

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 28 April 2020 by video conference.

Present: Ronnie Bowie (in the Chair);
Janice Aitken;
Alan Bainbridge;
Richard Bint;
William Boyd;
Shirley Campbell;
Catherine Cavanagh;
Lady Lynda Clark;
Josh Connor (DUSA President);
David Dorward;
Rumana Kapadia;
Professor Lynn Kilbride;
Professor David Maguire (Interim Principal & Vice-Chancellor);
Bernadette Malone;
Jane Marshall;
Dr David Martin;
Karen Reid;
Professor Mairi Scott;
Jay Surti;
Sharon Sweeney; and
Keith Winter.

In Attendance: Wendy Alexander (Vice-Principal (International));
Professor Julian Blow (Interim Vice-Principal (Academic Planning & Performance));
GiGi (Jia Hui) Gan (Independent Student Member on Court Elect);
Professor Blair Grubb (Vice-Principal (Education));
Dr Neale Laker (Director of Academic & Corporate Governance);
Dr Jim McGeorge (University Secretary & Chief Operating Officer);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Pam Milne (Director of Human Resources & Organisational Development);
Carol Prokopyszyn (Director of Finance);
Scott Quinn (DUSA President Elect);
Wesley Rennison (Director of Strategic Planning);
Professor John Rowan (Vice-Principal (Research, Knowledge Exchange & Wider Impact)); and
Thomas Veit (Director of External Relations).

Apologies: Lord Provost Ian Borthwick;
Rebecca Leiper; and
Rector, Jim Spence.

The Chair welcomed Gigi Gan and Scott Quinn to the meeting who had been elected to serve as the Independent Student member of Court and DUSA President from 1 August and 1 July 2020 respectively. Members noted that they were attending the meeting in a shadow capacity to ensure a smooth transition within the student membership of the Court. The Chair also welcomed Professor Julian Blow who was attending his first meeting since his appointment as the Interim Vice-Principal (Academic Planning & Performance).

53. **MINUTES**

The Court decided: to approve the minutes of the Court meeting on 25 February 2020 subject to minor amendment.

54. **MATTERS ARISING**

(1) Action Log

The Court received the action log of Court business.

The Court decided: to note the updates.

(2) Emergency Committee formation

The Court homologated its approval, by email on 2 April 2020, of the formation of an Emergency Committee (in accordance with the Court Protocol for the Transaction of Emergency Business) for the purpose of taking urgent decisions on behalf of the Court resulting from the COVID-19 pandemic.

Members noted that the Committee had approved, by email on 24 April 2020, proposals that the start of teaching for the 2020/21 academic year be delayed by three weeks to 5 October 2020. The Court noted that the recommendation had resulted from broad and extensive consultation with schools and directorates and was necessary for a number of reasons: to ensure sufficient time for applicants from around the world to acquire the qualifications and visa documentation to be able to come to Dundee; to ensure sufficient time for students on the University's pre-session English language programme to acquire visa clearance to come to Dundee; and to afford academic and professional services staff the necessary time and resource to review and revise programmes to allow for potential contingencies, including delivery by online and flexible methods and the development of practice to meet emerging social distancing requirements. In response to questions the University Secretary confirmed that the proposal had been approved by the Principal on behalf of the Senate under powers delegated to him at the meeting of the Senate on 25 March 2020. Through discussion, and noting that the decision to delay the start of teaching was consistent with that of a significant number of other institutions across the sector, the Court confirmed that it was content with the decision taken by the Emergency Committee. Members suggested that in future decisions should be communicated to the Court immediately following approval by the Emergency Committee rather than being reported to the next meeting of the Court.

The Court decided: to homologate the decision of the Emergency Committee to approve revised arrangements for the start of the 2020/21 academic year.

(3) Update on Senior Appointments (minute 38)

The Chair drew members' attention to the update provided within his report to the Court (see minute 60 below). In particular, members noted the timetable and arrangements in place for the recruitment of a permanent Principal & Vice-Chancellor and that the Interim Principal Professor David Maguire had agreed to remain in post until 31 December 2020 to facilitate continuity throughout the University's response to COVID-19 and support the induction of a new Principal.

The Court decided: to note the update.

55. **COVID-19 UPDATE**

The Principal & Vice-Chancellor introduced a report from the University Executive Group (UEG) which provided a comprehensive account of the University's response to the COVID-19 pandemic, including an overview of the governance structure for the risk management and business continuity response, an update on operational activities undertaken to ensure the health and wellbeing of staff and students, an outline of mitigating actions taken to ensure continuity in academic provision, the transition to staff working from home and the projected impact on the financial sustainability of the University. Alongside updates from each of the major response groups (staff and student health & wellbeing; academic provision; international; short-term planning; financial sustainability & long-term planning), the report set out the University's considerable contribution to the local and national response. A draft operational COVID-19 Risk Register was also provided, and members noted that this would be considered in detail at the next meeting of the Audit & Risk Committee.

The Principal began by highlighting the significant efforts and achievements of staff members in adapting to the situation and ensuring that the University moved rapidly to a new mode of operation during the lockdown period. The Principal went on to highlight three major challenges for the future: (1) ensuring the health and safety of staff and students through the implementation of appropriate social distancing measures when the campus reopened, (2) the development of online learning provision to support a range of potential requirements for the first semester, and (3) ensuring the financial sustainability of the University. With regard to the latter, the Court noted the need to secure extended borrowing to ensure sustainability in the near term, maximise available income, and control expenditure.

The Court welcomed the report, including updates on the strategic priorities in light of the COVID-19 pandemic. Initial discussions focussed on risks identified in the COVID risk register provided and members noted that officers would continue to develop the register as a 'living document' and include impact assessments and further mitigating actions in relation to the areas identified to be 'high risk'. Members also suggested areas where further detail would be welcomed, including the continued maintenance of student safety and the capacity of the existing IT infrastructure to deliver an increased online requirement. The Court was reassured to note the level of financial scenario planning already undertaken and that the

details of these scenarios would be shared with the Finance & Policy Committee at its next meeting on 26 May 2020.

Turning to communications, the Court was positive in its discussions of the communications plan which had been implemented thus far and sought assurance that the processes ensured two-way communication and captured emerging risk. In this respect the Interim Principal highlighted recent high attendance levels at the online Staff Council meeting and the work of staff in the Doctoral Academy as examples of the University's response.

The Court went on to discuss engagement with the Scottish and UK Governments in relation to financial support for the sector. Members noted that the University was actively engaged with Universities Scotland, Universities UK and the Scottish Funding Council, but that at the time of the meeting the nature of, and potential conditions associated with, any support package were not known. The Court also welcomed the work done by the University to enable academic provision to continue in the current semester and recognised the focus being placed on ensuring the quality of provision. The Court noted work undertaken by the academic provision and business recovery groups to establish requirements in this respect.

Turning to student matters, in response to questions, the Vice-Principal (Education) outlined the University's 'No-Detriment' approach, including details of its application and operation. The Court was content that the range of tools explained would ensure that the impact of the major disruption was accounted for and that students were not disadvantaged by the situation. The Court also noted the scale of the financial challenges facing students, and the additional financial aid which had been made available through the Scottish Government, Alumni Fundraising and by the University itself. The DUSA President highlighted the impact and risks associated with the loss of commercial income to DUSA and reported that discussions were ongoing with University management in that regard. Members noted that the University had put in place a policy of refunding student residential accommodation charges subject to a 28-day notice period at an estimated cost of £1.6-1.8m. Finally, officers outlined the response from Student Services in relation to student health and safety requirements particularly in University and private sector residences and the Court was strongly supportive of the emphasis placed on ensuring effective provision in this respect.

Turning to staff matters, the Court discussed the University's use of the government's COVID-19 Job Retention scheme commonly known as the 'furlough scheme'. The Court was pleased to note the open and consultative way in which the use of the scheme had been explored, including with the campus unions, and was content that it had been appropriately applied. Members noted that its application to research staff was more complicated and was currently being actively taken forward.

In closing the item, the Court expressed strong support for the University Executive Group (UEG) and praised the collective leadership across the University for its handling of the response to the pandemic so far.

The Court decided: to note the update and lend its strong support for the University's handling of the situation.

56. UNIVERSITY EXECUTIVE GROUP REPORT TO COURT

The Court received the regular report from the University Executive Group (UEG) (**appendix 1**), which provided an update on emerging sectoral issues and internal operational and strategic matters. The report made reference to the impact of the COVID-19 response (see minute 55 above) but was otherwise focussed on developments in the priority areas previously endorsed by the Court.

The Court noted in particular the update on the Business Transformation Programme and noted the status of the workstreams, the relationship with TechnologyOne, the range of options for the way forward currently being considered and that the University and TechnologyOne had invoked the force majeure clause in the contract as a result of the COVID-19 pandemic. After being reminded of the governance arrangements in place for the project, members noted that a further report would be provided to the next meeting of the Finance & Policy Committee on 26 May 2020, after which officers anticipated being in a position to make a recommendation to the Court.

With regard to the update on the School of Business, members noted that proposals relating to the accommodation and capital build requirements for the School had been paused for re-evaluation as a result of the COVID-19 pandemic. The Court also formally noted the postponement of the national Research Excellence Framework (REF) exercise, and that the University was well placed with respect to the preparedness of its REF return.

Finally, the Court considered the updated Institutional Risk Register noting that it would be the subject of review at the next meeting of the Audit & Risk Committee.

The Court decided:

- (i) to note the update; and
- (ii) to ask that the Audit & Risk Committee review the Institutional and COVID-19 risk registers.

57. BUDGET UPDATE

The Court considered a paper from the Director of Finance which outlined early indications of the impact of the COVID-19 pandemic on the University's budget and financial plans. In doing so the Director set out the pre-COVID budget baseline, which had been established through the regular planning cycle, and the impact of three post-COVID-19 scenarios which management had developed.

Members noted that the base case presented by the sector to the Scottish Government assumed a 50% fall in international fee income, which, for the University of Dundee, equated to a fall of £24m against the University's base budget. The Director outlined optimistic and pessimistic scenario modelling undertaken internally which members noted forecast potential losses of £23m -£28m.

The Director also highlighted the immediate actions taken by the University to mitigate the impact of the pandemic on the University's cash position through the reduction of non-essential revenue and capital expenditure. Turning to financial sustainability, the Court noted that modelling suggested that the forecast reduction in cash for 2020/21 could be

sustained within the existing £40m Revolving Credit Facility (RCF) assuming that the planned reductions in expenditure were achieved.

The Court noted that a 5-year budget, including further modelling of the impact of COVID-19 on pension risks would be provided to the Finance & Policy Committee meeting on 26 May 2020, with iterative updates provided to the Court in June, September and November as new data essential to the refinement of the forecasts emerged.

The Court asked that the Finance & Policy Committee consider the worst-case scenario and associated risks beyond 2021, and linked to that the potential for further savings to be delivered beyond those modelled in the assumptions, the future recruitment market focus for the University, and the level of exposure associated with Dundee Student Villages (DSV) Ltd.

In discussing risks relating to the models presented the Court noted that management was also being open to emerging opportunities and ensuring that investment was made appropriately in, for example, the estate once aspirations for the future in the context of COVID-19 were clear. Members also noted potential increased costs in the area of staff and student health and wellbeing. Through discussion members noted that a Financial Sustainability Project Team had been constituted to support the UEG in developing the University's response.

The Court decided:

- (i) to note the update; and
- (ii) await further updates to the Finance & Policy Committee, Audit & Risk Committee and the Court as outlined.

58. DEBT FINANCING PROPOSAL

The Director of Finance introduced a paper which provided an update on the impact of COVID-19 on the financing landscape and the associated risks and mitigating actions for the University. In doing so she set out the University's financial outlook and reminded members that the existing £40m Revolving Credit Facility (RCF) with the Bank of Scotland would expire in May 2021 and that current forecasts estimated the University requiring to access around £25m of this facility during the 2020/21 academic year to maintain liquidity. Furthermore, the Court noted that, in order to be considered a going concern when signing the annual financial accounts, a facility would be required to be in place by November 2020 which extended beyond November 2021 as a minimum.

The Director outlined the parameters for negotiations with the Royal Bank of Scotland (RBS) regarding a £60m facility and with the Bank of Scotland (part of Lloyds Banking Group) regarding an extension to the existing facility. Members noted that the Director continued to review the government's COVID-19 related banking schemes such as the COVID Corporate Financing Facility (CCFF) and the Coronavirus Business Interruption Loan Scheme (CBILS).

The Court reviewed the risks and mitigations specific to financing and the details of the RBS terms as presented at the time of the meeting. Through discussion members highlighted the importance of ensuring that risks relating to the USS and UoDSS pension schemes could be

accommodated within agreed covenants and the Director confirmed that Ernst & Young had been engaged to advise the University in that respect.

The Court noted the need for agility in decision-making and in accordance with Statute 9 Paragraph 6 (c), approved the delegation of its powers under Statute 9, Paragraph 6 (a) (vi) and (viii) to the Emergency Committee of the Court (as constituted by the Court via email on 2 April 2020 - minute 54(2) refers) to review, negotiate, finalise and execute a loan agreement, either with Lloyds Banking Group extending the existing facilities to a value up to £60m with such financial covenants as recommended, or with RBS up to a value of £60m based on the term sheets provided to the Court as amended, as may be determined by the Emergency Committee.

Resolved: After due consideration, in accordance with Statute 9 Paragraph 6 (c) the Court resolved to delegate powers under Statute 9, Paragraph 6 (a) (vi) and (viii) to the Emergency Committee to review, negotiate, finalise and execute a loan agreement as requested and set out above.

59. STAFF SURVEY

The Director of Human Resources & Organisational Development introduced an overview of the results from the University's 2019 staff survey along with an analysis of the direction of travel and proposals for the development of both institutional and individual school/directorate action plans. The Director also highlighted discussions at meetings of the University Executive Group (UEG) and People & Organisational Development Committee (PODCo) regarding engagement with staff and the development of action plans. Members noted that in light of the COVID-19 situation and with the majority of staff working remotely at home a six-month delay had been proposed to the development of the action plans.

Through discussion the Court noted key areas of strength and areas identified in the 2019 survey as requiring improvement and were pleased to note progress in relation to a number of areas identified for improvement in the 2017 survey. This was particularly the case in relation to the schools of Dentistry and Humanities where members noted that while work remained to be done, the concerted action taken following the 2017 survey had led to a positive direction of travel. Members also noted that the PODCo had explored the results from the School of Business on the basis that these appeared to be outliers relative to other areas of the University. The Court noted that the Committee had been satisfied that the majority of issues raised were addressed by the action plan previously approved by the Court.

Turning to the revised timetable, a number of members were keen to see that delays to the delivery of the action plan were minimised where possible, but recognised the difficulties associated with taking forward this activity when staff were working from home and the unprecedented demands on the Human Resources & Organisational Development Directorate at this time as a result of COVID-19.

The Court discussed the future approach to data collection, with a suggestion made that officers consider the replacement of the biennial survey with a more regular 'sentiment analysis'. The Director of Human Resources & Organisational Development informed

members that plans were in place with stakeholders to consider options for future surveys that could be delivered efficiently and effectively but which would still provide the data required to support strategic planning, University-wide initiatives and actions at school and directorate level. However, the value of the current approach in providing both longitudinal data over a number of cycles and the ability to benchmark against other universities was also emphasised.

The Court decided: to note the results and await further reports from the People & Organisational Development Committee with regard to the development of action plans.

60. CHAIR'S REPORT TO COURT

The Court received a report from the Chair of Court outlining activities he had undertaken on behalf of the Court and the University since the last meeting of the Court. In his report the Chair highlighted his regular conversations with the Interim Principal, and his support for the actions taken by the University Executive Group (UEG) through the recent COVID-19 response. He paid tribute to the leadership of the Interim Principal through this extraordinary period.

Turning to external activities, the Chair highlighted matters discussed at meetings of the Committee of Scottish Chairs. Members noted that the Chair had provided a full report to the Governance & Nominations Committee which had discussed the subject of gender-based violence and had highlighted the strong approach from the University in this respect. Members noted that the Committee had also reviewed the report from the SFC investigation into payments made to the Principal of the University of Aberdeen and had been content that processes at the University of Dundee would guard against similar issues arising at the University of Dundee. Nevertheless, the Court was supportive of his recommendation that the Remuneration Committee be asked to review its remit and terms of reference to identify any opportunities for enhancement.

The Court decided: to note the update.

61. CONVENER REPORTS

The Court received reports from the conveners of each of the committees of the Court, highlighting strategically relevant matters for discussion by the Court.

The Convener of the Audit & Risk Committee highlighted the Committee's review of the University's Business Continuity Framework, the then emerging COVID-19 risk, and consideration of legal risks relating to the Business Transformation programme. She also advised members that as a result of the COVID-19 pandemic, the tendering process for the University's internal and external auditors had been postponed, and she recommended that the Internal Audit Contract for the current internal auditors, Scott-Moncrieff, be extended to cover the August meeting of the Audit & Risk Committee. In response to questions she told the Court that the External Audit tender would need to be completed in time for the audit of the 2020/21 financial year.

The Convener of the Finance & Policy Committee highlighted the refocussing of the meeting of the Committee on 24 March 2020 on matters relating to the impact of COVID-19 and the longer-term future of the University. In doing so he reiterated the importance of obtaining new or renewed borrowing facilities beyond the expiry date of the current RCF facility to the University's financial security. He set out his support for the immediate mitigating steps taken by the University to conserve cash and mitigate against the financial impact of the pandemic. Finally, he provided the Court with an overview of the report from the Vice-Principal (Research, Knowledge Exchange & Wider Impact) and highlighted in particular preparations for the upcoming Research Excellence Framework. Members also noted the University's outstanding performance in the Times Impact survey.

The report from the Convener of the Governance & Nominations Committee highlighted the Committee's discussion of matters raised at the recent meeting of the CSC (see also minute 60 above). The Convener drew attention to the Committee's endorsement of a revised Schedule of Delegation & Decision-making Powers and proposals that the reviews of the effectiveness of the Court and Chair of Court be carried out at the September Court Retreat.

The Court noted that the report from the Acting Convener of the People & Organisational Development Committee was focussed on the staff survey results as discussed in minute 59 above).

The Court decided: to thank the conveners for their reports (approvals are noted in item 64 below).

