

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 16 November 2021 in the Ustinov Room, Bonar Hall, City Campus, University of Dundee.

Present: Ronnie Bowie (in the Chair);
Alan Bainbridge;
Tricia Bey;
Megan-Rose Birdsall;
Richard Bint;
Professor Iain Gillespie (Principal & Vice-Chancellor);
Rebecca Leiper;
Andrew Lothian;
Jane Marshall (online);
Dr David Martin;
Ron Mobed (online);
Dr Anna Notaro;
Marianne Reilly;
Professor Mairi Scott;
Karthik Subramanya;
Jay Surti;
Sharon Sweeney;
Karen Thomson; and
Dimitris Vidakis (DUSA President).

In Attendance: Professor Wendy Alexander (Vice-Principal (International));
Professor Blair Grubb (Vice-Principal (Education));
Dr Neale Laker (Director of Academic & Corporate Governance);
Patricia Matheson (Interim Director of Human Resources & Organisational Development);
Dr Jim McGeorge (University Secretary & Chief Operating Officer);
Dr Christine Milburn (Head of Principal's Office);
Dr Jonathan Monk (Director of UoD IT) (item 19 pre-Court briefing);
Professor Shane O'Neill (Senior Vice-Principal);
Carol Prokopyszyn (Director of Finance);
Wesley Rennison (Director of Strategic Planning);
Dr Liz Rogers (Risk & Business Continuity Manager);
Professor John Rowan (Vice-Principal (Research, Knowledge Exchange & Wider Impact));
Kenny Stewart (Policy Officer (Corporate Governance)); and
Rebecca Trengove (Director of External Relations).

Apologies: Professor Mike Ferguson; and
Keith Winter.

The Chair noted the resignation of David Dorward.

INFORMAL PRE-COURT BRIEFING

Prior to the start of the meeting members attended a pre-Court session led by the Vice-Principal (Education) and Director of UoD IT on the Digital Strategy. The Vice-Principal and Director summarised projects that had taken place to date, such as the upgrade of MyDundee and Business Transformation, and outlined future plans to enhance the University's digital capabilities. The Court noted that the Higher Education sector had been embracing digital technologies, and with non-HE educational providers providing more accessible online learning, it was important for the University to seek to be a competitor in this space.

The Digital Strategy would support the University to become more digitally enabled, empowering staff and students to engage in excellent research, learning and teaching, and resulting in enterprise and engagement activities that benefit society.

The Vice-Principal stressed the University's commitment to ensuring that the approach taken was accessible and outlined plans to upskill members of staff. He also acknowledged the continued threat of cyberattacks and confirmed that the Strategy would include a focus on risk management and resilience. Court discussions focused on the University's plan and approach to becoming a 'leader' in digital provision and the ways in which different levels of budget allocated to the Strategy could be utilised.

The Court would review the Digital Strategy and implementation plan at its meeting in February 2022. Mechanisms for assessing progress would then be developed and shared with the Court and updates provided on the implementation on a regular basis. Members noted that the Strategy would be flexible and could be adapted to keep up with changing markets and technologies.

19. MINUTES

The Court decided: to approve the minutes of the meetings on 2 and 3 September 2021.

20. MATTERS ARISING

(1) Action Log

The Court received the action log of Court business. The Court noted progress in relation to the Academic Excellence & Sustainability Programme and the University's recent submission for a Race Equality Charter bronze award, as approved by the People & Organisational Development Committee.

Members also noted that the Chair of Court Election Appointing Committee would comprise Tricia Bey (Convener), Richard Bint, Hari Hundal, Anna Notaro, Sharon Sweeney, Karen Thomson and Dimitris Vidakis.

The Court decided: to note the update.

