sciences. While supporting the proposal, the Dean advised that care should be taken to ensure clear communication about the project as it developed alongside open and transparent consultation with staff and students in all parts of the School.

The Dean also emphasised the need for the University to continue its support for interdisciplinarity and connectivity that was a distinctive part of the School's approach. Senate was advised on the need to ensure a full understanding of any impact on the economy of the School's activity and to retain the strong identity and range of ambitions that had been an important part of the School's success since its formation in 2015.

The Dean concluded by expressing a hope that both Schools would continue to flourish under the new arrangements.

Members of Senate agreed that communications with staff in the School needed to be as open as possible and that clarity on timescales including actions already undertaken should be incorporated into the Proposal Paper.

Members discussed the possible financial impact on the School of Social Sciences given that a significant portion of its income and costs would be removed. The potential implications for the School's support staff and infrastructure was also discussed. The Secretary observed that the School of Social Sciences would continue to be a strong contributor to the University under the new arrangements and gave an assurance that staffing issues would be carefully managed in a fair and transparent way during the proposed transition.

Members discussed the potential financial impact on other parts of the University, in the context of the prioritisation of capital investment in a new building for the School of Business forming a key priority in the

emerging Estates Strategy. The Secretary explained that the launch of the new School would be founded on a clear business plan to ensure

sustainability. He advised that there had been wide agreement, including through the Deans' Group, to prioritise investment in the University of Dundee Business School development and that the UDBS's success in growing student numbers to date had justified the approach taken and made a significant positive impact on the University's overall financial position.

The DUSA Vice-President (Representation) reported that there was already a strong student identification with the Business School and that the business focussed student societies were some of the most active in the University.

The DUSA Vice-President (Academia) suggested that development of a new School might provide opportunities for new approaches to student representation and in the use of new technologies to support learning & teaching.

The DUSA Vice-President (Student Welfare) noted that the new School would help increase the overall number of international students at the University. Senate agreed that the student support infrastructure would need to be considered as part of the Proposal.

Senate discussed the possible impact on preparations for the Research Excellence Framework 2021 and the need to understand how the existing School's research quality profile might need re-calibration. Members agreed that the new School would need to deliver high quality academic programmes informed by research excellence.

The Dean of Humanities explained that the intellectual basis of many disciplines across the University were dependent to some extent upon the social sciences. He argued that the School's distinctive approach and intellectual links should be retained in any new arrangement.

The Vice-Principal (Learning & Teaching) reflected on the 2015 restructuring process and observed that excellent communication with staff and students, including very careful messages from University leadership would be the most important aspect of the development of more detailed plans and ensuring a successful transition.

Senate noted the challenges involved in launching a new School by the 1 August deadline contained in the Proposal Paper, while recognising that the University had undertaken a full organisational restructure in 2015 within a similar timeframe.

The Principal explained that the proposed Working Group would consider issues of timing in a pragmatic way and develop a clear timeline for the launch of the new School. Senate noted that the necessary changes to Ordinances and Regulations would be submitted, for approval, in due course.

- The Senatus decided:**
- (i) to approve and recommend to Court, in principle, the establishment of a School of Business in the University; and
 - (ii) to approve the establishment of a Working Group to take forward the proposal

5. QUALITY & ACADEMIC STANDARDS COMMITTEE

Professor Karl Leydecker (Vice-Principal, Learning & Teaching) introduced a Report from the Quality & Academic Standards Committee meeting held on 9 November 2018.

Senate noted the Committee's discussions on the TESTA methodology and the recommendation for consistency in the provision of feedback to students, regardless of their performance in the assessment under consideration.

- The Senatus decided:** to approve the Report.

6. LEARNING & TEACHING COMMITTEE

Professor Karl Leydecker (Vice-Principal, Learning & Teaching) introduced a Report from the Learning & Teaching Committee meeting held on 17 January 2019.

Senate noted the Committee's discussions of the need to improve the robustness of the academic support infrastructure. The Vice-Principal explained that issues around the provision of on-line exams had arisen during the most recent main exam diet. He explained that while staff had responded well and found solutions to such problems there needed to be a long range review to enhance resilience and ensure that core systems were fit for purpose.

Members of Senate noted that some Schools had experienced issues with the use of Turnitin for student assessment and feedback. The Vice-Principal advised that the Committee continued to provide a forum for discussing, monitoring and resolving issues with core academic support systems.

The Senatus decided: to approve the Report.

7. SUMMARY REPORTS OF SCHOOL BOARDS

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

School of Art & Design

Senate noted that Professor Paul Harris had stepped down from his role as Dean of the School of Art & Design. Senate thanked Professor Harris for his leadership of the School and noted that Professor Jeanette Paul would continue to act as Interim Dean.

School of Humanities

Senate noted that the School Board had been presented with financial and budgeting data at its meeting in January. A member of the School expressed a concern that in their view the figures were presented without a clear explanation of how they were derived or calculated.

The Principal informed Senate that any clarification on the budgeting process that might be needed would be provided through other channels.

School of Social Sciences

Senate discussed amendments made to the academic workload allocation model after the November 2018 meeting. Members noted the agreement to allow up to 5% of the Working Together and Valuing People category to be reserved for Internationalisation activity. Members noted that the issue was also discussed at the University Management Group.

The Principal noted the importance of keeping indicative allocations under review to ensure they met the strategic needs of the School and the University.

The Senatus decided: to approve the Report.

8. STAFF COUNCIL – PRINCIPAL'S QUESTION TIME

The Senatus received a Report from the Staff Council meeting held on 21 November 2018.

The Senatus decided: to note the Report.

9. STUDENT TERMS & CONDITIONS 2019/20

The Senatus received the Student Terms & Conditions for academic year 2019/20, for approval.

The Senatus decided: to approve the Student Terms & Conditions for academic year 2019/20

10. GRADUATION TIMETABLE 2019

10am Wednesday 19 June 2019	School of Humanities School of Science & Engineering
2.30pm Wednesday 19 June 2019	School of Nursing & Health Sciences School of Art & Design
10am Thursday 20 June 2019	School of Social Sciences (<i>Architecture and Urban Planning; Geography; Law; Psychology</i>)
2.30pm Thursday 20 June 2019	School of Dentistry School of Social Sciences (<i>Business & Management Studies; Centre for Energy and Petroleum and Mineral Law and Policy;</i>

	<i>Politics)</i>
10am Friday 21 June 2019	School of Education & Social Work Student Services (Skills Hub) School of Life Sciences
2.30pm Friday 21 June 2019	School of Medicine

11. **VICE-PRINCIPAL (LEARNING & TEACHING)**

The Principal, on behalf of Senate, took the opportunity to thank Vice-Principal Professor Karl Leydecker who was attending his last meeting before taking up a new position at the University of Aberdeen. Senate applauded the Vice-Principal's significant contribution to the University's success and wished him well in his new post.