62. **REPORT FROM THE CONVENER OF THE SENATUS ACADEMICUS**

The Court received a report from the Chair of the Senatus Academicus. In introducing the report the Principal drew members' attention to the Senate's focus on matters relating to the COVID-19 pandemic and its approval of the delegation of its powers to him as the Convener of the Senate until the end of the academic year to ensure that any learning, teaching and research activity that was able to continue did so in a secure and effective way during the current period of uncertainty.

The Court decided: to note the report. Approvals are noted in minute 65 (below).

63. **NARRATIVE FOR THE SENATE**

The Court suggested that the report from the Chair of Court to the Senate should highlight:

- the decision of the Emergency Committee to approve the postponement of the start of the 2020/21 academic year (minute 54(2))
- the Court's gratitude to staff for their response to the COVID-19 lockdown, its recognition of the strength of collective leadership across the University, and its endorsement of the major areas of work being undertaken to ensure the health & wellbeing of staff and students, continuity in the academic provision, and the mitigation of the financial impact on the University's sustainability.
- The Court's consideration of the early draft budget for 2020/21, the serious attention being paid to the cash position, and the Court's interest in future scenario planning (minute 57).

- The importance of beginning to consider what the University should look like in the future (Post-COVID-19).
- The Court's approval of parameters for debt financing (minute 58).
- The Court's interest in the outcomes of the 2019 staff survey, and the development of institutional and school/directorate action plans once the time was right to do so.
- Last, but not least, the Court's recognition of the University's research and other responses to support the national effort to combat COVID-19.

The Court decided: to ask that the Chair of Court prepare a report to the Senate on this basis.

64. COMMITTEE REPORTS

(1) Audit & Risk Committee Minutes

(i) Minutes of the Committee's meeting on 3 March 2020

The Court received the minutes of the meeting of the Audit & Risk Committee on 3 March 2020 (**appendix 2**). The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 61).

The Court decided: to approve the minutes.

(ii) Reserved Minute from the Committee's meeting on 3 March 2020

The Court received minutes 4 and 11 of the meeting of the Audit & Risk Committee on 3 March 2020. The Court noted that the University claimed exemptions under Sections 30 and 33 of the Freedom of Information (Scotland) Act 2002. The minutes will be published as an appendix to the minute of the meeting of the Court at which their release is approved.

The Court decided: to approve the minutes.

(2) Finance & Policy Committee Minutes

(i) Minutes of the Committee's meeting on 24 March 2020

The Court received the minutes of the meeting of the Finance & Policy Committee on 24 March 2020 (**appendix 3**). The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 61).

The Court decided: (i) to note the Committee's endorsement of debt financing proposals as set out in minute 58 above;

(ii) otherwise, to approve the minutes.

(ii) Reserved Minute from the Committee's meeting on 24 March 2020

The Court received minute 6 of the meeting of the Finance & Policy Committee on 24 March 2020. The Court noted that the University claimed exemptions under Sections 30 and 33 of the Freedom of Information

(Scotland) Act 2002. The minutes will be published as an appendix to the minute of the meeting of the Court at which their release is approved.

The Court decided: to approve the minutes.

(3) Governance & Nominations Committee Minutes

The Court received the minutes of the Committee's meeting on 24 March 2020 (**appendix 4**). The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 61).

The Court decided:

- (i) to approve the Revised Schedule of Delegation & Decision-Making Powers;
- (ii) to approve proposals for the timing of the reviews of the effectiveness of the Chair of Court and the Court, such that they take place at the annual Court Retreat.
- (iii) otherwise, to approve the minutes.

(4) People & Organisational Development Committee

The Court received the minutes of the Committee's meeting on 16 March 2020 (**appendix 5**). The Court's discussion of matters raised by the Committee for the attention of the Court are detailed in the Conveners' Report (Minute 61).

The Court decided: to approve the minutes.

65. **REPORTS FROM THE SENATUS ACADEMICUS**

The Court received a report from the meeting of the Senate on 25 March 2020 (**appendix 6**). Matters of interest highlighted to the Court were discussed under item 62 (above).

The Court decided:

- (i) to note the delegation of the powers of the Senate to the Principal in his capacity as the Convener of the Senate in accordance with Statute 10(4)(q);
- (ii) to approve, for its part, the draft 2020/21 academic calendar, noting that it would be revised following the approval of changes approved to the start date for the academic year (see also minute 54 (2));
- (iii) otherwise, to note the report.

66. **REPORT FROM THE STAFF COUNCIL**

The Court received the minutes from the meeting of the Staff Council on 4 March 2020

and noted discussions had focussed on the Principal's plans and priorities for the University during his interim appointment, improved communication, and the prioritisation of environmental sustainability.

67. **STAFF: PROFESSORIAL AND GRADE 10 APPOINTMENTS**

(1) Appointments

The Court decided: to note that there were no appointments to report.

(2) Honorary Chaplain

The Court decided: on the recommendation of the University Chaplain, Rev Dr Fiona Douglas, to approve the appointment of Robbie Sharpe as an Honorary Chaplain for the period of 1 year in the first instance, with immediate effect.

(3) Reserved Business: Emeritus Professor

The Court considered and approved the withdrawal of the title of Emeritus Professor from an unnamed individual.

The Court Decided: to approve the withdrawal of the title of Emeritus Professor from an unnamed individual.

APPENDIX 1

UNIVERSITY EXECUTIVE GROUP REPORT TO COURT (Minute 56)

A. INTRODUCTION

1. The two months following the last UEG report to Court have been challenging and unprecedented. As members would expect, our efforts have been concentrated on responding to the COVID-19 outbreak and, in a period which has seen the University move almost entirely online, our priority has been taking every possible step to ensure the health and wellbeing of our students, staff and wider community.
2. The full scale of the challenge facing the HE sector is unclear and there are many uncertainties. However, thanks to the truly gargantuan efforts of our staff, we have moved from the 'emergency phase' to the 'transition phase' of our response in recognition that we are now in position to manage risks at a more systematic operational level and to begin to plan again for the medium to long term. The impact of the outbreak on our strategic delivery is being carefully monitored and our risk register regularly reviewed (see paper D2). A full update on our response to the outbreak at an institution and sector level will be provided at the meeting of Court (see COVID-19 Update, paper C1).
3. We updated members on what we considered to be the key strategic issues facing the institution and an associated workplan of priority actions for 2020 at the last meeting of Court. This report provides a status update on these and, in light of the significantly altered Higher Education landscape, indicates where timelines and deliverables have been impacted. Other internal and external matters of relevance to the Court are also included. The appendices highlight the incredible efforts of our staff and students to continue to deliver excellence in research, teaching and student experience throughout this challenging time. Recent updates to the work of our community in contributing to the national and international response to the COVID-19 crisis can be found in COVID-19 Update (paper C1).

B. UNIVERSITY STRATEGY IMPLEMENTATION

4. Over the last two months, we have been working closely together as a UEG and were pleased to welcome Professor Julian Blow into the position of Interim Vice-Principal (Academic Planning & Performance) on 9 March in accordance with the powers delegated by the appointing Committee on 9 December. He has energised the team, bringing a wealth of experience as Dean of the School of Life Sciences and is already playing an invaluable role in helping to build on existing relations and enhancing communication between UEG and the Deans. Professor Inke Nāthke has taken on the role of Acting Dean of the School of Life Sciences in the short term. An update in respect of the appointment process for an interim Dean of the School of Life Sciences and an interim Dean of Dentistry following Professor Mark Hector's retirement from the role of Dean this summer will be provided at the meeting of Court (see Update on Senior Appointments, item 2(3)). We have been inspired by the resilience and innovation displayed by the Deans and wider University Management Group over this challenging period and have full confidence in their ability both to respond to the crisis and maintain focus and momentum in supporting delivery of our strategic vision.
5. A status report on our strategic priorities and associated workplan for 2020 is provided in the sections below. The objectives and timelines outlined are being regularly reviewed by UEG for relevancy and feasibility within the context of the changing external environment and to ensure other opportunities that emerge as the situation develops are fully considered.

Improved Performance Management

Project lead(s): Director of Human Resources & Organisational Development and interim Vice-Principal (Academic Planning & Performance)

6. We advised members in our last update that we have been exploring ways to develop our collaborative working with the Deans. The work carried out to date is now being built on by the interim Vice-Principal (Academic Planning & Performance) through regular Group and 1:1 meetings with each of the 10 Deans. He has also begun to drive forward the planning process by exploring standards of academic excellence and target setting for Schools to support development of performance improvement plans and shared his early thoughts on this at the recent UEG away day.

7. In parallel, the Director of Human Resources and Vice-Principal (Education) continue with work to develop a holistic and integrated approach to performance management and remain on track to launch the framework in September 2020 despite constraints from COVID-19.
8. It is intended that these initiatives will be supported through implementation of an organisational development programme for the senior leadership team, a proposal for which is currently being developed. A full update to Court on work in this space is scheduled for the meeting of Court in June.

Financial Sustainability

Project lead(s): Director of Finance and University Secretary & Chief Operating Officer

9. Court and Finance & Policy Committee receive regular updates on the University's financial position and progress with delivering the strategic financial objectives agreed with Court in September, which include:
 - Improving budget control and accountability by implementing the agreed budget model;
 - Progressing delivery of the £15m contribution gap by 2023/24; and
 - Securing £60m funding for 3-5 years.
10. Since the last update, a 5-year base pre COVID-19 budget has been confirmed in accordance with the high-level budget principles previously agreed with Court. This paper showed the very good progress that had been made in year on improving University finances. Progress has also been made by the Professional Services Value for Money Group, which has continued to meet on a regular basis to explore cost savings initiatives, and in negotiations with potential lenders around development of a loan finance proposal (see Debt Financing Proposal, paper F for further details on work in this space).
11. However, as members will be aware, following the COVID-19 outbreak, financial sustainability has become a critical priority due to immediate financial impacts in 2019-20 and major financial risks from 2020-21. We are undertaking modelling to consider the medium- and long-term financial impact of the crisis on our financial position and wider implications for University strategy implementation. A Financial Sustainability Project Team has been established and is meeting multiple times a week to progress work in the following areas: financial scenario modelling including student number planning; impact on ability and capacity to borrow; short- and medium-term actions required to mitigate financial impact and lobbying Scottish and UK Governments to ensure a robust and effective support package for the sector – including the medium to longer term financial challenges for our research. A detailed budget to 2024/25 and a refinancing proposal will be brought to the June meeting of Court for approval.

Business School

Project lead(s): Vice-Principal (International) and Vice-Principal (Education)

12. In February, Court was updated on the School of Business Leadership Group's work to date to deliver against several major workstreams with support from the Vice-Principals (International) and (Education). These workstreams included: staffing and recruitment; programme delivery and curriculum review; and interim and longer-term School estates requirements.
13. The staff recruitment programme required to teach existing cohorts is proceeding, as are, the plans to strengthen the school executive. The curricular review remains on track for completion of its initial phases by the end of June. With respect to the estates requirements, as per the update to Finance & Policy Committee last month, the impact of the COVID-19 outbreak is likely to be significant for the School and anticipated interim and permanent capital requirements are being carefully reviewed in light of current circumstances and available resources. The ambition is for the School to complete all major workstreams highlighted at the last Court by the summer and thereafter the School would be subject to the regular stewardship arrangements for all schools overseen by Vice-Principal (Academic Planning & Performance). A further update will be provided to Court in June.

Research Excellence Framework 2021 and Broader Research Strategy

Project lead(s): Vice-Principal (Research, Knowledge Exchange & Wider Impact)

14. To enable institutions to prioritise activities in response to COVID-19, we have been advised by the UK REF Director that the November 2020 deadline for institutions' final REF submissions will be delayed and that at least 8 months' notice of the new deadline for submission will be given. This change has been reviewed against our own internal REF timelines and updates made accordingly. Focus for the University at present is on maintaining

momentum and continuity for the academic community both in recruitment and preparations for REF, and on identifying areas most affected by the pandemic to ensure they are fully supported.

15. Court receive regular updates on our preparations for REF and most recently, a full summative collation of the predicted quality profile of outputs, case-studies and environment templates was reviewed by the Finance and Policy Committee in March. Further updates will be provided as they emerge.

Future Academic Structure and Footprint

Project lead(s): Vice-Principal (Academic Planning & Performance), Vice-Principal (Education) and Director of External Relations

16. As advised in our last report to Court, we have begun work to explore the current academic footprint and composition of the University's 10 Schools with a view to advancing academic excellence and sustainability agendas. A working group comprising Deans and School Managers and led by the Vice-Principal (Academic Planning & Performance) has been established and will continue initial exploratory work with a view to an early update being provided to Court at its June meeting.
17. We also advised members in our last report of work led by the Vice-Principal (Education) to establish programme design principles to help shape our future academic provision and inform an institution wide curriculum review. The recent transition to online delivery of teaching will feed into this, and consideration will be given to areas where online/ blended learning should be retained, and opportunities for developing interdisciplinary offerings.

RESERVED BUSINESS: Business Transformation

[Secretary's note: The University asserts that the below 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 section which will then be included as an appendix to the Court minute.]

Project lead(s): University Secretary & Chief Operating Officer

- [illegible]

C. SECTORAL MATTERS

22. Unsurprisingly, the COVID-19 outbreak has been the critical issue dominating the sector over the last two months. A fuller update on the sectoral context and response will be provided at the meeting of Court (see COVID-19 Update). Other sectoral items of interest to the Court are outlined below.

SFC Funding Allocations

23. The Scottish Funding Council released its funding allocations earlier this month, instead of in May as is usual practice. The announcement did not take into account the significant financial challenge facing the sector arising from COVID-19, though the SFC continues to work with the sector to understand the impact so that it is better enabled to make the case for government support when it is required. The University received the lowest uplift in the sector to its annual allocation, although this did show a 1.7% improvement against anticipated allocation. A full analysis of allocations is being undertaken and will support consideration of the University's financial position moving forward. An update will be provided to Court in June alongside the budget.

Pay and Pension Matters

24. Since our last update to Court, the second period of industrial action in respect of the national University & College Union (UCU) dispute on pay, casualisation, equality & workloads and changes to the Universities Superannuation Scheme (USS) took place as scheduled from 20 February. Between 82 and 102 members of staff participated per day in the action. As with the first period of action in November last year, the Schools of Business, Humanities and Social Sciences were the most affected, although overall disruption was managed and impact was therefore generally low across the institution. The UCU's current mandate for strike action is scheduled to expire at the end of April and we have been notified of the UCU's intention to ballot members by the end of June to allow for industrial action beyond this, although re-balloting has currently been suspended in light of the current pandemic.
25. While progress has been made in respect of the non-pay elements of the dispute such as casualisation and workloads, there have been no further developments regarding pay negotiations since the last report to Court.

USS revaluation

26. Tripartite negotiations between employers, UCU and the USS over changes in employee contribution to the Universities Superannuation Scheme and its long-term future continue. We provided Financial & Policy Committee at the March meeting with an update on the timeline for the USS actuarial valuation and advised additional meetings of the Pensions subgroup have been scheduled to support expected consultations. The significant financial risk posed to the institution is being considered regularly by the Financial Sustainability Project Team within the context of the wider financial impact of the COVID-19 outbreak.

D. INTERNAL MATTERS

Student Recruitment

27. It is currently extremely difficult to accurately predict the likely 2020/21 student intake because of the ongoing global health pandemic. Our general application and offer position is outlined in Appendix 1, however members should note this cannot currently be taken as a strong predictor for the 20/21 intake, given most applications and offers pre-date the March escalation in UK public health issues.
28. In the face of this uncertainty, we have taken a number of mitigating steps, including: scenario planning for possible reductions in intake against budget expectation; implementing measures in both open recruitment and partnership spaces; and transitioning enquiry, admission and stakeholder management online.
29. There has been a good level of engagement from key audiences with our online activity, demonstrated by our high turnout for online post-application visit days, fully booked offer-holder events (with 250 offer holders+ per event) for overseas applicants, and strong agent engagement (for example 160+ agents in an online Admissions Q & A last week). We continue to monitor student application and offer trends with External Relations, and to factor this into our medium- and longer-term planning.

Joint Education Institute with Central South University

30. Despite the pressures of the COVID-19 outbreak, our colleagues at Central South University have now signed the contract underpinning our Joint Education Institute (JEI) proposal for Undergraduate degree programmes in Mathematics, Civil Engineering, Computing Science, Mechanical Engineering and Mechanical Engineering with Transportation. Our joint application will be submitted to the Hunan Education Authority and Ministry of Education this month and we had anticipated a decision on the JEI by this September with doors opening to students in September 2021 but it is not yet clear if this timeline will pertain.

Awards and Accolades

31. A list of awards and accolades won by staff and students since the last report to Court is included in **Annex 3** and **4**.

University Executive Group
21 April 2020

Annex 1: Student Recruitment Update

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

Annex 2: University Executive Group Meetings

The University Executive Group has met formally on 26 February, 4 March, 11 March, 25 March, 27 March, 8 April and 22 April. The following items were considered:

1. CORPORATE ISSUES

- COVID-19
- UEG Actions and Priorities for 2020
- Business Transformation
- Academic Health Science Partnership

2. FINANCIAL ISSUES

- Budget Update, Scenarios and Assumptions
- Student Numbers and Fee Budget Setting
- Review of School Contributions
- Annual Procurement Report
- Student Numbers Update
- Student Accommodation

3. ACADEMIC MANAGEMENT ISSUES

- Academic Start for 2020/21
- UEG and Deans Engagement
- Future Academic Structure
- Academic Promotions Criteria
- Vice-Principal (Academic Planning & Performance) Objectives
- School of Business Staff Recruitment
- Follow up Report to the QAA on ELIR
- Appointment process for Dean of Dentistry
- Update on Strategic Research Initiatives
- Non-clinical Senior Professorial Salaries: Equality Analysis

4. HUMAN RESOURCES ISSUES

- University & College Union Strike Action
- Non-clinical Senior Professorial Salaries: Equality Analysis

Annex 3: Details of Research & Related Awards

The selection of grants and awards detailed below have been selected in order to showcase the diverse range of research undertaken across the University, enabled by funding sources that include research councils, charities and industrial sponsors. Please note that any joint awards listed below state the University of Dundee value only.

The details of the work of our researchers in contributing to the national and international response to the COVID-19 crisis can be found in paper C1.