21. CHAIR'S REPORT TO COURT

The Court received a report from the Chair outlining activities he had undertaken on behalf of the Court and the University since its last meeting. The report summarised discussions at the meetings of the Committee of University Chairs and Committee of Scottish Chairs, and

with committee conveners and University officers. The Chair outlined issues currently facing the sector, predominantly the USS pension scheme consultation and ongoing industrial disputes around pensions, and informed members that he was planning to meet with them on an individual basis more regularly to discuss these and other current topics.

At the Committee of University Chairs, discussions had focused on 'civic universities' and the ways in which universities contributed to the economic and social wellbeing of society. The Chair stated that the current University Strategy defined what the term 'civic university' meant for the University of Dundee and ensured that the University communicated the substance of what it set out to achieve.

The Chair had also spoken with Karen Watt, Chief Executive Officer of the Scottish Funding Council, following which it was clear that the University needed to self-promote more than it had historically. The Chair noted that the new University Strategy and refreshed senior management team provided the University with an opportunity to do this.

The Court decided: to note the report.

22. UNIVERSITY EXECUTIVE GROUP REPORT TO COURT

The Principal & Vice-Chancellor introduced the University Executive Group (UEG) report which provided an update on emerging sectoral issues, internal operational and strategic matters, and recent events.

The Principal informed the Court that all three campus unions had suspended strike action in relation to the UoDSS pensions scheme and that negotiations had resumed. A guide would be developed to ensure the University community understood the University's risk in relation to pensions, although the Principal noted the challenges in articulating what were complex technical pensions issues. Members noted that UCU had now also obtained a mandate for strike action in relation to the national USS pension scheme.

Planning had commenced for Semester 2, with the aim to ensure students received in-person teaching more consistently across schools and to focus on improving the student experience. Physical distancing in learning and teaching spaces would be removed to enable this, with maximum class sizes increasing to eighty (and one hundred in exceptional circumstances). The Scottish Government had urged universities to be cautious in Semester 2, however, noting that the University had been modest in its provision of in-person teaching in Semester 1, the changes remained commensurate with Scottish Government advice.

The Cabinet Secretary for Health and Social Care had visited the University and had been impressed with the University's efforts during the COVID-19 pandemic and had indicated government sympathy for the need for additional future funding the support student mental health. Members recognised that mental health remained a key issue in Higher Education, noting that this supported the University's plans to ensure students had more opportunities for in-person learning to better support their mental health and wellbeing.

The Principal provided members with a summary of Senate discussions on the start of the 2022/23 academic year, where, following consultation, it had been recommended that the start date for 2022 would be 26 September 2022. This would mirror the approach taken in 2021/22 and had taken into account potential disruption to core business, and in particular

the recruitment of overseas students. The Court noted that there had been challenges in helping international students arrive on campus in time for teaching as a result of Home Office policies. Members also noted that having historically been one of the earliest universities to start, the University had previously found itself at a competitive disadvantage.

The Court asked the Principal to take steps to minimise as far as possible any negative impact caused by this decision on the student experience and staff workloads, noting that students in particular had experienced significant disruption resulting from COVID-19 and industrial action. On that basis, the Court approved the start date for 2022/23 as 26 September 2022.

The University had also submitted an application to become a University of Sanctuary as part of its commitment to creating a culture of welcome for individuals seeking sanctuary within and beyond university campuses. The Court welcomed this application and passed on its thanks to the individuals involved.

Turning to the Academic Excellence & Sustainability Programme, members reviewed the progress for the individual projects and accompanying risk ratings. The Court was pleased to note that a budget and processes were in place to relocate the Medical School Resource Unit and noted that risks to compliance and animal welfare were being closely monitored pending the relocation. The Court noted that the new combined School would be named the School of Humanities, Social Sciences and Law.

The Court also congratulated the relevant colleagues on exceeding its budget for international students by 40%.

- The Court decided:**
- (i) to approve recommendations regarding the timing of the academic Year 2022/23 and specifically that teaching begin on 26 September 2022; and
 - (ii) otherwise, to note the report.