A. RESEARCH AWARDS

- (i) **Professor T Tanaka (School of Life Sciences)**
Kinetochores-Microtubule Interactions: Steps Towards Bi-Orientation (Investigator Award)
£1,533,479 from the Wellcome Trust

The research grant will support the study of fundamental mechanisms ensuring accurate chromosome inheritance. To maintain vital genetic information, a complete set of chromosomes must be accurately inherited when cells divide. Errors in chromosome inheritance cause miscarriage during pregnancy, genetic abnormalities and various types of cancers. Outcomes from this research will contribute to understanding the mechanisms of these diseases and abnormalities.

- (ii) **Professor D R Alessi (School of Life Sciences)**
Funding for new Mass Spec Platform
£1,015,365 from UK Dementia Research Institute

We are working hard to establish a world leading centre for Parkinson's disease research at the University of Dundee. As part of this effort, we have recently succeeded in persuading the UK Medical Research Council and the UK Dementia Research Institute, to co-fund a state-of-the-art Mass Spectrometry Platform, consisting of timsTOF Pro mass spectrometer (£771,000), Agilent Bravo sample handling system (£143,000) and Evosep LC system (£101,000) that will be based within the MRC-PPU at University of Dundee.

This setup will enable us to undertake unprecedented super sensitivity mass spectrometry of low numbers of brain cells, to better understand how biology is disrupted by Parkinson's as well as other neurodegenerative disorders. Our aim is to use this unique technology to discover important new biology and help boost the reputation of the University of Dundee in this area of mechanistic neurodegenerative research.

- (iii) **Professor E Pearson (School of Medicine)**
Precision Medicine In Diabetes: Pharmacogenomics Studies of Large Randomised Controlled Trials of Diabetes Therapies (Joint with University of Montreal)
£338,361.60 (including £210,974.40 overhead) from the Medical Research Council and Canadian Institutes of Health Research

Researchers from the School of Medicine, University of Dundee and Montreal Heart Institute will be combining clinical trial data of for the newer diabetes treatments (GLP-1 Receptor Agonists and SGLT2 inhibitors) to investigate why some people respond to treatment and some do not, and why some patients get side effects. They will also use the genetics to gain better insight into the mechanism for cardiovascular benefit seen with these drugs.

This will be the first study to investigate the genetics of these treatments at scale and reflects the increasing openness of pharmaceutical companies to share their trial data with academic researchers.

- (iv) **Dr J Morris (School of Nursing)**
Promoting Physical Activity and Exercise After Stroke Using a Text Messaging Intervention (Joint with St Andrews University)
£297,224 (including £131,186 overhead) from the Chief Scientist Office

70% of stroke survivors experience enduring physical impairments and associated disabilities. After rehabilitation, survivors are signposted to exercise opportunities to support recovery. Despite this, our research has shown that many struggle with motivation and feel abandoned by services after rehabilitation and

participation in physical activity is low. Behaviour change interventions delivered by Short Message Service (SMS) can improve motivation and adherence to physical activity (PA) in older populations and ameliorate feelings of abandonment at the end of rehabilitation through real-time support for goal setting, planning, and prompts for self-monitoring after rehabilitation.

This study will: a) Conduct focus groups with stroke survivors to understand how an SMS intervention could work and what features are acceptable (text frequency content, tone, narrative features) b) Co-design, develop, pilot and refine a new SMS intervention with stroke survivors and health professionals c) examine intervention and key aspects of study feasibility and acceptability for testing in a future trial.

- (v) **Professor John Rowan (School of Social Sciences/ University Executive)
Centre for Water Law, Policy and Science (UNESCO) - Next Generation
£187,500 (including £14,151 overhead) from the Scottish Government**

This award, the first instalment of a three-year funding commitment from the Scottish Government (£687,500 2019 – 2022), provides resources for a programme of research and outreach aligned to global water security issues and wider ambitions aligned to the UN Sustainable Development Goals. Interdisciplinarity spanning water law, policy and science are at the heart of the initiative and the pursuit of sustainable and equitable futures for all.

Name	Discipline	Project Title	Total Value	Funder
Dr D R Morales	School of Medicine	Scottish Primary Care Research Network (SPCRN) 2019-20	£445,323	Chief Scientist Office
Dr M Bergkessel	School of Life Sciences	Measuring Activity Dynamics in Non-growing Populations of Bacteria	£99,950	Academy of Medical Sciences
Prof. P A Mossey	School of Dentistry	Fixed Versus Conventional Removable Twinblock For Overjet Reduction In Children - A Randomised Controlled Trial To Investigate The Burden	£99,083	British Orthodontic Society Foundation
Dr B Saunders	Psychology	Leveraging Process Models of Self-regulation To Understand Self-quitting In Scotland	£85,382	Scottish Graduate School of Social Science
Prof. M.R. Jones	School of Engineering	Feasibility to Develop a SIP Supported Stone Slip 'Cladding' for Housing	£49,421 (including £23,893 overheads)	Construction Scotland Innovation Centre

Annex 4: People and Prizes

Amphista Therapeutics, a University of Dundee spinout has announced a multi-million-pound deal to develop first-in-class cancer therapeutics that harness the body's natural processes to selectively and efficiently degrade and remove disease causing proteins. Amphista Therapeutics has announced the closing of a USD \$7.5m Series A round, led by Advent Life Sciences. Seed round funders the Scottish Investment Bank, with backing from the Scottish Growth Scheme, and the European Investment Fund joined the round, along with new investor, US-based life sciences BioMotiv. Amphista's scientific founder, Professor Alessio Ciulli, based at the University of Dundee, is an internationally renowned expert in the field of targeted protein degradation (TPD) and commented: "Highly specific TPD is a transformative new modality for tackling previously undruggable targets with high therapeutic value."

Professor Christopher Barratt will head up a new international task force to tackle the growing global crisis in male reproductive health. The crisis has been caused by a dramatic decline sperm count and an increase in testicular cancer and urogenital disorders. Professor Barratt is leading the Male Reproductive Health Initiative (MRHI), which will bring together scientists, clinicians, social scientists and policymakers to develop a coherent strategy for those working in the field globally.

Dr Paul Campbell from the School of Science & Engineering has won a prestigious Winston Churchill Memorial Trust Travel Fellowship that will see him visit two of the world's top universities to further his ambition of developing the next generation of science superstars. Dr Campbell will work alongside a Nobel laureate and other leading figures from Harvard and Stanford universities to learn about innovative teaching strategies that have led to improved student outcomes.

Professor Nicholas Fyfe, Dean of the School of Life Sciences, has been made a Fellow of the Academy of Social Sciences in recognition of the impact of his work on policing research. Fellows are recognised for their outstanding contributions to research and application of social science to policy, education, society and the economy. Professor Fyfe's career has seen him carry out research ranging from improving police-community engagement and addressing the challenges of investigating organised crime, to understanding the impacts and implications of police reform following the establishment of Police Scotland.

Dr Amy Lloyd from the University of Dundee has been awarded the Jean Corsan prize by the country's leading dementia research charity Alzheimer's Research UK for the best scientific paper by an early-career researcher.

Four University of Dundee academics who are helping transform lives with their work on major diseases including cancer, diabetes, Parkinson's and neglected tropical diseases such as malaria have been elected Fellows of the Royal Society of Edinburgh (RSE). The new Fellows from the University of Dundee are: **Professor Annie Anderson**, Professor of Public Health Nutrition, in the School of Medicine; **Professor Ian Gilbert**, Professor of Medicinal Chemistry and Head of the Division of Biological Chemistry and Drug Discovery, School of Life Sciences; **Professor Rory McCrimmon**, Dean of Medicine, Professor of Experimental Diabetes and Metabolism and Honorary Consultant and **Professor Miratul Muqit**, Professor of Experimental Neurology, School of Life Sciences

Two University of Dundee graduates, **Abriele Skaite** and **Thanos Kyratzis** triumphed over thousands of other entrants for this year's John Byrne Award, which aims to create Scotland's most inclusive, creative arts platform. Abriele, a former Comics MDes student at Duncan of Jordanstone College of Art & Design and Thanos, from the University's Comics MLitt course, received prize money of £7,500 for their collaboration, 'Borders'. Their comic explores the differing views and experiences of refugees and migrants as well as the concept and practical impact of national borders on both a personal and social level.

APPENDIX 2

AUDIT & RISK COMMITTEE MINUTES (Minute 64 (1)(i))

A meeting of the Committee was held on 3 March 2020.

Present: Karen Reid (Convener);
Karen Bassett;
Lady Lynda Clark;
Colin Clunie;
Gordon Weir;
Keith Winter.

In Attendance:

Wendy Alexander	Vice-Principal (International);
Richard Bint	Convener of Finance & Policy Committee;
Chris Brown	Scott-Moncrieff;
Dr Neale Laker	Director of Academic & Corporate Governance;
Dr Jonathan Monk	Director of UoD IT (items 6-8);
Dr Jim McGeorge	University Secretary;
Carol Prokopyszyn	Director of Finance;
Stephen Reid	Ernst & Young;
Wesley Rennison	Director of Strategic Planning (item 5(2));
Dr Liz Rogers	Assistant Policy Officer (Risk & Audit); and
Professor John Rowan	Vice-Principal (Research, Knowledge Exchange & Wider Impact) (item 10).

The Convener welcomed Colin Clunie and Gordon Weir to their first meeting of the Committee.

1. MINUTES

Resolved: to approve the minutes from the meeting of 29 October 2019.

2. MATTERS ARISING

(1) Action Log

The Committee considered a log of ongoing actions

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

3. CONVENER'S REPORT

The Convener informed the Committee that she had spoken with the 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 issues at the relevant points in the meeting.

The Convener highlighted the risk session on 24 February 2020, stating that she felt it had been robust in approach and very useful. Both members and officers who had been present agreed and expressed a view that similar events might be held in future.

Resolved: to note the update.

4. BUSINESS TRANSFORMATION

[Secretary's note: Members should note that this item is considered strictly confidential. The University claims the exemptions in Sections 30 and 33 of the Freedom of Information (Scotland)]

Act 2002. The minute has been redacted and is provided under separate cover and will be published as an appendix to the minute of the Court meeting at which its release is approved]

5. INTERNAL AUDIT

(1) Internal Audit Follow-Up

The internal auditor introduced the revised follow-up report. Members noted that only three low-risk recommendations now remained outstanding. The Committee requested information on the process for signing-off recommendations as complete, noting that it comprised the internal auditors asking the University for an update and then obtaining documented evidence from the relevant audit sponsor to confirm the status provided in the update.

Resolved: to note the update.

(2) Implementation of Workload Allocation Model

The Committee reviewed the internal audit report on the implementation of the Workload Allocation Model (WAM). Members noted that the report contained two Grade 2 (moderate risk exposure) recommendations relating to opportunities to enhance the accuracy of data within the Model and the need for a communication plan to be established. The Director of Strategic Planning said that it had been a helpful report and that the recommendations would be implemented by September 2020.

Three Schools had been focused on for this audit (Education & Social Work, Life Sciences and Medicine) and the audit had considered the consistency in the approach applied by the schools. The audit had found that the School of Education & Social work had advanced to the stage where data from the Model could be analysed. As such, the School Manager had been asked to become an 'ambassador' for the Model to ensure that good practice was shared with other schools. The Committee noted that there had been some challenges with the implementation of the Model in some schools, particularly in Medicine, where the NHS were also involved.

Discussions focused on the benefits of the WAM, noting that it provided increased transparency and had been supported by the unions. Members also noted that the Director continued to work with the unions and respond quickly to any issues raised.

Members also noted that the Director of Strategic Planning had been involved in several recent internal audits and suggested that future internal audit planning could take this into account in order to avoid over-burdening his area in this respect.

Resolved: to note the report.

(3) Internal Audit Progress Report

Members reviewed the internal audit progress report. The Committee agreed that the review on the implementation of the Human Resources & Payroll system should be deferred and an audit carried out on public protection, as recommended at the risk session, instead.

Resolved: to note the report.

6. BUSINESS CONTINUITY

The Assistant Policy Officer (Risk & Audit) introduced the Business Continuity Management Framework. The Framework took a holistic approach to business continuity, encompassing risk management, crisis management, business continuity and business recovery. The Policy Officer also provided an update on work completed to date, including carrying out various scenarios and specific work in IT and Estates to build organisational resilience.

Members noted that further work would be completed on communications and a protocol for identifying the most appropriate level of initial response and the escalation process from Bronze through Silver to Gold responses. It was agreed that an update on progress with the implementation of the Framework would be provided at a future meeting.

Resolved: (i) to endorse the Business Continuity Management Framework; and

- (ii) to receive a further update at a future meeting.

7. CORONAVIRUS OUTBREAK

Members discussed the recent outbreak of a novel coronavirus in Wuhan, China, and the associated risks to the University. The University Secretary informed the Committee that the Coronavirus Working Group had first met in January to consider how to support Chinese staff and students alongside the emerging travel risks, and that the University had now activated a Silver-level response and had begun extensive planning for an outbreak in the UK.

Resolved: to note the update.

8. REVIEW OF PROJECT MANAGEMENT: UPDATE ON MANAGEMENT ACTIONS

The Director of UoD IT attended to provide an update on the implementation of the management actions which had emerged from the internal audit on project management. The University had progressed its approach to developing a consistent project management methodology and now had a register of projects and a process in place for project approvals. In July the progress would be reviewed with the aim of putting a project board in place. Additionally, the issue of smaller projects within schools and directorates would be considered, with the aim of supporting them to implement the new methodology. The Committee asked that an update be provided at a future meeting demonstrating the project management approach and where key decisions sat within it.

Resolved: (i) to await a further update; and

(ii) to note the progress to date.

9. CYBERSECURITY

The Director of UoD IT attended to provide the Committee with an update on cybersecurity and in particular to report on how the University had supported Dundee & Angus College when it was recently hit with a serious cyberattack. The Director explained the way in which ransomware attacks could target universities and colleges and detailed the controls in place at the University of Dundee that sought to mitigate this risk. Members noted that, following the launch of the mandatory cyber security training, there appeared to be an increased awareness of the cybersecurity risk within the University, as evidenced in the recent staff survey. The Committee also noted that the business continuity plans in schools and directorates had helped build resilience in how the University would recover from a cyberattack.

Resolved: to note the update.

10. RESEARCH RISK

The Vice-Principal (Research, Knowledge Exchange & Wider Impact) attended to discuss risk to the sustaining high-quality research outputs. Discussions focused on the REF submission, societal benefit of research, potential for additional income via intellectual property and spin out companies, and the way research contributed to the University's position in league tables. The Vice-Principal discussed the controls in place to manage research risks, such as the Annual Research Review and OSaRs.

The Committee discussed research in relation to financial sustainability risk, noting that research activity was underfunded from public sources, whether research councils, charities, Scottish or UK governments. The Committee also questioned the longer-term objectives for the University and its organizational structure. Members noted that the process for developing a new University Strategy would soon commence and that this would be a good opportunity to discuss these considerations further.

Resolved: to note the update.

11. RESERVED BUSINESS: LEGAL RISK

[Secretary's note: Members should note that this item is considered strictly confidential. The University claims the exemptions in Sections 30 and 33 of the Freedom of Information (Scotland)]

Act 2002. The minute has been redacted and is provided under separate cover and will be published as an appendix to the minute of the Court meeting at which its release is approved]

12. **NARRATIVE FOR COURT**

During the meeting it was agreed that the Convener's report to Court on 28 April 2020 would include the following: the Committee's consideration of the Business Continuity Management Framework; the University's response to the coronavirus outbreak; the progress with the completion of outstanding recommendations as evidenced in the internal audit follow-up report; and the update the Committee had received on cybersecurity.

13. **EXTERNAL AUDIT ANNUAL REPORT**

Resolved: to note the finalised report.

14. **RISK MANAGEMENT OVERSIGHT GROUP**

The Committee reviewed the minutes from the Risk Management Oversight Group meeting on 6 November 2019.

Resolved: to note the minutes.

15. **HEALTH, SAFETY & WELFARE SUB-COMMITTEE**

The Committee reviewed minutes from the Health, Safety & Welfare Sub-Committee meeting on 9 December 2019. Members requested an update on training completion rates.

Resolved: to note the minutes.

16. **WHISTLEBLOWING POLICY**

Members reviewed the revised Whistleblowing Policy and noted that the Committee's role would be to oversee the implementation of this policy.

Resolved: to note the update.

17. **AUDIT SCOTLAND REPORT**

Resolved: to note the report.

18. **DATE OF NEXT MEETING**

Resolved: Tuesday 19 May 2020.

Karen Reid

Convener

APPENDIX 3

FINANCE & POLICY COMMITTEE MINUTES (Minute 64 (2)(i))

A meeting of the Committee was held on 24 March 2020 via video conference.

Present: Richard Bint (Convener);
Alan Bainbridge;
Ronald Bowie;
Dr William Boyd;
Josh Connor (DUSA President);
David Dorward;
Professor David Maguire (Interim Principal & Vice-Chancellor);
Professor Mairi Scott; and
Sharon Sweeney.

In Attendance: Bernadette Malone (Deputy Chair of Court);
Professor Julian Blow (Interim Vice-Principal (Academic Planning & Performance));
Peter Fotheringham (Deputy Director of Finance);
Rose Jenkins (Director of Estates & Campus Services);
Dr Neale Laker (Director of Academic & Corporate Governance);
Dr Jim McGeorge (University Secretary & Chief Operating Officer);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Carol Prokopyszyn (Director of Finance);
Wesley Rennison (Director of Strategic Planning); and
Professor John Rowan (Vice-Principal Research, Knowledge Exchange & Wider Impact).

Prior to the start of the meeting the Convener welcomed David Dorward, Professor David Maguire, and Professor Julian Blow to their first meetings of the Finance & Policy Committee. The Committee was advised that as a result of the challenges presented by the COVID-19 pandemic, the agenda for the meeting had been amended by the Convener following consultation with officers. The objective was to focus the meeting on aspects relating to the financial impact of the pandemic on the University and key priority items.

1. MINUTES

Resolved: to approve the minutes of the meeting of 21 January 2020.

2. MATTERS ARISING

(1) Action Log

Members noted a number of items (see minute 17 (below)) which had been deferred to the August meeting of the Committee at which time the data would be updated based on further modelling to account for the impact of the COVID-19 pandemic.

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

3. COVID-19 UPDATE

The Interim Principal & Vice-Chancellor provided a verbal update on the University's COVID-19 response. In doing so he focussed on the structure of, and approach to, management of the University's disaster recovery and business continuity planning responses.

The Committee noted that the University was now operating online following the withdrawal of face-to-face teaching; that staff were working from home wherever possible, with a limited number of essential staff permitted

to work on site; that students had been permitted to return home if they wished to do so, and that fewer than 500 now remained in DSV-operated halls of residences; and that the majority of research facilities had been closed, with the exception of a small number of Groups where work related to COVID-19, national security, or where there were implications for the welfare and ethical use of animals.

The Interim Principal and Director of Finance went on to outline the emerging financial implications of the COVID-19 pandemic for the Higher Education (HE) Sector, and members noted that the University Executive Group was actively engaged in discussions with Universities Scotland, Universities UK, the Scottish Funding Council, and the UK and Scottish Governments to seek financial support for the sector.

The Director set out early actions being taken or considered to address the financial outlook and mitigate risks, including a freeze on new staff recruitment, non-renewal of fixed term contracts, and savings in the areas of maintenance, capital expenditure and non-pay costs. Turning to tuition fees, the Director told the Committee that the sector was currently only offering to refund/reduce fees where a course could no longer be delivered, for example practical courses within a clinical setting. It was noted that there was no indication from the Scottish Funding Council (SFC) that it intended to reclaim tuition fees for Home/EU students for 2019/20.

The scale of the financial risk relating to future international student fees was however noted to be very substantial. The Committee noted that the international student fee income forecast for 2020/21 had been £43m and that the University Executive Group (UEG) was actively reviewing a range of scenarios to inform revised forecasts following the COVID-19 pandemic. In response to questions, members noted that the University was exploring opportunities to retain projected income through the development of further online learning provision, but that where this was feasible the fee might be lower than the full fee, and in addition the market was expected to decrease as a result of factors such as travel restrictions, reluctance to move far from home and financial strain on individuals and economies.

The Director also highlighted serious implications for pension scheme valuations and members noted that the Pension Sub-Group would meet later in the day to discuss this further.

Turning to the cash forecasts, the Director reminded members that at the start of the academic year the University had anticipated drawing down £10m from the existing Revolving Credit Facility (RCF) by the end of 2019/20. Members noted that initial modelling indicated that as a result of a projected slowing of expenditure the facility was unlikely to be required within the 2019/20 academic year, but that it was anticipated that the cash position would decline sharply from August 2020 onward in the absence of significant government support. In response to questions the Director outlined the scale of the University's assets but advised that it would be difficult for the University to realise these (if required) in the prevailing market conditions. The Committee noted that management continued to identify various further potential options to realise assets and reduce expenditure as part of the planning exercise being undertaken.

In response to questions regarding financial support available for students, members were reminded of the existing arrangements in place and noted that one of the workstreams of the University's business continuity response was reviewing this matter.

Members specifically noted the potential risk to the University's status as a going-concern should adequate funding not be available from lines of credit or government sources.

In summarising the item, the Convener noted that the UEG would provide more detailed analysis of international student recruitment forecasts as part of the next report to the Committee on recruitment figures and financial forecasts. The Director of Finance also agreed to share baseline data provided to the Scottish Funding Council (SFC) with the Convener and the Chair of Court. Finally, the Convener highlighted the Committee's support for the steps being taken by the UEG, including the continued work on different scenarios.

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

4. DEBT FINANCING UPDATE

The Director of Finance drew members' attention to the report provided on the outcomes of discussions with banks in relation to the £60m Revolving Credit Facility (RCF) previously discussed by the Committee. In doing so, she highlighted the impact of the COVID-19 pandemic on both the lending market, and the University's underlying baseline financial position as being causes for concern.

Following discussion, members agreed that the Director of Finance should look to progress with the offer from the Royal Bank of Scotland, but that she should also make further enquiries with the Bank of Scotland regarding the potential for the existing RCF to be extended. Members however noted that the timeframe for the taking forward the offer was likely to be extended due to the current circumstances and that it may still be difficult to reach agreement given the financial challenges at this time.

- Resolved:**
- (i) to recommend to the Court that either: (a) a loan be taken forward with the Royal Bank of Scotland; or (b) the University seek to extend the existing RCF with the bank of Scotland; and
 - (ii) to delegate authority to the Convener and the Chair of Court to consider the terms and covenants relating to these potential loans prior to their submission to the Court for approval.

5. UPDATE ON THE SCHOOL OF BUSINESS

The Committee received a short update provided on progress in relation to the School of Business. In light of staff absences and the COVID-19 response requirement a high-level summary was presented, which set out the anticipated growth that had been forecast for the School prior to the COVID-19 pandemic, the interim capital requirements which had been anticipated, and the timeline for business cases for both interim and permanent estates solutions being brought to the Committee/Court for approval. Following discussion, members agreed that further work on this item should be deferred until renewed modelling had been undertaken in light of COVID-19.

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

6. RESERVED BUSINESS: BUSINESS TRANSFORMATION

[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.]

(1) Reserved Business: Workstream Update and Options Appraisal

The University asserts that the minute 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 minute will be published as an appendix to the minute of the Court meeting at which its release is approved.

(2) Reserved Business: Business Transformation Steering Group

The Committee received the minutes from the meeting of the Business Transformation Steering Group on 28 January 2020.

Resolved: to note the minutes.

7. RESEARCH EFFICIENCY UPDATE

The Vice-Principal (Research, Knowledge Exchange & Wider Impact) introduced an update on research priorities, including key risks relating to the Research Excellence Framework 2022 (REF). He advised members that since the paper was submitted, a decision had been taken to delay the REF exercise by 8 months due to the impact of COVID-19, but that the census date remained unchanged as 31 July 2020.

The Committee noted that the Vice-Principal was confident of an improved performance in the REF, however he cautioned members that the financial outcome of the REF was also dependent upon the performance of competitor institutions, the methodology for the REF grant and the quantum of funding made available by government to the Scottish Funding Council.

The Vice-Principal also drew members' attention to the Baxter Fellow positions which had been advertised and in response to questions informed members that the process was well advanced and that he anticipated a number of high-quality appointments being made.

Finally, the Vice-Principal provided the Committee with an overview of the vision and business case for the newly launched Doctoral Academy, including financial projections and academic aspirations. Turning to the University's financial sustainability, members suggested that the University Executive Group (UEG) consider how to ring-fence expenditure on long-term projects which would deliver in terms of either financial return or academic contribution.

The Committee expressed an interest in the future size and shape of the University's research profile, and noted that the Vice-Principal (Research, Knowledge Exchange & Wider Impact) and the Interim Vice-Principal (Academic Planning & Performance) continued to focus on this area and would provide an update to a future Committee meeting.

Resolved: to thank the Vice-Principal for his update.

8. **UPDATE ON BUDGET CYCLE**

The Committee received a paper which outlined progress in relation to the budget cycle, including the £15m contribution challenge, and modelling of a 'low growth' scenario. Members noted that the budget process remained on track, and that the potential impact of COVID-19 would be applied to this baseline budget ahead of its submission to the next meeting of the Committee on 26 May 2020.

Resolved: to note the update.

9. **Q2 Management Accounts**

The Committee received the Q2 accounts for information and noted the forecast position prior to the COVID-19 pandemic, which had shown a significant improvement against budget. Members highlighted the importance of maintaining the focus on staff numbers, which had risen since Q1.

Resolved: to note the accounts.

10. **NARRATIVE FOR THE COURT**

The Committee agreed that the Convener should highlight the following discussions in his report to the Court: The financial implications of the COVID-19 pandemic; the University's cash forecast; endorsement of a debt financing proposal being submitted to the Court; the Business Transformation options appraisal; and the Research Efficiency update.

Resolved: to ask the Convener to highlight these areas in his report.

11. **DIRECTOR OF FINANCE REPORT**

The Committee noted the regular report from the Director of Finance, which on this occasion focussed on the timetable for the Universities Superannuation Scheme (USS) consultation. The Committee noted that the Pension Sub-Group would discuss the matter at its meeting later that day, but that the impact of COVID-19 on the valuation and viability of the scheme was a significant concern for the University and the wider sector.

Resolved: to note the report.

12. **ESTATES & CAMPUS SERVICES REPORT**

The Committee received the regular report from the Director of Estates & Campus Services which updated members on progress relative to the Estates Strategy, capital plan and capital projects which were on-going at the time of the paper being submitted.

Resolved: to note the report.

13. STUDENT NUMBERS REPORT

The Committee received an update on the 2019/20 intake and 2020/21 application trends. Members noted that the paper had been drafted prior to the COVID-19 pandemic and that it was too soon to be able to accurately predict the impact of the pandemic on the 2020/21 application position.

Resolved: to note the report and await further updates.

14. SCHEDULE OF DELEGATION & DECISION-MAKING POWERS

The Committee considered the revised Schedule of Delegation & Decision-Making Powers. Noting that the Governance & Nominations Committee had endorsed the Schedule to the Court for approval, the Committee, for its part, endorsed the changes which related to the business of the Finance & Policy Committee. Members suggested a clarification of wording to one entry.

Resolved: (i) to, for its part, endorse the revised Schedule to the Court for approval; and

(ii) to approve amendment to sections 3.25 and para 32.10 of the Financial Regulations

15. RESEARCH GRANT APPROVALS

The Committee received an update from the Head of Research Finance Services detailing research awards since the last meeting and trends in application numbers and values.

Resolved: to note the update.

16. DATE OF NEXT MEETING

Resolved: to note that the next meeting would take place on 26 May 2020.

17. DEFERRED ITEMS

Due to the circumstances and noting the potential impact of COVID-19 on a number of items on the agenda, the Committee decided to defer the discussion of papers on Student Residential Accommodation, School Financial Contributions, and the Annual Procurement Report until its meeting in August 2020.

Resolved: to approve the report.

Richard S Bint

(Convener)

APPENDIX 4

GOVERNANCE & NOMINATIONS COMMITTEE MINUTES (Minute 64 (3))

A meeting of the Committee was held on 24 March 2020 by videoconference.

<u>Present:</u>	Ronald Bowie (Convener); Janice Aitken; Bernadette Malone; Jane Marshall; and Professor Mairi Scott.	
<u>In Attendance:</u>	Dr Neale Laker Dr Jim McGeorge Dr Christine Milburn	(Director of Academic & Corporate Governance); (University Secretary); and (Policy Officer (Corporate Governance)).
<u>Apologies:</u>	Rumana Kapadia; Professor Blair Grubb	(Vice-Principal (Education)).

1. MINUTES

Resolved: to approve the minutes of the meeting of 21 January 2020.

2. MATTERS ARISING

(1) Action Log

The Committee received an action log summarising progress in relation to outstanding actions from previous meetings. An update on progress in relation to the implementation of recommendations from the Quinquennial Review of the Effectiveness of the Court was also provided.

Resolved: to note the log.

(2) Approvals by Email Correspondence

The Committee homologated the decision taken by email correspondence on 12 February 2020 to approve the nomination of Dr William Boyd as the intermediary between Court and the graduates of the University until 31 July 2021, and the nomination of Jane Marshall as the intermediary from 31 July 2020 until the end of her term of office on 31 July 2023.

Resolved: to homologate the approval.

3. CONVENER'S UPDATE

The Convener updated the Committee on his activities and interactions at a sectoral level which were of relevance to its business. In particular the Chair highlighted the ongoing recruitment process for a new Principal & Vice-Chancellor, and members noted that there had been a strong field of interest in the role.

He also outlined discussions at a recent meeting of the Committee of Scottish University Chairs. In doing so he highlighted in particular those relating to the Universities UK Taskforce 'Changing the Culture' report. Members noted that relative to the sector the University was quite advanced in its approach to gender/hate-based violence and that the Director of Academic & Corporate Governance was scheduled to provide a report on public protection risk and practice to the Audit & Risk Committee in May 2020 with a view to ensuring appropriate oversight of these matters by the Court.

The Committee also noted that Universities Scotland was coordinating activities in relation to COP2026, but that work on this had been delayed by COVID-19.

The Chair informed members that the Universities Scotland Secretaries Group paper on 'lessons learned from Chair's elections in Scotland' had been postponed as a number of Universities had been unsuccessful in their recruitment processes, and the Committee expressed an interest in the summary when it was available.

The Chair went on to highlight the report from the Scottish Funding Council investigation into payments made to the Principal & Vice-Chancellor of the University of Aberdeen and, separately, the report from Professor Sir Anton Muscatelli 'Innovation Must Be "Shared National Mission" For Scotland' which had been commissioned by the Scottish Government.

In other business, the Deputy Chair of Court advised members of her appointment to the UCEA Scotland Board from 1 April 2020 as a representative of the Chairs of Remuneration Committees of Scottish Universities. The Chair also highlighted his participation in the review of governance of Universities Scotland and the Committee agreed that this review should be added to the Committee's schedule of business when it was available.

Resolved: to note the updates.

4. **SECTORAL UPDATE**

The Director of Academic & Corporate Governance drew members' attention to the report of the SFC Review into payments to the former Principal of Aberdeen University. The Director highlighted key findings relating to the consideration of value for money (vfm), compliance with the Financial Memorandum with the SFC, and appropriate disclosures. Following discussion of the report, the Committee agreed that the robustness of governance processes at the University of Dundee, along with the culture of the University and the expectations of the Court in terms of accountability and transparency, meant it was unlikely that the same issues would arise. Nevertheless, the Committee warned against complacency and suggested that the Remuneration Committee be asked to review its remit and terms of reference in light of the report. The Committee also highlighted the importance of clear reporting to the Court of discussions or decisions made by its committees and working groups, and of strong governance support being available to the Court through the roles of the University Secretary and Director of Academic & Corporate Governance.

Resolved: to highlight to the Court the Committee's confidence in the robustness of processes at the University of Dundee.

5. **TRANSACTING EMERGENCY BUSINESS**

The Committee reviewed a paper which set out proposals for the establishment of an Emergency Committee to undertake urgent decisions, should they be required, on behalf of the Court during the COVID-19 crisis. Members noted that the proposal was in accordance with the Protocol for Transacting Emergency Business and the Court Resilience Plan. Members were supportive of the proposal, including the suggested membership for the Committee, and endorsed it to Court for approval by email circulation.

Resolved: (i) to endorse to the Court proposals that an Emergency Committee be constituted, and to recommend that approval for this Committee be sought by email correspondence;

(ii) to recommend to the Court the following composition for the Emergency Committee:

- Chair, Ronnie Bowie or Deputy Chair of Court, Bernadette Malone
- Convener of the Finance & Policy Committee, Richard Bint (alternate: Audit & Risk Convener, Karen Reid);
- The Principal, Professor David Maguire (or Vice-Principal)
- Janice Aitken or Professor Mairi Scott
- The DUSA President, Josh Connor (alternate: Rumana Kapadia)

Senior Officers whose expertise is aligned to the area of business shall be called upon to attend, and the Committee shall be supported by the Policy Officer (Corporate Governance); and

(iii) to also note that the Committee was, for its part, content with proposed emergency arrangements for the Senate.

6. UPDATE ON MEMBERSHIP OF THE COURT

The Policy Officer (Corporate Governance) updated members on the ongoing process for the recruitment of 2 lay members of the University Court. Members noted that in accordance with authority delegated by the Court and the Governance & Nominations Committee, the Chair of Court, Deputy Chair of Court and the University Secretary & Chief Operating Officer had been consulted on proposals received from a number of search agencies, and had appointed Perrett Laver to support the process. Members noted that there had been delays to the process due to the COVID-19 pandemic, but that it was expected that the roles would be advertised from 1 May 2020. The Committee agreed that given the current circumstances the Appointing Committee (Bernadette Malone (Chair), Jane Marshall (lay court), Alan Bainbridge (lay Court), Mairi Scott (elected member), Josh Connor or the current Vice-President (Representation) (student member)) should make a recommendation directly to the court on this occasion.

Resolved: (i) to note the update; and

(ii) to recommend that the Appointing Committee make a recommendation directly to the Court.

7. SCHEDULE OF DELEGATION AND DECISION-MAKING POWERS

The Committee reviewed a revised Schedule of Delegation & Decision-Making Powers. Members noted that the draft had been endorsed to the Committee by the University Executive Group (UEG) following broad consultation. Members noted that the approach was in line with good practice across the sector and offered appropriate detail and clarification of authorities.

Through discussion the Committee endorsed the approach to empower staff. Members also noted that further documentation would be developed around the Schedule once it was improved, such as details of delegated authorities by role (Deans, Directors etc), guidance, and frequently asked questions. The Committee also noted that the Finance & Policy Committee would be consulted in relation to revised threshold limits for that Committee.

Resolved: to endorse the revised Schedule to the Court for consideration and approval (**annex 1**).

[Secretary's note: The Finance & Policy Committee subsequently also endorsed the Schedule to the Court for approval having reviewed the financial thresholds proposed.]

8. ANNUAL REVIEWS OF EFFECTIVENESS

The Committee considered a paper which set out proposals for the annual reviews of the effectiveness of the Court and the Chair of Court. Members discussed the timing of the reviews and agreed that they should take place at the September Court Retreat.

Members agreed that this would be beneficial as it would allow the completion of the year's business prior to the review, the implementation of the recommendations from the Quinquennial Review of the Effectiveness of Court would be further progressed at that point, and it would allow for a longer discussion at a time when the Court was better able to engage in the process than had been the case when it was held immediately after the June Court meeting.

The Committee noted that the Deputy Chair of Court would consult with those leaving the Court in July 2020 to ensure that their perspectives were captured, and that the usual questionnaire would be issued over the summer period to inform discussions.

Resolved: to recommend to the Court that the annual reviews of the effectiveness of the Court and the Chair of Court be scheduled for the September Court Retreat.

9. EARLY STAGE COURT BUSINESS

The Committee considered the draft agenda for the meeting of the Court on 28 April 2020. Members noted that the agenda would change significantly due to the ongoing COVID-19 pandemic and therefore recommended that the Chair's Committee review this further at their meeting on 1 April 2020.

The Committee noted that the University Executive Group (UEG) would provide an update on the University's response to the COVID-19 pandemic and the risks and future challenges associated with it. The Principal outlined the structure of the University's disaster recovery and business continuity response, including the management process and reporting structure. He also gave an overview of the current position, including the suspension of all face-to-face teaching, the requirement that staff work from home where possible, the closure of University buildings to all but essential staff, and closure of research facilities with the exception of those involved in matters relating to COVID-19, national security, and where the welfare of animals would be affected. Members also noted that the University had loaned equipment to support the national effort in relation to COVID-19 and that clinically trained staff and students had also volunteered their support.