23. UNIVERSITY STRATEGY

(1) New University Strategy: Update on Development

The Principal & Vice-Chancellor provided an update on the development of the new University Strategy, including progress on the consultation process, early positive feedback received from the consultation to date and the development of the sub-strategies.

Consultation continued to take place and had already included several townhall sessions and focus groups with various staff networks. Consultation with students had also launched and would include a townhall meeting chaired by the Vice-Principal (Education) and engagement with the Student Representative Council at DUSA. The Court was pleased to note that feedback received to date on the draft Strategy was positive, with a strong focus on the University's social purpose and its status as a triple-intensive institution. The University's commitment to climate action and equality, diversity and inclusion had also been welcomed.

On the development of the People & Talent Strategy, the Court noted that a draft of this had been reviewed by the University Management Group and People & Organisational Development Committee. Feedback from these groups and from Deans, Directors and School Managers had now been incorporated and a draft was available as part of the ongoing consultation progress.

Noting that the Digital Strategy would be key to the success of the new University Strategy, it was proposed that this should now be included as a sub-strategy. The Court agreed and noted that the complete list of sub-strategies would be as follows: Education & Student Experience; Research & Impact; Engagement & Enterprise; People & Talent; and Digital.

The Court also reviewed the implementation plan, noting that proposed KPIs would be shared with the Court at its meeting on 15 February 2021. The Strategy would then launch in Spring 2022.

The Court decided: to note the update.

(2) RESERVED BUSINESS: Change Management: Process and Capability

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

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

(3) RESERVED BUSINESS: Tools

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

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

24. REPORT TO COURT FROM THE DUSA PRESIDENT

The Court received the regular report from the President of the Dundee University Students' Association (DUSA) which summarised current and emerging student issues. The President highlighted the five-year strategic plan, increased satisfaction in student pulse survey results and provided an update on the most recent meeting of the Student Representative Council. The President noted that the Student Representative Council was under pressure from some students to take a stance on the pensions disputes; DUSA currently maintained a neutral position. It was agreed that a briefing for students would be useful to ensure they understood the issues fully.

The President also informed the Court that the Vice-President (Student Wellbeing) had stood down, meaning that the People & Organisational Development Committee would not have student representation. Contingency plans were in place and a by-election might take place to fill the position.

Voting for the University Rector election would open on 24 November 2021. The two candidates standing in the election were Keith Harris and Mike Arnott.

On Gender Based Violence (GBV), DUSA had received positive feedback for its stance, and in particular the joint statement issued by the University and DUSA addressing incidents of drink and injection spiking in the city of Dundee. DUSA would take part in 'Reclaiming the Streets' on 25 November 2021 and additional safety measures would be introduced into venues. Additionally, the Director of Academic & Corporate Governance informed the Court of the University's intention of applying for the GBV Charter developed by the charity EmilyTest in consultation with the sector (see minute 30).

The Court endorsed DUSA and the University's approach to Gender Based Violence and was supportive of applying for the charter.

- The Court decided:**
- (i) to refer the issue of representation on the People & Organisational Development Committee to the Governance & Nominations Committee in light of the resignation of the Vice-President (Student Wellbeing); and
 - (ii) to note the update.

25. CONVENER REPORTS

The Conveners introduced their reports, highlighting matters of interest. Approvals are formally noted against the relevant Committee Report (minute 33).

In the absence of the Convener of the Audit & Risk Committee, a member of the Committee, Tricia Bey, provided an overview of the Committee's meeting on 26 October 2021. She highlighted the internal audit report on Academic Performance and outlined Committee discussions on risk management, including the review of the Institutional and COVID-19 risk registers, discussion of a horizon scanning exercise carried out by the Risk Management Oversight Group, and review of the new Risk Appetite Statement. She also informed the Court that the Committee would carry out a 'deep dive' on cybersecurity on 17 December 2021.

In introducing the report from the Finance & Policy Committee on 3 August 2021, the Convener informed the Court that the Committee had considered an early-stage paper setting out the objectives for long-term financing in support of the University's strategic expenditure. He also summarised the review of the financial year, including progress towards financial sustainability and the Committee's discussions on project spend and borrowing.