The Committee also noted that due to the rapidly changing landscape for Higher Education, further updates on the School of Business would be deferred until later in the year and that the impact on the budget, strategic planning and debt financing would be considered against the emerging risks. In response to questions, members noted that the University continued to seek government support for the sector given the significant scale of projected income loss, and that the Finance & Policy Committee was to give further consideration to the impact on the University's financial sustainability later in the day.

Members agreed that non-essential Court business should be deferred until Court meetings later in the year where possible.

Resolved: to endorse the proposed agenda.

10. OUTCOME OF STUDENT ELECTIONS

The Committee noted the election of Gigi Gan as the Independent Student Member on Court, and Scott Quinn as the DUSA President for 2020/21. The Policy Officer (Corporate Governance) confirmed that arrangements were being put in place for their induction to the Court and for their attendance at the June meeting of the Court in a shadow capacity.

Resolved: to note the outcomes of the elections.

11. PROVISION OF CONTEXTUAL INFORMATION ON STUDENT MATTERS

The Committee noted that the University Court had expressed an interest in enhancing its awareness of the University's approach to a range of student matters and members were invited to provide feedback on suggested areas for inclusion in an annual report to the Court.

Members suggested a number of additional areas for inclusion and noted that while this had been proposed as a theme for the June meeting of the Court, as a result of the COVID-19 pressure on Student Services, the Chair of Court had agreed that this item should be postponed until later in the year.

Resolved: to provide further feedback to the Policy Officer (Corporate Governance) as required.

12. NARRATIVE FROM THE COMMITTEE TO THE COURT

The Committee agreed to highlight to the Court its support for the constitution of an Emergency Committee, its support for the Annual Reviews of Effectiveness taking place at the September Court Retreat this year, expectations for future Court business, and its endorsement of the Schedule of Delegation & Decision-Making Powers.

Resolved: to ask that the Convener highlight the matters above in the Convener's report.

13. REGISTER OF INTERESTS REPORT (OFFICERS)

The Committee noted the annual register of interests returns from members of the University Executive Group (UEG). Members were advised that at the time of the meeting the return rate for officers other than the UEG was 96%, with outstanding returns being sought by the Director of Academic & Corporate Governance.

Resolved: to note the returns.

14. **ANNUAL REPORT ON SUBSIDIARY COMPANY DIRECTORS**

The Committee received the annual report on subsidiary company directors. No concerns or conflicts of interest were noted.

Resolved: to note the report.

15. **DATE OF NEXT MEETING**

Resolved: to note that the next meeting would be held on 26 May 2020.

Ronald Bowie

Convener

APPENDIX 4 ANNEX 1

SCHEDULE OF DELEGATION

Overview

Background

In order to ensure the efficient running of the day to day business of the University, the University has a decision-making framework ("the Framework") in place. [See Annex 1](#) for full details of the Framework.

Under the Framework:

- [The University Court](#) is the governing body of the University. It has collective responsibility for managing the affairs of the University in accordance with the University Charter and Statutes.
- The [Principal & Vice-Chancellor](#) ('The Principal'), as the Chief Academic and Administrative Officer shall, subject to such rules as may be framed by the University Court, exercise general supervision over the University and shall be generally responsible for maintaining and promoting the efficiency and good order of the University. The [University Executive Group \(UEG\)](#) shall, under the leadership of the [Principal & Vice-Chancellor](#), be responsible for the executive and operational management of the University.
- The [University Secretary & Chief Operating Officer \(COO\)](#) shall be responsible for among other things, the administration of the University under the direction of the [Principal & Vice-Chancellor](#).

Given the scope and size of the undertaking of the University's day to day business, University Court, the Principal and the University Secretary & COO cannot reasonably be expected to exercise the entire necessary functions required without the intervention of, and a degree of delegation to designated authorised persons and committees within the University.

Accordingly, as part of the Framework, the University Court has approved this Schedule of Delegation & Decision-Making Powers (Hereafter referred to as "the Schedule").

Powers under this Schedule

[Section A](#) of the Schedule (below), sets out matters which are reserved to [the Court](#) and cannot be delegated. The signing/implementing authority for the University Court shall be the University Secretary & COO unless an alternative is identified in [Section A](#): or by resolution of the Court (as recorded in the minutes for that meeting).

The [University Court](#) has satisfied itself that the delegations under this Schedule are reasonable in scope and that the relevant person or committee is appropriate and capable of carrying out the delegated matters.

[Section B](#) of the Schedule sets out the designated authorised role-holder(s) and committee(s) within the University who are entrusted by the [University Court](#) to exercise its powers in respect of the relevant delegated business which can include binding the University to a contractual or quasi-contractual obligation. It also lists the 'Authorised Person', that being the person(s) who may act as the authority to implement the decision of the committee(s) or role-holder(s) to whom the Court has delegated authority. This does not delegate authority to the 'Authorised Person' to take decisions on behalf of the committee(s) or role-holder(s) to whom the Court has delegated authority. Where the Delegate is expected to consult with a committee(s)/person(s) before making a decision this will be stated in the 'Sub-Delegate/Recommendation' column of the Schedule. Rules regarding the sub-delegation of authority are set out in the '[Sub-Delegation](#)' section (below).

The implementation of actions should be materially consistent with the intention of the decision. Where this is not the case the approving authority should be consulted.

While certain powers are delegated to specific committees or individual office holders, any committee or officeholder may decide that a particular issue requires to be considered, ratified or signed off by a higher level of authority.

[Section C](#) of the Schedule details the application of delegation thresholds within the contracts context. This section will be revised on a regular basis to ensure it reflects process requirements.

Status of delegations under this Schedule

Any delegations are to be treated as non-exclusive.

The Schedule applies to all activities set out herein and all University funds regardless of source (core, externally funded etc).

Notwithstanding any delegations under this Schedule the University Court reserves at all times:

- The reserved powers set out in Section A: [Matters Reserved to the Court](#) (below);
- The power to suspend, amend or withdraw a delegation under this Schedule;
- The general delegation of authority to the [Principal & Vice Chancellor and the University Secretary & COO](#) as set out in [Statute](#); and
- The power to exercise any business or function delegated under this Schedule.

Principles of delegation

Any delegate of University Court listed in this Schedule (including for the avoidance of doubt the Principal and the University Secretary & COO) shall exercise their delegated powers on behalf of the University at all times in accordance with the following overarching principles:

- [The University Court](#) shall retain ultimate oversight of the business of the University;
- The Principal shall exercise general supervision over the University and shall be generally responsible for maintaining and promoting the efficiency and good order of the University;
- The decision or action must not be a reserved matter as set out in Section A: [Matters Reserved to the Court](#) (below);
- The delegate shall exercise reasonable care, skill and diligence in carrying out any duties delegated under this Schedule;
- The decision or action shall be in the best interests of the University and consistent with the [University Strategy](#) and values;
- Where the Schedule requires that the authorised body/role holder seek guidance or recommendation from another body/role holder, reference to this should be made when reporting the decision;
- The decision or action is not in contravention of the nine principles of public life in Scotland ([annex 3](#));
- The decision or action shall be in compliance with the University's decision-making framework;
- The decision or action shall be in compliance with the University's policies and procedures;
- The decision or action shall be in compliance with applicable law, regulation or a relevant funding body's obligations;
- The decision or action should be consistent with the [University Court's Risk Appetite Statement](#);
- The financial consequences of the decision or action must be captured within the [budget/3-year plan](#) approved by University Court or within the University's longer-term strategic plans;
- The decision or action must not give rise to a conflict of interest which has not been declared and managed under the University's [Conflict of Interest Policy](#).

If there is a question or dispute on whether a decision taken, or proposed to be taken, by a delegated committee or person contravenes the provisions of this Schedule, it will be escalated to the [University Secretary & COO](#) who shall decide on behalf of the University Court in consultation with the Principal and/or Chair of Court as appropriate if the decision contravenes the provisions of the Schedule and how to proceed.

Sub-delegation

The [University Court](#) authorises individuals and bodies in whom authority is vested by this Schedule to sub-delegate to other individual office holders provided that:

1. Such sub-delegation is reasonable and appropriate;
2. The delegate gives due consideration to supervision/provision of appropriate challenge;
3. The delegate named in this Schedule remains ultimately responsible for the acts and omissions of the sub-delegate;
4. Any sub-delegation will not prevent the delegate from whom the authority is being sub-delegated from also discharging those functions; and
5. Such sub-delegation can be revoked at any time without prejudice to any previous decisions made under that authority.

A delegate should normally follow the sub-delegation in the Schedule (where listed), otherwise the authority to determine how to delegate rests with the named delegate. Individuals may, from time to time, set out schedules for the sub-delegation of their authorities. For example: A Dean of School may regularly delegate authority to a School Manager or and Associate Dean, however the Dean remains ultimately responsible for the approved action.

Where the individual is a member of the [University Executive Group](#) such protocols should be approved by the University Executive Group.

Material Decisions

Where a decision or action proposed to be taken under delegated powers is likely to be regarded as controversial or is a decision ("Material Decision") that will have or is likely to have:

- (a) a significant effect on financial, reputational or operational risk; and/or
- (b) a significant impact on academic and/or service delivery or performance.

The matter will be referred to the [University Executive Group for decision](#). The University Executive Group may decide to escalate to the [Chair of University Court](#) and/or the Convener of the [Audit & Risk Committee](#) to consider the appropriate approval mechanism.

Responsibility to inform/Reporting

It is the responsibility of the University Executive Group and relevant delegates to keep the University Court (through reporting to relevant committees) appropriately informed about activity arising within the scope of the delegated authority under this Schedule and provide appropriate reports as required and/or requested.

It is the responsibility of the delegate to obtain sufficient detail, evidence and relevant level of prior authorisation to support any action or decision taken in respect of delegated matter.

The delegate shall be required to be able to demonstrate to University Court, auditors or funders that an appropriate course of action is taken when exercising its powers under this Schedule.

Legal Contracts and Risk

It is acknowledged by the University Court that certain delegates under this Schedule will ostensibly sign contracts which create legal and quasi-legal obligations on behalf of the University which could have significant financial and reputational impact for the University.

It is important for the wellbeing and sustainability of the University that such commitments and the legal risks that they create are understood and managed appropriately.

[The Director of Legal](#) is responsible for the management of legal risk on behalf of the University. Any delegation which creates legal obligations on behalf of the University (including but not limited to commercial contracts and other types of agreements) are therefore to be taken forward in accordance with the advice from the Director of Legal/ approved legal risk escalation processes to ensure they are created on a valid legal basis.

[Section C](#) of the Schedule provides guidance on the interpretation and application of delegation thresholds within a contracts context. This section will be revised on a regular basis to ensure it is in alignment with approved processes and best practice.

Procurement

Procurement is the acquisition, whether under formal contract or otherwise, of goods, services and works from third parties and must adhere to the [University Procurement Strategy](#), applying the principles and procedures under public procurement law.

Procurements of all types must be planned to take account of legal duties, including social, economic and environmental impact; and to be transparent, apply equalities duties and anti-corruption policies and to achievement of the most economically advantageous balance of quality and cost.

The legal thresholds and obligations vary for the University acquiring goods, services or works, and each delegate must adhere to guidance in conducting an appropriate Procurement Journey for procurements of all types, obtained as early as possible in planning, from the Head of Procurement.

In estimating the potential value of any procurement, the total cost over the full contract period, including any options or extensions must be considered. All advertising of planned acquisitions over the legal thresholds, of all types, and whether collaborative or not, will require prior consultation with the Head of Procurement.

All Framework Agreements or Approved Contracts (which aggregate to current legal thresholds) for procured goods and services, or works, including those used in business plans for University Court or committees, must be approved by [the Director of Legal](#) and [Head of Procurement](#).

The University's standard terms and conditions, or agreed framework agreement terms where appropriate, will apply to purchases for any University activity. Any bespoke contracts for the procurement of goods or services must be considered by the Director of Legal.

Individuals should also consult [Section C](#) in relation to procurement contracts.

[Powers of the Audit & Risk Committee](#)

The [Audit & Risk Committee](#) may investigate any matters within its terms of reference with full access to information and University staff and may engage the University's internal and external auditors to do so. The [Audit & Risk Committee](#) shall bring to the attention of the Court any matter of concern.

The appointment of the internal and external auditors is a [matter reserved to the Court](#) on the recommendation of the Audit & Risk Committee.

[Elections](#)

The relevant authority for elections is determined in [Statutes](#), [Ordinances](#) and Regulations (For example [Senate Regulations](#) and [Regulations for the Election of the Chair of Court](#)). Unless otherwise stated in the regulations, the University Secretary & COO shall be the Returning Officer. The [University Secretary & COO](#) may delegate this authority to another officer.

[Effective Date](#)

On xx/xx/xxxx the University Court approved this Schedule of Delegation and Decision-Making Powers with effect from xx/xx/xxxx. For the avoidance of doubt, this supersedes all previously approved versions and signing authorities prior to this date.

[Date]

SECTION A: Matters Reserved to the University Court

The signing/implementing authority for the [University Court](#) shall be the University Secretary & COO unless an alternative is identified below, or by resolution of the Court.

Strategy

- Approve the [University strategy](#);
- Approve areas for reporting via key performance indicators;
- Approve an estates strategy for the management and development of the University's land and buildings;
- Approve the [academic structure of the University](#), including the creation or amendment of Schools and their constituent disciplines.*

Budget and Finance

- Approve the [annual consolidated accounts](#) for the University and Group (financial statements);
- Approve the budget and financial forecasts;
- Approve financial strategy, including annual capital programme;
- Approve changes to [accounting policies](#) (upon recommendation from the Audit & Risk Committee);
- Approve the annual report of internal auditors for submission to the Scottish Funding Council;
- Approve the appointment of internal and external auditors (upon recommendation from the Audit & Risk Committee);
- Approve business plans for projects and funding application or variations thereof that include a capital element of more than £5m on the recommendation of the Finance & Policy Committee;
- Approve borrowing greater than £5m on the recommendation of the Finance & Policy Committee.

Governance

- Approve [arrangements for the election of the Chairperson of Court](#) (in accordance with the Higher Education Governance (Scotland) Act 2016);
- Approve the appointment of the [Deputy Chairperson of Court](#);
- Approve the appointment of co-opted [members of Court](#) and any additional lay members of Court committees who are not members of Court;
- Approve the removal from office of any member of Court in accordance with [Statutes](#);
- Approve the [membership of Court committees](#) on the recommendation of the Governance & Nominations Committee;
- Approve changes to [Charter](#), [Statutes](#) and [Ordinances](#), including the establishment of new Statutes or Ordinances and any associated subordinate regulations* ** ;
- Approve the [Standing Orders of Court](#) on the recommendation of the Governance & Nominations Committee;
- Approve the Schedule of Delegation and Decision-Making powers and any ad hoc delegation, provided such delegation is within the terms of the [Charter](#) and [Statutes](#).

Appointments and Staff

- Approve the appointment of the [Chancellor](#)*;
- Approve the appointment of the [Principal & Vice-Chancellor](#)* and the dismissal of the [Principal & Vice-Chancellor](#). The signatory shall be the Chair of Court;
- Approve Severance Terms and substantial changes to pay and/or terms and conditions of the [Principal & Vice-Chancellor](#) on the recommendation of the [Remuneration Committee](#);
- Approve the appointment (and dismissal) of the [University Secretary & COO](#). The Principal & Vice-Chancellor OR Director of Human Resources & Organisational Development shall be the signatories;
- Approve the appointment (and dismissal) of the Librarian;
- Approve the appointment (and dismissal) of any Vice-Principals. The Principal & Vice-Chancellor AND the University Secretary & COO OR the Director of Human Resources & Organisational Development shall be the signatories;
- Approve, on the recommendation of the People & Organisational Development Committee, policies and procedures affecting staff and their terms and conditions including [Health & Safety](#); [Equality, Diversity & Inclusion](#), [Redundancy](#) and arrangements relating to [grievances](#) and [disciplinary](#) matters;
- Approve policies and procedures relating to Pensions Benefits on the recommendation of the Finance & Policy Committee.

Miscellaneous

- Approve submission of final documents/statements to external organisations as required by those organisations from time to time;
- Approve such other matters as may from time to time arise and which are not otherwise provided for in this document or in the schedule of delegation and decision making.

*After consultation with the Senate.

** Amendments to the Charter and Statutes are also subject to the approval of the Privy Council.

Section B: Delegated Business

Please see the Explanatory Notes in [Annex 2](#) in relation to the definition and interpretation of the Schedule. The Table should be read in conjunction with Section A [Matters Reserved to the Court](#) as set out above, and in the case of contracts Section C should also be consulted.

1 Academic Governance						
	Business Category	Sub-Category	Delegated Matter	Delegate	Sub Delegate/ Recommendation	Authorised Person (s)
1.1	Academic Governance	Degrees	Approve degree regulations	Quality and Academic Standards Committee		Vice-Principal (Education) OR Director of Academic & Corporate Governance OR Director of Quality & Academic Standards
1.2	Academic Governance	Degrees	Approve the conferment of degrees and qualifications including honorary degrees	Senate		Principal & Vice-Chancellor OR University Secretary & COO (as Secretary to the Senate)
1.3	Academic Governance	Degrees	Approve degree programme specifications and assessment methods	Quality and Academic Standards Committee		Vice-Principal (Education) AND Director of Academic & Corporate Governance AND Director of Quality & Academic Standards

2 Audit						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
2.1	Audit	Audit plan	Approve internal audit needs assessment and internal audit strategic and operational plans	Audit & Risk Committee		University Secretary & COO OR Director of Academic & Corporate Governance
2.2	Audit	Auditors	Approve process for appointment of internal/external auditors	Audit & Risk Committee		Director of Finance OR Director of Academic & Corporate Governance

The approval of the annual report of internal auditors for submission to the Scottish Funding Council, and the appointment of the internal and external auditors are [matters reserved to the Court](#).

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.1	Finance	Accounts	Prepare and finalise for approval by the University Court the annual consolidated accounts for the University.	Audit & Risk Committee AND Finance & Policy Committee	Director of Finance	Chairperson of Court AND Accountable Officer (normally the Principal & Vice-Chancellor) AND Director of Finance
3.2	Finance	Bank Accounts	Approve arrangements in accordance with the Financial Regulations	Finance & Policy Committee		Director of Finance
3.3	Finance	Borrowing	Enter into borrowing arrangements (and renewal of) up to £3m in accordance with the financial strategy approved by Court.	Director of Finance with a report to the next Finance & Policy Committee		Director of Finance AND University Secretary & COO

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.4	Finance	Borrowing	<p>Enter into borrowing arrangements (and renewal of) over £3m and less than £5m in accordance with the financial strategy approved by Court.</p> <p>The approval of borrowing greater than £5m is reserved to the Court (Matters Reserved to the Court) on the recommendation of the Finance & Policy Committee.</p>	Finance & Policy Committee	Director of Finance	<p>Director of Finance</p> <p>AND</p> <p>University Secretary & COO</p>
3.5	Finance	Budget	<p>Prepare and finalise for approval by the University Court, the University financial strategy, which shall include the annual capital programme and annual budgets for Schools and Professional Services.</p>	Finance & Policy Committee	University Executive Group	<p>Director of Finance</p> <p>AND</p> <p>University Secretary & COO</p> <p>AND</p> <p>Principal & Vice-Chancellor</p>

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.6	Finance	Business Plans (revenue spend <25k) Non-Research	<p>Approve non-capital business plans within budget¹ for projects and funding applications or variations thereof for revenue spend of up to £25k.</p> <p>Any business plans must consider:</p> <ul style="list-style-type: none"> - Procurement Regulations ; and - any consequential cost, including opportunity cost, implications for relevant Schools and Professional Services. <p>For Research Funding Applications see section 7.1 and 7.2)</p>	<p>Deans of Schools and/or Directors of Professional Services subject to consultation with:</p> <p>1. the Head of Procurement (if framework agreements are not to be used)</p> <p>AND</p> <p>2. the Dean or Director of School(s) or Professional Service(s) affected by the proposal.</p>		Dean/Director/School Manager

¹ Where the project is included in the approved budget, approvals must still be sought for actioning.

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.7	Finance	Business Plans (revenue spend between £25k and £1.25m) Non-Research	Approve non capital business plans within budget ¹ for projects and funding applications or variations thereof for revenue spend between £25k and £1.25m. Any business plans must consider: - Procurement Regulations ; and - any consequential cost, including opportunity cost, implications for relevant Schools and Professional Services. For Research Funding Applications see section 7.1 and 7.2)	University Secretary & COO OR Director of Finance subject to consultation with: 1. the Head of Procurement (if framework agreements are not to be used) AND 2. the Dean or Director of School(s) or Professional Service(s) affected by the proposal.	Vice-Principal (Academic Performance & Planning)	Director of Finance

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.8	Finance	Business Plans (revenue spend between 1.25m and £5m) Non-Research	Approve non-capital business plans within budget ¹ for projects and funding applications or variations thereof for revenue spend between £1.25m and £5m Any business plans must consider: <ul style="list-style-type: none"> - Procurement Regulations ; and - any consequential cost, including opportunity cost, implications for relevant Schools and Professional Services. For Research Funding Applications see section 7.1 and 7.2)	University Executive Group AND The Dean or Director of School(s) or Professional Service(s) affected by the proposal.		Director of Finance

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.9	Finance	Business Plans (revenue spend more than £5m) Non-Research	Approve non-capital business plans within budget for projects and funding applications or variations thereof for revenue spend more than £5m. Any business plans must consider: <ul style="list-style-type: none"> - Procurement Regulations ; and - any consequential cost, including opportunity cost, implications for relevant Schools and Professional Services. For Research Funding Applications see section 7.1 and 7.2)	Finance & Policy Committee subject to advice from: <ol style="list-style-type: none"> 1. the Head of Procurement (if Framework Agreements are not to be used) AND <ol style="list-style-type: none"> 2. Consultation with the Dean or Director of School(s) or Professional Service(s) affected by the proposal. 		Director of Finance
3.10	Finance	Business plans (Capital Projects)	Approve business plans for projects and funding applications or variations thereof that include a capital element of up to £25k based on submission of appropriate documentation to Estates & Campus Services .	Dean/Director/School Manager subject to consultation with the Director of Estates & Campus Services.		Dean/Director/School Manager AND Director of Estates & Campus Services

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.1 1	Finance	Business plans (Capital Projects)	Approve business plans for projects and funding applications or variations thereof that include a capital element between £25k and £1.25m.	University Secretary & COO AND Director of Finance (subject to consultation with the Director of Estates & Campus Services)		Director of Estates & Campus Services
3.1 2	Finance	Business plans (Capital Projects)	Approve business plans for projects and funding applications or variations thereof that include a capital element between £1.25m and £5m. The approval of those including a capital element greater than £5m is reserved to the Court (Matters Reserved to the Court) on the recommendation of the Finance & Policy Committee.	University Executive Group subject to consultation with the Director of Estates & Campus Services		Director of Estates & Campus Services

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.1 3	Finance	Car Parking strategy	Approve the car parking strategy for the University including in the case of University owned properties: regulations , spaces, fees, charges and penalties.	University Secretary & COO on the advice of the Director of Estates & Campus Services		Director of Estates & Campus Services OR University Secretary & COO
3.1 4	Finance	Disposals	Approve disposal of land and building assets <£5m, in accordance with the University's Financial Regulations .	University Secretary & COO AND Director of Finance (subject to approval requirements for the disposal of publicly funded assets) and subject to advice from the Director of Legal and the Director of Estates & Campus Services where appropriate.	Director of Legal	Director of Finance OR University Secretary & COO
3.1 5	Finance	Disposals	Disposal receipts of over £5m or of assets with a book value of over £5m.	Finance & Policy Committee	Director of Legal	Director of Finance OR University Secretary & COO
3.1 6	Finance	Disposals	Disposal of assets other than land/property <£25k	Budget holder in accordance with relevant policies, the Financial Regulations and GDPR regulations. OR Dean/School Manager/Director where the budget holder is no longer available or identifiable.		Budget holder OR Dean/School Manager/Director where the budget holder is no longer available or identifiable.

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.1 7	Finance	Disposals	Disposal of assets other than land/property >£25k.	University Secretary & COO AND Director of Finance in accordance with relevant policies, the Financial Regulations , and GDPR regulations . (subject to any requirements for approval of disposal of publicly funded assets)		Director of Finance OR University Secretary & COO
3.1 8	Finance	Financial Regulations	Approve Financial Regulations .	Finance & Policy Committee		Director of Finance
3.1 9	Finance	Financial Regulations	Approve changes to Financial Procedures and to the Procurement manual .	Director of Finance		Director of Finance
3.2 0	Finance	Investments	Approve guidelines for University investments in accordance with the Treasury Policy .	Finance & Policy Committee OR Endowments Sub-Committee as appropriate.		Director of Finance
3.2 1	Finance	Leasing	Approve leasing of buildings for a period of less than 5 years, (lessor and lessee). (Using templates endorsed by the Director of Legal).	University Secretary & COO		Director of Finance OR Director of Estates & Campus Services OR University Secretary & COO

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.2 2	Finance	Leasing	Leasing of buildings for a period of greater than 5 years, (lessor and lessee). (Using templates endorsed by the Director of Legal).	University Executive Group		Director of Finance OR Director of Estates & Campus Services OR University Secretary & COO
3.2 3	Finance	Loans	Approve loans, loan guarantees and grants to subsidiary, spin-out and associated companies up to £100k.	University Executive Group		Director of Finance
3.2 4	Finance	Loans	Approve loans, loan guarantees and grants to subsidiary, spin-out and associated companies of more than £100k.	Finance & Policy Committee		Director of Finance
3.2 5	Finance	Purchases and Expenditure	Approve purchases and expenditure.	In accordance with the Financial regulations approved by the Finance & Policy Committee (link)		
3.2 6	Finance	Schools and Directorates	Approve allocation of resources within Schools and Directorates.	Deans of Schools/Directors of Professional Services		Deans of Schools/School Managers/Directors of Professional Services
3.2 7	Finance	Schools and Directorates	Approve expenditure within agreed budgets in accordance with the Financial Procedures Manual.	Deans of Schools/Directors of Professional Services		Deans of Schools/School Managers/Directors of Professional Services

3. Finance						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.2 8	Finance	Student Fees	Approve student fee rates.	University Executive Group on the advice of the Fees & Scholarship Committee.		Director of Finance
3.2 9	Finance	Treasury	Oversee treasury management policies and procedures required to ensure that cash resources are managed securely and efficiently.	Director of Finance with an annual report to the Finance & Policy Committee		Director of Finance

4 Governance						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
4.1	Governance	Committees	Approve membership of Senate Committees	Senate		University Secretary & COO
4.2	Governance	Subsidiary Companies	Approve the formation of subsidiary and associated companies.	Finance & Policy Committee on the advice of the University Executive Group.		University Secretary & COO OR Director of Finance
4.3	Governance	Subsidiary Companies	Approve amendments to articles of association and equivalents and non-material amendments to company documents once Formed.	University Secretary & COO OR Director of Finance On the advice of the Director of Legal		University Secretary & COO AND Director of Finance
4.4	Governance	Subsidiary Companies	Approve the winding up of subsidiary or associated companies. See also Disposals .	Finance & Policy Committee		University Secretary & COO AND Director of Finance
4.5	Governance	Spin-out companies	Approve the formation of spin-out companies	University Secretary & COO AND Vice-Principal (Research, Knowledge Exchange & Wider Impact) AND Director of Finance	Director of Research & Innovation Services	University Secretary & COO AND Director of Finance

4 Governance						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
4.6	Governance	Spin-out companies	Note the winding up of spin-out companies. See also Disposals .	Finance & Policy Committee		University Secretary & COO OR Director of Finance
4.7	Governance	Spin-out companies	Approve non-material amendments to company documents and other associated documentation including resolutions not fundamentally affecting the University's shareholding.	Director of Research & Innovation Services		Director of Research & Innovation Services
4.8	Governance	Spin-out companies	Approve material amendments to company documents and other associated documentation including resolutions deemed to materially affect the University's shareholding.	University Executive Group		University Secretary & COO
4.9	Governance	Records Management	Assign retention periods to records and data created and kept by the University, taking into account appropriate legislation and best practice.	Director of LLC	Head of Culture & Information	Director of LLC OR Head of Culture & Information
4.10	Governance	Records and Information Management	Ensure data is appropriately and securely created, managed and stored.	Director of LLC	Director of UoDIT	Director of LLC OR Director of UoDIT

5 Intellectual Property						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
5.1	Intellectual Property	Intellectual Property	Approve licensing agreements related to research and Intellectual Property on behalf of the University	Director of Research & Innovation Services AND Director of Legal		Director of Research & Innovation Services
5.2	Intellectual Property	Research	Approve assignation of research intellectual property and related assets/patents	Director of Research & Innovation Services AND Director of Legal		Director of Research & Innovation Services
5.3	Intellectual Property	Teaching and other Non-Research IP	Approve assignation of intellectual property and related assets	Dean AND Director of Legal		University Secretary & COO

6 Policies & Regulations						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
6.1	Policies & Regulations	Admissions	Approve policies and terms and conditions for the admission of students to the University.	Senate on the recommendation of the Learning & Teaching Committee		University Secretary & COO
6.2	Policies & Regulations	Academic Policies	Approve academic policies and those relating to the business of the Senate which are not otherwise reserved to the Court	Senate		University Secretary & COO
6.3	Policies & Regulations	Animals	Determine an ethical review process and policies on matters relating to the welfare of animals on University premises and act as the University's Animal Welfare and Ethical Review Body.	Welfare and Ethical Use of Animals Committee		University Secretary & COO
6.4	Policies & Regulations	Amendments	Approve minor, non-material, amendments to policies.	Convener of the approving body AND University Secretary & COO		University Secretary & COO OR Director of Academic & Corporate Governance
6.5	Policies & Regulations	Pensions	Approve amendment to rules and regulations. Matters relating to benefits are reserved to the Court (Matters Reserved to the Court).	Finance & Policy Committee on the advice of the Pension-Sub-Group.		Director of Finance AND University Secretary & COO

6 Policies & Regulations						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
6.6	Policies & Regulations	Policies	Approve template standards for policies.	Director of Academic & Corporate Governance		Director of Academic & Corporate Governance
6.7	Policies & Regulations	Contracts	Contract templates.	Director of Legal		Director of Legal

7 Research						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
7.1	Research	Non-Procurement Contracts Research	Approve non-procurement related research contracts, agreements and applications (including grant applications, consultancy and service agreements) or variations thereof up to £1.25m.	Director of Research & Innovation Services	Director of Legal	Director of Research & Innovation Services OR Director of Finance.
7.2	Research	Non-Procurement Contracts Research	Approve non-procurement related research contracts, agreements and applications (including grant applications, consultancy and service agreements) or variations thereof with a value greater than £1.25m.	Vice-Principal (Research)	Director of Legal	Director Research and Innovation Services* OR ² Director of Finance

² *[guidance note: The authority of the Director of Research & Innovation Services is not limited to EU grants, however in accordance with EU Grant requirements, they, or their delegate must be the named Authorised Person and signatory.]

7 Research						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
7.3	Research (Clinical) (non-financial)	Clinical Trials	To receive and determine applications for the sponsorship of all Clinical Trials of Investigational Medicinal Products under the Medicines for Human Use (Clinical Trials) Regulations 2004 (CTIMP Clinical Trials), all regulated device trials and those clinical research studies which in the view of TASC Research Governance Managers present significant risk.	Sponsorship Committee* (non-financial authority) ³		R&D Director, Tayside Medical Sciences Centre (TASC)
7.4	Research (Clinical) (non-financial) (Patient risk)	Clinical Trials	Receive and determine applications for the sponsorship of all other clinical research studies that require a sponsor under the UK Policy Framework for Health & Social Care Research.	R&D Director, Tayside Medical Sciences Centre (TASC) on the recommendation of Research Governance (non-financial authority) and subject to Project Registration Form (PRF) requirements. ⁴		R&D Director, Tayside Medical Sciences Centre (TASC)

³ *Guidance note: The Dean or School Manager shall be a member of this Committee. Significant risks shall be reported to the Director of Legal in accordance with established protocols/invitation to attend meetings when appropriate. Applications are also subject to review and approval by the Scottish Government Research Ethics Committee (REC) and the NHS R&D Management].

⁴ The Dean of the School and R&D Director of TASC shall ensure alignment to School strategy. Significant risks shall be reported to the Director of Legal in accordance with established protocols.

7 Research						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
7.5	Research (Clinical)	Clinical Trials (Grant Funding)	Where required, approve the contractual terms and conditions associated with grant funding awards solely for CTIMP trials, regulated device trials and clinical research studies administered by TASC, in conjunction with Research Finance Services.	R&D Director, Tayside Medical Sciences Centre (TASC) AND Director of Research & Innovation Services Subject to an approved Project Registration Form. Subject also to thresholds and authorities in section 7.1/7.2.		R&D Director, Tayside Medical Sciences Centre (TASC)
7.6	Research	Data management	Ensure appropriate data management plan in place with approved information compliance and data security elements.	Dean	Principal Investigator AND LLC Research Data Officer	Director LLC

8 Staff Appointments						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
8.1	Staff: Appointments	General	Approving policy and process for all new and replacement posts. Add link to PRG limits.	UEG	Planning & Resources Group	Director of HR & OD OR University Secretary & COO OR Director of Finance
8.2	Staff: Appointments	Principal	Ensure that the performance of the Principal is reviewed annually in accordance with established University procedures for Objective-Setting and Review .	Chair of Court with an annual report to the Remuneration Committee		Chairperson of Court
8.3	Staff: Appointments (Academic)	Academic Grade 10 Appointing Committees	Approve membership of professorial appointing committees.	Principal AND Vice-Principal (Academic Planning & Performance)		Vice-Principal (Academic Planning & Performance) OR Director of HR & OD
8.4	Staff: Appointments (Professional Services)	Appointing Committees	Approve membership of appointing committees for professional services appointments at grade 10.	University Secretary & COO		University Secretary & COO OR Director of HR & OD

8 Staff Appointments						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
8.5	Staff: Appointments	Deans	Appoint Deans of School.	Principal (in consultation with the School)	Vice-Principal (Academic Planning & Performance)	Principal OR Director of HR&OD OR Vice-Principal (Academic Planning & Performance)
8.6	Staff: Appointments	Emeritus	Approve conferment of the title 'Emeritus' on former members of staff.	Senate		Director of HR&OD
8.7	Staff: Appointments	Established / Named Chairs	Approve appointment of a professor to a named or established chair.	Senate on the recommendation of the University Executive Group		Principal OR Director of HR&OD
8.8	Staff: Appointments	General	Approve appointments of external examiners, where within the parameters of the policy on external examiners .	Deans of Schools		Deans of Schools
8.9	Staff: Appointments	Honorary appointments	Approve honorary professorial appointments.	Senate on the recommendation of School Boards following consultation with the Vice-Principal (Academic Planning & Performance)	Vice-Principal (Academic Planning & Performance)	Director of HR&OD
8.10	Staff: Appointments	Honorary appointments	Approve honorary appointments in the professional services.	University Secretary & COO		Director of HR&OD
8.11	Staff: Appointments	Honorary appointments	Approve honorary academic appointments (non-professorial).	School Boards		Director of HR&OD
8.1	Staff:	Termination of	In accordance with	Disciplinary		Letters of

8 Staff Appointments						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
2	Dismissal	employment	<p>policies set out under the terms of Statute 16.</p> <p>See also:</p> <ul style="list-style-type: none"> • Disciplinary Procedure • Section 6. 	<p>Panel.</p> <p>See Disciplinary Procedure for details of the process for the formation of panels and the authority of panels.</p>		<p>dismissal shall be signed by:</p> <p>Chair of disciplinary panel</p> <p>OR</p> <p>Director of HR&OD</p> <p>OR</p> <p>University Secretary & COO</p>

9 Staff Salary						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
9.1	Staff: Salary	Honoraria	Approve maximum levels of any management responsibility payments and honoraria to Deans and Associate Deans.	Remuneration Committee on the recommendation of the University Executive Group.		Director of HR&OD
9.2	Staff: Salary	Senior Staff	Approve salary increases (beyond the nationally agreed pay award) for the Principal and members of the University Executive Group.	Remuneration Committee.		Director of HR&OD
9.3	Staff: Salary	Senior Staff	Approve salary increases (beyond the nationally agreed pay award) for Grade 10 staff on recommendation of Deans of Schools and Directors of Professional Services.	University Executive Group.		Director of HR&OD