The Convener of the Governance & Nominations Committee focused on the review of Senate effectiveness and the recommendations emerging from it, the review of Court effectiveness and on succession, new appointments and the Skills Matrix. The Convener informed members that some skills, such as digital, were not strongly represented within the

Court's membership and that work would be undertaken to update the Skills Matrix and to address any gaps in succession planning.

On Court membership, the Committee had recommended the renewal of the membership of Alan Bainbridge and Jay Surti for a further period of four years from 1 August 2021. The Convener confirmed that, following David Dorward's resignation, an appointment process would commence to seek a replacement. The Convener also informed the Court that the Annual Public Stakeholder meeting of the Court in January 2022 would take place online.

The Convener of the People & Organisational Development Committee informed the Court that Committee discussions had focused on pensions, the proposed voluntary severance scheme and the draft People & Talent Strategy. The Principal & Vice-Chancellor had attended the meeting to provide the Committee with an update on the process, which management hoped would lead to the resumption of negotiations with the campus unions. The Committee had stressed the importance of communication to ensure members of the pension schemes understood the associated risks. The Committee was supportive of proposals on change management.

The Court decided: to note the reports.

26. RISK

(1) Risk Appetite Statement

The Director of Academic & Corporate Governance introduced the finalised draft of the Risk Appetite Statement (RAS) for consideration by the University Court. The Court noted that the RAS had been updated to reflect discussions at the Court Retreat and had then been reviewed by the University Executive Group and Audit & Risk Committee.

The Court decided: to approve the Risk Appetite Statement.

(2) Institutional Risk Register

The University Court reviewed the Institutional Risk Register and executive summary, noting the de-escalation of risk 3 'tuition fees' following positive outcomes in relation to international student recruitment and the escalation of risk 7 'staff' following a horizon scanning exercise carried out by the Risk Management Oversight Group which had identified the risk that a period of change, with AES, pensions and New Ways of Working would impact the staff experience. The Court noted that the Risk Register would be updated in due course to align to the new University Strategy and Risk Appetite Statement.

Members agreed that the residual risk scores and tolerance ratings were appropriate and welcomed the addition of the executive summary and tolerance ratings.

The Court decided: to approve the Institutional Risk Register.

27. FINANCIAL STATEMENTS FOR THE YEAR ENDING 31 JULY 2021

(1) Annual Audit & Risk Committee Report

The Director of Finance introduced the Annual Audit & Risk Committee report for 2020/21. The report summarised the Committee's activity, including internal audits during the 2020/21 academic year, external audit and oversight of the University's response to the COVID-19 pandemic. The Court noted that the majority of outstanding actions pertained to the implementation of the Human Resources & Payroll module, noting that the University had requested that the internal auditors assess this area as it had been felt at the time that there were opportunities for improvement.

The Audit & Risk Committee had been satisfied with the work of the internal and external auditors, reports provided by management and endorsed the annual report to the Court for approval.

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

(2) Letter of Representation

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

The Court decided: to approve the letter of representation for signature by the Chairperson and the Principal & Vice-Chancellor.

(3) Annual Report 2020/21 Financial Statements

The Court received the report and draft financial statements for 2020/21. The Director of Finance informed the Court that the external audit work was largely complete, with a small amount required prior to finalisation of the audit report. No material changes were anticipated.

In terms of the operational results, the reported operating surplus before gains was £4.3m (2019: deficit of £8.0m) with the reported surplus for the year, including the USS adjustment and other gains being £53.2m (2020 £21.1m). The University's net cash position had increased significantly to £105.1m.

Total grant income from the Scottish Funding Council had increased by 13.8% to £93.4m. Tuition fee income had remained stable, decreasing by 0.3% from £74.1m to £73.9m, as a result of the ongoing COVID-19 pandemic. Research income had increased by £12.5m to £74.4m. On expenditure, excluding the impact of the USS adjustment to staff cost and interest, there had been an increase of £10.6m to £271.9m.