9 Staff Salary						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
9.4	Staff: Salary	Senior Staff severance	Approve a policy on senior staff severance and approve severance payments exceeding the threshold defined by Court (£100k), and early retirement or severance terms for members of the University Executive Group in accordance with that policy, noting that severance and early retirement terms for the Principal is a matter reserved to the Court on the advice of the Remuneration Committee.	Remuneration Committee		University Secretary & COO AND Director of HR&OD
9.5	Staff: Salary	Consultancy Principal	Approve requests by the Principal to undertake consultancy or serve as a non-executive director or similar where the position is unpaid or remuneration is less than £5,000 per annum, and the reputational risk/time commitment is low and there is no conflict of interest.	Chair of Court		Chair of Court
9.6	Staff: Salary	Consultancy - Principal	Approve requests by the Principal to undertake paid consultancy, other paid work or serve as a non-executive director or similar where remuneration	Remuneration Committee on the advice of the Chair of Court		Convener of the Remuneration Committee OR Chair of Court

9 Staff Salary						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
			exceeds £5,000 per annum or where Chair of Court judges there to be a significant reputational risk, conflict of interest, or significant time commitment.			
9.7	Staff: Salary	Consultancy – University Secretary & COO	Approve requests by the University Secretary & COO to undertake consultancy or serve as a non-executive director or similar where the position is unpaid or remuneration is less than £5,000 per annum, and the reputational risk/time commitment is low and there is no conflict of interest.	Principal following consultation with the Chair of Court.		Principal
9.8	Staff: Salary	Consultancy – University Secretary & COO	Approve requests by the University Secretary & COO to undertake paid consultancy, other paid work or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum or where the Principal or Chair of Court judges there to be a significant reputational risk, conflict of interest, or significant time commitment.	Remuneration Committee on the advice of the Principal and following consultation with the Chair of Court		Convener of the Remuneration Committee OR Chair of Court OR Principal
9.9	Staff:	University Executive	Approve requests by members of	Principal		Principal

9 Staff Salary						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
	Salary	Group consultancy (with the exception of the Principal and University Secretary & COO)	the University Executive Group to undertake consultancy or serve as a non-executive director or similar where the position is unpaid or remuneration is less than £5,000 per annum, and the reputational risk/time commitment is low and there is no conflict of interest			
9.10	Staff: Salary	University Executive Group consultancy (with the exception of the Principal and University Secretary & COO)	Approve requests by members of the University Executive Group (with the exception of the Principal) to undertake paid consultancy, other paid work or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum or where the Principal judges there to be a significant reputational risk, conflict of interest, or significant time commitment.	Remuneration Committee on the advice of the Principal.		University Secretary & COO
9.11	Staff: Salary	Senior Staff (Grade 10) consultancy	Approve requests by Grade 10 staff to undertake consultancy, other paid work, or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum or where there is a	University Executive Group with an annual report to the Remuneration Committee.		Principal OR University Secretary & COO

9 Staff Salary						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
			significant reputational risk, conflict of interest, or significant time commitment.			

10 Students						
	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
10.1	Students	Appeals	Receive and determine appeals from undergraduate students against termination of their studies.	Senate Termination of Studies (Appeals) Committee		University Secretary & COO OR Vice- Principals OR Director of Academic & Corporate Governance
10.2	Students	Appeals	Receive and determine academic appeals from students.	Senate Appeals Committee/Panel		University Secretary & COO OR Vice- Principals OR Director of Academic & Corporate Governance
10.3	Students	Discipline	Exercise disciplinary powers in relation to students.	Authorised officers named in Ordinance 40		University Secretary & COO OR Vice- Principals OR Director of Academic & Corporate Governance

11. Legal						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
11.1	Legal	Settlements	Settle legal actions and claims under contracts. Where the value is anticipated to exceed £0.5m the Court must be informed via the Audit & Risk Committee.	University Secretary & COO	Director of Legal AND Director of Human Resources & Organisational Development (HR matters).	University Secretary & COO OR Director of Finance
11.2	Legal	General Miscellaneous Non-Procurement	Entering into, amending, terminating or otherwise creating legal obligations.	University Secretary & COO	Director of Legal	University Secretary & COO OR Director of Finance
11.3	Legal	Data Protection, Freedom of Information and EIRs (Compliance)	Monitor University compliance with the Data Protection Act 2018, the Freedom of Information Act (2002) and the Environmental Information Regulations (2004) (and their successor).	Data Protection Officer	Director of Legal	Data Protection Officer OR Director of LLC OR University Secretary & COO OR Director of Academic and Corporate Governance OR Head of Culture & Information

11. Legal						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
11.4	Legal	Data Protection (Contracts and procurement of goods & services)	Entry into proportionate data processing agreements and data sharing agreements with appropriate attention to data privacy impact assessments. See also 12.15 for clinical research data sharing delegations.	Data Protection Officer	Director of Legal AND Director of Library & Learning Centre OR Director of Research & Innovation Services	Director of Library & Learning Centre OR University Secretary & COO OR Director of Academic and Corporate Governance OR Director of Research & Innovation Services
11.5	Legal	Litigation (Service)	Service of Legal Proceedings.	Director of Legal		Director of Legal
11.6	Legal	Litigation (General)	Entering into, defending and withdrawing from court or other legal proceedings with liability up to £500k and signing court documents.	University Secretary & COO with a report to the University Executive Group.	Director of Legal	Director of Legal
11.7	Legal	Litigation (General)	Entering into, defending and withdrawing from court or other legal proceedings with liability over £500k and signing court documents.	University Executive Group subject to a report being prepared for the Audit & Risk Committee.	Director of Legal	Director of Legal
11.8	Legal	Third party agents	Engaging private legal firms, counsel, sheriff officers, patent agents and other	Director of Legal	Director of Research & Innovation Services	Director of Legal OR Director of Research & Innovation

11. Legal						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
			agents.			Services

Section C: Legal Contracts						
Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
12.1	Legal Contracts	Contracts Procurement (Goods and Services)	Approve non-research related contracts for goods and services, framework agreements, contract strategies and applications or variations thereof with a project value of up to £50k.	Dean of School or Director of Professional Services		Dean of School or Director of Professional Services
12.2	Legal Contracts	Contracts Procurement (Goods and Services)	Approve non-research related contracts for goods and services, framework agreements, contract strategies and applications or variations thereof with a project value greater than £50k and up to £1.25m.	University Secretary & COO OR Director of Finance	Head of Procurement OR Director of Legal	Head of Procurement OR Dean of School Or Director of Professional Services
12.3	Legal Contracts	Contracts Procurement (Goods and Services)	Approve non-research related contracts, agreements and applications or variations thereof with a project value of between £1.25m and £3m.	University Executive Group.	Director of Legal OR Head of Procurement	Director of Finance OR University Secretary & COO

Section C: Legal Contracts						
Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
12.4	Legal Contracts	Contracts Procurement (Goods and Services)	Approve non-research related contracts, agreements and applications or variations thereof with a project value of more than £3m.	Finance & Policy Committee	Director of Legal AND Head of Procurement	Director of Finance OR University Secretary & COO
12.5	Legal Contracts	High Risk* (Collaborations) Non-Research Non-Procurement Contracts *as set out in the University's International Risk Appetite Statement from time to time	Approval of major international/ national collaborations.	Matter reserved to the University Court on the recommendation of the University Executive Group and Finance & Policy Committee.	Director of Legal.	Principal OR Vice-Principal International / Vice Principal (Education) OR University Secretary & COO
12.6	Legal Contracts	Medium Risk* (Collaborations) Non-Research Non-Procurement Contracts *as set out in the University's International Risk Appetite Statement from time to time	Approval of major international/ national collaborations.	University Executive Group on the recommendation of EBD OG.	Director of Legal.	Vice-Principal International OR Vice Principal (Education) OR University Secretary

Section C: Legal Contracts						
Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
12.7	Legal Contracts	Low Risk* (Collaborations) Non-Research Non-Procurement Contracts *as set out in the University's International Risk Appetite Statement from time to time	Approve international collaboration agreements, including contracts (teaching & learning).	EBDOG	Director of Legal.	Vice-Principal (International) OR Vice Principal (Education) OR Director of EPDU
12.8	Legal Contracts	High Risk* (Collaborations) Research Non-Procurement contracts	Approve International collaboration agreements, including contracts (research). See also section 12.15 for clinical contract matters.	Matter reserved to the University Court on the recommendation of the University Executive Group and the Finance & Policy Committee	Director of Legal.	Principal OR Vice-Principal (Research) OR University Secretary & COO
12.9	Legal Contracts	Medium Risk* (Collaborations) Research Non-Procurement contracts	Approve International collaboration agreements, including contracts (research). See also section 12.15 for clinical contract matters.	University Executive Group.	Director of Legal.	Vice-Principal (Research) OR University Secretary & COO

Section C: Legal Contracts						
Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
12.10	Legal Contracts	Low Risk* (Collaborations) Research Non-Procurement contracts	Approve International collaboration agreements, including contracts (research). See also section 12.15 for clinical contract matters.	Vice-Principal (Research) or Vice-Principal (International).	Director of Legal.	Principal OR Vice-Principal (Research) OR University Secretary & COO
12.11	Legal Contracts	High Risk* (Collaborations) Non-Procurement Contracts *as set out in the University's International Risk Appetite Statement from time to time.	Approve amendments, termination or renewals of Collaboration Agreements	University Executive Group with report to the University Court in the case of termination or material amendment.	Director of Legal.	Principal OR Relevant Vice-Principal OR University Secretary & COO
12.12	Legal Contracts	Medium Risk* (Collaborations) Non-Procurement Contracts *as set out in the University's International Risk Appetite Statement from time to time.	Approve amendments, termination or renewals of Collaboration Agreements	University Executive Group.	Director of Legal.	Principal OR Relevant Vice-Principal OR University Secretary & COO

Section C: Legal Contracts						
Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
12.13	Legal Contracts	Low Risk* (Collaborations) Non-Procurement Contracts *as set out in the University's International Risk Appetite Statement from time to time.	Approve amendments, termination or renewals of Collaboration Agreements	Vice-Principals following consultation with the Director of Legal.	Director of Legal.	Principal OR Relevant Vice-Principal OR University Secretary & COO
12.14	Legal	Contracts (General). Miscellaneous. Non-Procurement	Entering into, amending, terminating or otherwise creating legal obligations.	University Secretary & COO	Director of Legal	University Secretary & COO OR Director of Finance

Section C: Legal Contracts						
Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
12.15	Legal Contracts	Contracts (Clinical Trials and Clinical Research Core Facilities) Non-procurement	Approve contracts relating to: <ul style="list-style-type: none"> the performance of CTIMP clinical trials, regulated device trials, and all clinical research studies administered by TASC; the performance of research and services by core facilities including the Health Informatics Centre (HIC), Tayside Biorepository (TB), the Clinical Research Centre (CRC), the Tayside Clinical Trials Unit (TCTU) and the Clinical Research Imaging Facility (CRIF); the sharing of data and the transfer of materials; and/ or the amendment or cancellation of such 	R&D Director, Tayside Medical Sciences Centre (TASC) following consultation with the relevant Governance Manager or Facility Manager; Subject to an approved Project Registration Form; with authority from the Dean/Director of Finance / VP of Research as set out in sections 3 and 7 above or inclusion in regular reports to ensure appropriate oversight and auditing.	Director of Legal OR Dean of the School	R&D Director, Tayside Medical Sciences Centre (TASC).

Section C: Legal Contracts						
<p>Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.</p>						
	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/ Recommendation	Authorised Person
			contracts, excluding contracts solely relating to University intellectual property or where the University has responsibility for commercial outcomes from work.			

Appendix 1 Framework

The Framework sets out the responsibilities for the business of the University under the:

- [Charter](#);
- [Statutes](#);
- [Ordinances](#);
- [Statement of Primary Responsibilities](#);
- [Financial Memorandum between the University and the Scottish Funding Council](#); and
- University's [Financial Regulations](#).

University Court

As the governing body of the University, the [University Court](#) is responsible for:

- approving corporate strategy and associated strategic plans and budgets;
- determining major business decisions and corporate policy;
- the framework of governance and management; and
- monitoring institutional and executive performance.

University Senate

As the academic authority of the University, the [Senatus Academicus](#) (Senate) is responsible for academic governance, and specifically for regulating, in accordance with the Charter and Statutes:

- the admission of students;
- the curricula and assessment;
- the maintenance and enhancement of academic standards;
- approve the conferment of degrees and qualifications including honorary degrees;
- the award of other qualifications;
- academic policies and those relating to the business of the Senate which aren't otherwise reserved to the Court; and
- Research activities.

Principal & Vice-Chancellor

As the chief academic and administrative officer of the University and accountable under the [Scottish Funding Council Financial Memorandum with HE Institutions](#), the Principal & Vice-Chancellor is responsible to the University Court for the executive and operational management of all aspects of the University's work.

Appendix 2 Definitions and Interpretations

The following terms used in the Schedule have the following means unless otherwise provided:

Definition	Meaning
Approved Contracts	Template contracts of procurement approved by the Director of Legal and Head of Procurement
Authorised Person	The person who is authorised to implement the approved action, for example acting as a signatory on documentation.
Category	The category of business delegated by University Court
Delegate	The relevant committee or person authorised by the University Court to exercise decision making power and action in relation to the Delegated Matter
Delegated Matter	The matter upon which the delegate is authorised to exercise decision making power or action under the Schedule
Framework Agreement	Standard term contracts pre-agreed with suppliers by Procurement
Non-Capital	
Non-Research	
Non-Procurement	
Recommendation	A recommendation is required to be obtained by the Delegate prior to the Authorised Person implementing the action.
Sub-Category	The sub-category of the Category

Explanatory Notes

If there are multiple Authorised Persons noted in relation to a Delegated Matter then the relevant Authorised Person's authority to act shall be deemed to be on a cascading "whom failing" basis. In other words the Authorised Person shall be the first named person who if not available the next Authorised Person may be asked to step in.

Appendix 3 Nine Principles of Public Life in Scotland

DUTY

Holders of public office have a duty to act in the interests of the public body of which they are a Board member and to act in accordance with the core tasks of the body.

SELFLESSNESS

Holders of public office should act solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

INTEGRITY

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.

OBJECTIVITY

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

ACCOUNTABILITY AND STEWARDSHIP

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

OPENNESS

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

HONESTY

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

LEADERSHIP

Holders of public office should promote and support these principles by leadership and example.

RESPECT

Holders of public office must respect fellow members of their public body and employees of the body and the role they play, treating them with courtesy at all times.

2. Document Information

2.1. Approvals & Renewals

Document Name	Schedule of Delegation
Status	Draft v1.0
Responsible officer/department/school	Governance & Nominations
Policy owner	
Date last approved	December 2017
Due for review	
Authorised and approved for publication	Yes
Date authorised for publication	
Information classification: public/internal	Public
Location in repository	Court
Approval route and history	
Code	

APPENDIX 5

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES (Minute 64 (4))

A meeting of the Committee was held on 16 March 2020.

Present: Bernadette Malone (Acting Convener);
Dr William Boyd;
Jane Marshall;
Dr David Martin; and
Jay Surti.

In Attendance: Claire Glancy Executive Support Officer;
Dr Jim McGeorge University Secretary;
Pamela Milne Director of Human Resources & Organisational Development; and
Julie Strachan Deputy Director of Human Resources & Organisational Development.

Apologies: Professor Julian Blow
Shirley Campbell;
Catherine Cavanagh;
Professor Lynn Kilbride; and
Rebecca Leiper.

1. MINUTES

The Committee approved the minutes from the previous meeting.

Resolved: to approve the minutes from the previous meeting.

2. MATTERS ARISING

(1) Action Log

The Committee noted the log of ongoing actions and progress against the target completion dates provided.

Resolved: to approve the action log as presented.

(2) Revisions to Remit & Term of Reference

The Committee noted that this item would be deferred until the next meeting to allow a combined review of the remit and terms of reference of the People & Organisational Development Committee and the Remuneration Committee to be undertaken.

Resolved: to reschedule the item for the next meeting of the People & Organisational Development Committee.

3. CONVENER'S UPDATE

(1) University & College Union Industrial Action

The Director of Human Resources & Organisational Development updated the Committee on the two periods of industrial action which had taken place since the last meeting in respect of the national UCU dispute on pay, casualisation, equality and workloads, and changes to the Universities Superannuation Scheme (USS). The Director advised members that between 82 and 102 members of staff had

participated per day in the action in November and December, and that an update on numbers participating in the February/ March action would be provided once known. Members were advised that while the Schools of Business, Humanities and Social Sciences had been the most affected by the strike action, overall impact and disruption had generally been low across the institution.

The Director advised the Committee that the current mandate for strike action would expire at the end of April and that the University had been notified of the UCU's intention to ballot members to allow for industrial action beyond this. Members noted that a further update would be provided at the meeting of Court next month.

Resolved: to note the update.

(2) COVID-19

The Director and the University Secretary updated the Committee on the University's response to the COVID-19 outbreak. The University Secretary advised members that in line with the institution's Business Continuity Framework, a Silver team had been in operation and taking appropriate actions for several weeks, and a number of sub-groups had been established to allow for detailed planning in key areas. Members were advised that given the growing scale of challenge, a decision had been taken that day by the University Executive Group to escalate to a Gold response.

The Committee noted the work undertaken to date to plan and coordinate guidance, policy decisions and communications to staff and students to ensure a consistent and measured institutional approach. Members noted that part of this work included ensuring staff across the institution had access to, and plans in place for, remote working and reviewing arrangements for staff who may need to remain on campus.

Following queries from members around channels of communication, the Committee was advised that in addition to frequent institution-wide and school and directorate level communications, an FAQ page and dedicated email helpline had been created to allow staff and students to raise any concerns.

Discussing the potential financial impact of the risk posed by COVID-19, the Committee noted the importance of ensuring sufficient contingency had been set aside within the budget and noted on-going work led by the Director of Finance to plan for this. The Committee also discussed engagement with Court and its Committees, noting that a detailed update would be provided at the next meeting of Court.