The Court decided:

- (i) as recommended by the Finance & Policy and Audit & Risk committees, to approve the financial reports; and
- (ii) to approve the finalised 2020/21 Financial Statements subject to: finalisation of the external audit and there being no material changes; and

approval by the Chair of Court and Convener of Audit & Risk Committee or the Deputy Chair of Court.

28. **ANNUAL LEAGUE TABLE REPORT**

The Principal & Vice-Chancellor introduced the Annual League Table Report which summarised the University's position in UK league tables and international rankings. The Principal outlined the range of factors which impacted performance in various tables and rankings, such as NSS results on domestic tables and research reputation on international rankings. The Court noted that international rankings were very important for the student recruitment markets the University was targeting as well as for institutional partnerships.

The Court noted that the last NSS rankings had impacted the University's performance in UK league tables but that recent pulse survey results indicated that this may improve for the current academic year. The Vice-Principal (Education) highlighted the importance of increasing in-person learning and teaching to mitigate this, and of the role the Digital Strategy would have in ensuring that the University could provide a good blended teaching model.

Improving University rankings where possible would be a key priority for the University, and the University Executive Group had agreed action plans to address this.

The Court decided: to note the report.

29. **OUTCOME AGREEMENT WITH THE SCOTTISH FUNDING COUNCIL**

The Court received the University's Outcome Agreement with the Scottish Funding Council. The Court agreed that it captured the direction of travel for the University and noted the comprehensive consultation that continued to take place with the campus unions and students' association.

The Chair of Court thanked the Director of Strategic Planning for the huge amount of work that had gone into the draft outcome agreement.

The Court decided: to note the report.

30. **EQUALLY SAFE IN HIGHER EDUCATION – ANNUAL REPORT 2020-21**

The Court considered the Equally Safe in Higher Education Annual Report which summarised the activities undertaken through the auspices of the Equally Safe Group, such as the development of an anonymous reporting tool, online training for staff and students and engagement with the city and relevant agencies (see minute 24).

The Court noted that the anonymous reporting tool had been put in place to allow students and staff who didn't feel safe coming forwards openly to do so. DUSA had a separate process in place where individuals could report cases.

It was agreed that in future the annual report would include a summary of the number of reports the University had received.

The Court decided: to approve the report.

31. **REPORT FROM THE CHAIR OF SENATE TO THE UNIVERSITY COURT**

The Court reviewed the report from the Chair of Senate to the University Court. The Senate had discussed the University Strategy and would discuss this in more detail at its meeting in December, which the Chair of Court would also attend. The Senate had also discussed the Digital Strategy, Senate Effectiveness Review, the start date for the 2022/23 academic year and the name of the new combined school: the School of Humanities, Social Sciences and Law. On the Senate Review of Effectiveness, the Court noted that this had been a very comprehensive review and that the emergent recommendations would be turned into an action plan by the Director of Academic & Corporate Governance and Senior Policy Officer (Academic Governance).

The Court decided:

- (i) to approve changes to Ordinance 56 to give effect to the new name of the School of Humanities, Social Sciences & Law; in accordance with the Charter, the approval would be subject to ratification at the next meeting of the Court;
- (ii) to approve the conferment of the title of Professor Emeritus upon Professor Mark Hector, Professor Tim Kelly and Professor Elaine Shemilt, and
- (iii) otherwise, to note the update.

32. **NARRATIVE FOR THE SENATUS ACADEMICUS**

The Chair of Court undertook to highlight to the Senate: the Court's strong support of the University's application to become a University of Sanctuary; discussions on the Digital Strategy; discussions on change management and voluntary severance; review and approval of the annual financial reports and statements; review and approval of the institutional risk register and risk appetite statement; consideration of the annual league tables report; and the review of the Gender Based Violence report.

The Court decided: to note the areas for inclusion in the report to the Senate.