Overall the Committee was satisfied that the University was monitoring and acting in accordance with Scottish and UK Government and NHS advice, commending the efforts of staff in particularly challenging and unprecedented circumstances. Members noted in particular the efforts of the Head of Safety Services, Head of Corporate Communications and Policy Officer (Audit & Risk).

Resolved: to note the update and that a further report would be provided at the meeting of Court on 28 April.

4. **DIRECTOR'S STRATEGIC REPORT & SECTORAL UPDATE**

The Committee received a report from the Director of Human Resources & Organisational Development providing an update on strategic people-related developments and activity since the last meeting. Members noted the updates provided in respect of: senior appointments; employee engagement matters; activity supporting the University's 'High Performance Community'; and health, safety and wellbeing matters.

Discussions focused on the formal disciplinary, capability, grievance and appeals update contained within the report. Members noted there had been a small increase in the number of formal cases and appeals from previous years but that the number of formal cases relative to the size of the workforce remained small and that the HR team continued to work closely with Schools and Directorates to resolve issues early before they progressed to this stage, using, for example, the University's mediation service.

The Committee also noted the outcomes from academic and research staff annual review. The Director of Human Resources & Organisational Development outlined on-going action to enhance the review process, including work with Deans to update current criteria to allow more flexibility in recognising achievement within individual career paths. The Committee was pleased to note the collaborative approach being taken to develop these criteria, agreeing this would help to promote buy-in across Schools. Members recognised the importance of central oversight and consistent application of the criteria in the review process, including early engagement from Deans and line managers to ensure individuals coming forward were 'promotion ready.'

Resolved: to note the update and await a further update as appropriate.

5. STAFF SURVEY

The Director and Deputy Director of Human Resources & Organisational Development presented an overview of the University's 2019 staff survey results and outlined next steps in communicating and engaging with staff and key stakeholders on the results.

Members noted that the University was at an early stage of reviewing results and that a more detailed qualitative analysis and action plan would be brought to the Committee for consideration in due course. However, the Committee agreed that overall results were very positive and generally indicated high levels of staff satisfaction, noting that the University had performed well against sectoral benchmarking data. Members highlighted areas of improvement since the last survey, a number of which had been the result of specific and planned actions taken following that survey, including within the Schools of Dentistry and Humanities.

The Committee then reviewed areas where action might be taken in response to the survey, including in relation to staff stress, change management, staff workload and bureaucracy, and UEG's management and leadership of the University. The University Secretary and Director of Human Resources & Organisational Development also highlighted results from the School of Business and IT Directorate, which were in many areas below the University average, advising that further analysis would be undertaken in these areas and action plans developed and the Committee requested an update on this once available. The Committee also noted areas where despite relatively low numbers of negative responses, further thorough investigation would be undertaken, such as around discrimination and harassment and bullying in the workplace.

In terms of survey response rate, it was noted that overall participation had been strong but there were areas where the response had been lower, such as Estates & Campus Services and the Schools of Life Sciences and Medicine. Members noted the factors causing this, such as larger numbers of non-desk-based and part-time staff within Estates & Campus Services, for example cleaners. The University Secretary advised the Committee that he and the new Interim Vice-Principal (Academic Planning & Performance) would continue to work with Deans and Directors to drive engagement with future surveys as well as considering scope for implementing alternative mechanisms for gathering feedback to address the particular challenges faced within these areas.

The Committee agreed that the update had been very helpful in providing oversight of the key strategic themes emerging from the staff survey. Members noted that following a more detailed review of results by key stakeholders, a further report to the Committee would be provided, which would include an overview of the action plans being put in place in Schools and Directorates, as well as at University level, for addressing the areas of concern highlighted and any risks identified.

In discussion, the Committee noted initiatives already on-going which would also serve to address some of the issues highlighted in the survey, such as work led by the Vice-Principal (Education) to review teaching delivery and reduce workload and bureaucracy.

Resolved: to note the update and await a more detailed analysis of the key areas highlighted in the staff survey and the associated action plan.

6. BUSINESS TRANSFORMATION

The University Secretary and Director of Human Resources & Organisational Development provided members with an update on progress with delivery of the Business

Transformation (BT) programme, and in particular the HRP component. Members noted that the programme had entered a crucial phase of user acceptance testing and that the University Secretary was working with the BT team to undertake scenario modelling. Members noted that an update would be provided at the next meeting of the Committee following completion of this testing.

Resolved: to note that a further update would be provided at the next meeting of the Committee following completion of user acceptance testing.

7. COURT NARRATIVE

The Committee agreed that the Convener should highlight the following matters to the Court at its meeting on 28 April: the briefing to the Committee on the recent UCU industrial action (item 3(1)); the Committee's discussion on the University's management of the COVID-19 crisis, noting that circumstances continued to evolve (item 3(2)); and the Committee's consideration of the early strategic themes emerging from the staff survey (item 5).

8. NON-DISCLOSURE AGREEMENTS

The Committee suggested it would be helpful for the Director of Human Resources & Organisational Development to provide an update in respect of the University's position on non-disclosure agreements at a future meeting.

Resolved: to ask that the Director of Human Resources & Organisational Development prepare an update on the University's position on non-disclosure agreements for a future meeting.

9. COMMITTEE REPORTS

(1) Health, Safety & Welfare Sub-Committee Minutes

The Committee received the minutes from the meeting of the Health & Safety Sub-Committee on 2 December 2019.

Resolved: to note the minutes.

(2) Local Joint Committee minutes

The Committee received the minutes from the meetings of the Local Joint Committee on 12 September 2019 and 22 January 2020.

Resolved: to note the minutes.

(3) Equality, Diversity & Inclusion Minutes

The Committee received the minutes from the meeting of the Equality, Diversity & Inclusion Committee on 9 December 2019.

Resolved: to note the minutes.

10. DATE OF NEXT MEETING

Resolved: Wednesday 20 May 2020.

Bernadette Malone
Convener

APPENDIX 6**REPORT FROM THE SENATUS ACADEMICUS
(Minute 65)****UNIVERSITY OF DUNDEE****COMMUNICATION FROM THE SENATUS ACADEMICUS****(Meeting of 25 March 2020)****1. REPORTING TO UNIVERSITY COURT**

The following items were selected by Senate to highlight to Court:

Senate's discussion on

- The University's on-going response to the Covid-19 pandemic.
- The delegation of Senate's powers to the Principal and conveners of Senate Committees until the end of the academic year.
- The cancellation of the September 2020 REF Submission deadline.
- The impact of the Covid-19 pandemic on the University's financial sustainability.

2. PRINCIPAL'S REPORT

The Senatus received a verbal Report from the Principal.

The Principal welcomed members to the online meeting of Senate taking place in the context of an unprecedented lockdown of the country in response to the Covid-19 pandemic. He noted that the University community had risen to the challenge of transitioning to an online institution in a rapid and orderly way since the decision to suspend all face to face teaching from 16 March 2020 onwards.

The Principal thanked members for their efforts to help the University focus on the health and well-being of staff and students in a period of great uncertainty. He advised that the impact of the current public health emergency would extend beyond the immediate need to ensure staff and student well-being. He acknowledged that the University would need to plan for significant financial instability caused by the likely economic impact of the current crisis.

The Principal gave an update report and asked Senate to note that almost all staff were now working from home and that the vast majority of buildings on the city campus had been closed until further notice. He reported that there were around 300 students who remained in Halls and approximately 1200 in private accommodation within the City. He explained that all students would continue to have online access to study and pastoral support services provided by the University and the Students' Association.

The Principal reported that most research activity had also been suspended, with exceptions made for national security and Covid-19 related projects or for ethical, welfare, safety and equipment maintenance reasons.

The Principal emphasised that the University's expertise in health and life sciences and in the education of clinical professionals meant that it would play its part in the national response to the current emergency. He explained that vital equipment had been supplied to the UK testing centre and that key research teams were developing projects to support national efforts.

The Principal acknowledged that the pandemic would have a significant economic impact and increase pressures on pensions and on future funding levels for teaching and research.

The Principal explained that the University had activated and escalated its business continuity plans as the situation developed. He reported that the main 'Gold' group continued to meet on a regular basis to co-ordinate action and

consider recommendations from a number of sub-groups. The Principal invited each of the sub-group leaders to provide an update on the latest developments.

Onshore Student Sub-Group

The Vice-Principal Education reported that the Sub-Group had been meeting daily to ensure that the University moved quickly to online delivery of teaching, assessment and student support. He emphasised that each School had moved forward in consultation with senior external examiners.

Members noted that some students were reporting difficulties in accessing study resources and in completing their assignments on time due to the disruption and expressed concerns about the negative effects on their academic progress. Members noted that students were asking about the University's approach to dealing with mitigating circumstance applications.

The Director of Quality & Academic Standards noted that Schools were now developing clear plans for assessment at module level and that these would be communicated to students as soon as possible. The Vice-Principal explained that online student support would continue to be developed by Student Services in partnership with DUSA. He reported that specific plans to support students still in residences on campus, under a variety of possible scenarios, were the subject of ongoing discussions.

The Director reported that the Onshore Student Group had been considering the viability of the June 2020 resit examination diet and would circulate its recommendations soon. The Director explained that student progression decisions would be taken in the context of the University's no-detriment policy. Members welcomed the indication that clear guidance on student self-certification, isolation and key-worker deployment would also be circulated.

Members of Senate acknowledged the potential problems faced by disabled students during the rapid move to on-line study. Members agreed that the University needed to take great care in the ongoing support for its disabled students and be ready to make any necessary re-adjustments in that support given the new work and study arrangements now in place. Senate noted that the University's Disability Services were available on-line for staff and student queries.

Members raised the issue of on-going support for research degree students. Senate noted that the University's new Doctoral Academy would be developing on-line support opportunities for postgraduate research students, in addition to normal supervisory on-line meetings.

Members welcomed the confirmation that the University's Summer School provision would go ahead as an online programme if necessary.

Senate noted that the Onshore Student Group had also started to consider various options for the start of the next academic year and would bring forward proposals in due course.

The Vice-Principal concluded his report by thanking staff and students for their work, under difficult circumstances, in support of learning and teaching in the University.

International Sub-Group

The Vice-Principal International reported that all official international travel had stopped in line with UK Government advice and that efforts were now focussed on supporting staff and students abroad to return home.

The Vice-Principal explained that plans were in place to move to online teaching for the University's international partnership commitments. Senate noted that pre-session English language programmes and other teaching planned for the summer of 2020 were moving to online delivery.

Senate was asked to note plans for ensuring international and non-visa students in the city were able to access online services and support.

The Vice-Principal explained the importance of the University developing convenient admission routes for international students seeking entry to UK higher education when normal business resumes. Senate noted the opportunity to become an 'institution of choice' for international students seeking to start programmes in January 2021. Members were advised to consider the approach taken by the School of Business, who offered January entry at both Postgraduate and Undergraduate levels. Schools were also asked to consider entry via the International College Dundee route.

The Vice-Principal reported on the possibility of reevaluating admission offers for international applicants and on the plans for an early launch of fully on-line pre-session English Language programmes.

Vice-Principal Research, Knowledge Exchange & Wider Impact

The Vice-Principal reported that most research activity on campus had been suspended. He explained that only a very small number of projects, related to Covid-19 or national security were continuing and that members of the University's research community were responding to urgent calls for Covid-19 related collaboration and research projects.

The Vice-Principal referred to a recent communication from the REF 2021 Team announcing that the 27 November 2020 submission date had been cancelled and that a new submission date would be announced with at least 8 months' notice. Senate noted that the 31 July 2020 census date for staff to be in post had not been changed and that it was unlikely that it would be changed in the future. The Vice-Principal agreed to circulate full details of the REF communication in due course.

Members of Senate expressed concern over the implications of the research shutdown for short-term contract staff employed by the University. The Vice-Principal Research confirmed that fixed-term contracts would run and conclude in line with existing expectations. He reported that Research Finance were looking at options for costed-extension applications for projects that were currently disrupted. He acknowledged that the problem was sector wide and reported that discussions with the Funding Council and with other institutions were ongoing.

The Vice-Principal confirmed that the University would investigate if the UK Government's retained worker grant scheme would be applicable to research staff who are unable to work because of the current situation.

Silver (Operations) Group

Dr Jim McGeorge (University Secretary) reported that the Operations Group had sought to provide regular and clear communications in a fast moving and difficult situation. He confirmed that further work on developing online communities was planned to help maintain staff and student engagement.

The Secretary noted that a Frequently Asked Question resource had been developed and advised that all members of the University community with questions or concerns should use this resource in the first instance.

The Secretary confirmed that the March Payroll had been processed remotely to ensure that all staff would be paid in line with the normal timetable.

Members raised questions on the University's financial situation. The Principal confirmed that the Funding Council had requested a financial impact report from all institutions that would help inform the Scottish Government's decisions on the future funding of higher education and any 'one off' support for the sector.

Members of Senate acknowledged the importance of building and maintaining a strong sense of community across the University to help meet the challenges of campus closures and moving to online only teaching and assessment.

The Principal reflected on the need to recognise the unprecedented situation when dealing with student claims for mitigating circumstances and thanked members of the working groups for their efforts.

The Senatus decided: to note the Report.

3. UNIVERSITY COURT

The Senatus received a Report from the meeting of University Court held on 25 February 2020.

The University Secretary introduced the Report and asked Senate to note Court's discussion on the arrangements for appointing a new Principal. He explained that although the process was still running during the current period of disruption it was unlikely that final stage interviews could be held according to the agreed timescales and may need to be deferred until they could be carried out 'face to face' and accompanied by candidate visits to campus.

Senate was asked to note Court's approval for the School of Nursing and Health Sciences to be renamed as the School of Health Sciences from 16th March 2020.

Senate was also asked to note Court's approval of a new Whistleblowing Policy. The Secretary agreed to circulate details of the new policy to members of Senate, for information.

The Senatus decided: to note that the University Court had approved an amendment to Ordinance 57 (Schools of Study) changing the School of Nursing & Health Sciences to the School of Health Sciences; and

to note the Report.

4. DELEGATION OF POWERS

The Senatus received a Paper from the Director of Academic & Corporate Governance that proposed a delegation of Senate's authority and powers to the Principal and the conveners of Senate committees until the end of the current academic year.

The Principal introduced the Paper and explained that during the current period of disruption caused by the Covid-19 pandemic, the University needed to ensure that decisions on academic matters, including assessment, examinations and the award of degrees, could be made to very short timescales if necessary.

In response to questions from members, the Principal confirmed that the delegation of Senate powers would be time-limited and that any decisions taken under delegated authority would be fully documented. He also confirmed that the main purpose of the delegation was to allow for decisions to be made between scheduled meetings of Senate or its committees, after due consultation with relevant groups whenever possible.

The Senatus decided: to approve the delegation of Senate powers (as specified in Statute 10) to the Principal and conveners of Senate Committees until the end of the academic year.

5. CONVENER REPORTS

The Senatus received Reports from the conveners of Senate committees, for information.

The Senatus decided: to note the Reports.

6. STUDENT TERMS & CONDITIONS 2020-21

The Senatus received the Student Terms & Conditions for Academic Year 2020-21 (effective from 1st August 2020), for approval.

The Senatus was asked to approve the document on a 'substantially as presented' basis, to allow for minor amendments without the need for re-approval.

The Senatus decided: for its part, to approve the Student Terms & Conditions 2020-21, on a substantially as presented basis.

7. STAFF COUNCIL (PRINCIPAL'S QUESTIONS)

The Senatus received a Report from the Staff Council meeting held on 4 March 2020, for information.

The Senatus decided: to note the Report.

8. SENATE COMMITTEES

The Senatus received amendments to the structure and membership of Senate committees in the current academic year and to establish the Public Engagement Forum as a full Senate Committee.

The Senatus decided: to approve amendments to Senate Committees in the current academic year.

9. ACADEMIC CALENDAR 2020-21

The Senatus received a draft of the standard Academic Calendar for the next academic year 2020-21, for information.

The Senatus decided: to note the draft Academic Calendar for 2020-21.

10. **FINANCE & POLICY COMMITTEE**

The Senatus received a Report from the Finance & Policy Committee meeting held on 21 January 2020, for information.

The Senatus decided: to note the Report.

11. **DUSA ELECTIONS**

The Senatus noted the results of the DUSA Elections March 2020, DUSA Executive (from 1st July 2020):

President	Scott Quinn
Vice-President Academic	Martha Umeh Ude-Eze
Vice-President Representation	Conchita Fraguas Bringas
Vice-President Student Welfare	Lauren Macgregor
Vice-President Campaigns & Communications	Saffron-Louise Cook
Vice-President Student Activities	Kellie Ioannou
Vice-President Engagement	Izuin Hanis Binti Abu Bakar
Vice-President Fundraising	Megan-Rose Birdsall

The DUSA President congratulated the newly elected Executive team and noted that they would take up their new posts on 1st June 2020 in line with normal expectations. He explained that the induction period for the new team would go ahead and asked that staff make themselves available for on-line meetings to ensure a smooth handover.

12. **HIGHER DEGREES**

(1) The Examining Committees have recommended the award of higher degrees to the candidates named in the Report (available in Box). A copy of each report is available for inspection.

(2) The Examining Committees have recommended that the PhD degree students' theses contained in the Report are revised and resubmitted (within timescale indicated).

13. **QUALITY & ACADEMIC STANDARDS COMMITTEE**

The Senatus received a Report from the Quality & Academic Standards Committee meeting held on 13 February 2020.

The Senatus decided: to approve the Report.

14. **INTERNATIONAL COMMITTEE**

The Senatus received a Report from the International Committee meeting held on 5 March 2020.

The Senatus decided: to approve the Report.

15. **RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE**

The Senatus received a Report from the Research & Knowledge Exchange Committee meeting held on 5 March 2020.

The Senatus decided: to approve the Report.

16. LEARNING & TEACHING COMMITTEE

The Senatus received a Report from the Learning & Teaching Committee meeting held on 12 March 2020.

The Senatus decided: to approve the Report.

17. SUMMARY REPORTS OF SCHOOL BOARDS

The Senatus received Summary Reports from School Boards.

The Senatus decided: to approve the Reports.

18. POSTGRADUATE APPEALS COMMITTEE

The Senatus received a Report from the Postgraduate Appeals Committee meeting held on 12 February 2020.

The Senatus decided:	to approve the Report.
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