33. **COMMITTEE REPORTS**

(1) Audit & Risk Committee Minutes

(i) Minute of the meeting on 26 October August 2021

The Court received the minutes of the meeting of the Committee on 26 October 2021. Matters for discussion with the Court are highlighted in minute 25 (above).

- The Court decided:**
- (i) to approve the Remit and Terms of Reference for the Committee; and
 - (ii) otherwise, to approve the report.

(ii) Reserved Business: Minute 5 of the meeting on 26 October 2021

The Court received Minute 5 of the meeting of the Committee on 26 October 2021.

The University asserts that the minute is exempt from public disclosure and claims exemptions in S.30(b)(i) of the Freedom of information (Scotland) Act 2002. It shall be published as an appendix to the minute of the meeting at which its approval for release is granted.

- The Court decided:** to approve the report.

(2) Finance & Policy Committee

The Court received the minutes from the Meeting of the Committee of 19 October August 2021. The Court's discussion of matters raised by the Committee is detailed in the Conveners' Report (Minute 25).

- The Court decided:**
- (i) to approve the Remit & Terms of Reference for the Committee; and
 - (ii) to approve the report.

(3) Governance & Nominations Committee

The Court received the minutes of the Committee's meeting on 19 October 2021. The Court's discussion of matters raised by the Committee is detailed in the Conveners' Report (Minute 25).

- The Court decided:**
- (i) to approve plans for the 2022 Public Stakeholder meeting of Court;
 - (ii) to approve the renewal of the membership of Alan Bainbridge and Jay Surti for a further 4 years under Statute 9(1)(k) from 1 August 2021;
 - (iii) to approve the update of the University's Modern Slavery Act Statement (2015); and
 - (iv) otherwise, to approve the minutes.

(4) People & Organisational Development Committee

(i) Minute of the meeting on 28 October 2021

The Court received the minutes of the additional meeting of the Committee on 28 October 2021. The Court's discussion of matters raised by the Committee are detailed in the Conveners' Report (Minute 25).

- The Court decided:**
- (i) to approve the Terms of Reference & Remit for the Committee;
 - (ii) to approve the Statement of Diversity on the Court;
 - (iii) to approve the Researcher Development Concordat;
 - (iv) to approve the Health & Safety Policy and the School & Directorate Health & Safety Policy; and
 - (v) otherwise, to approve the minutes.

(ii) Reserved Business: Minute 7 of the meeting on 28 October 2021

The Court received Minute 7 of the meeting of the Committee on 28 October 2021.

The University asserts that the minute is exempt from public disclosure and claims exemptions in S.30(b)(i) of the Freedom of information (Scotland).

(5) Welfare & Ethical Use of Animals Committee

The Court reviewed the minutes from the meetings on 15 July and 14 October 2021.

The Court decided: to approve the minutes.

34. SENIOR STAFF APPOINTMENTS

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

Name	Title	Date
Dr Linda Martindale	Interim Dean of School of Health Sciences	1 September 2021
Professor Kim Dale	Assistant Vice-Principal (International)	1 September 2021
Patricia Matheson	Interim Director of Human Resources	27 September 2021
Professor Shane O'Neill	Senior Vice-Principal	1 October 2021

The Court decided: to note the appointments.

Mr Ronald Bowie
Chair of Court
University of Dundee

Appendix 1

UNIVERSITY OF DUNDEE

UNIVERSITY EXECUTIVE GROUP REPORT TO COURT

A. INTRODUCTION

1. The last report anticipated a pivotal moment for us as an institution. Court's backing for our aspirations within the University Strategy at its September Retreat, and the expansion of the Academic Excellence and Sustainability program to refocus our education offering has provided us with a clear direction for success. This will be a long, challenging, yet rewarding journey that we must face together to successfully deliver.
2. The University Executive Group (UEG) has been focused on delivering our strategic objectives, shaped by the development of our new University Strategy. We must, of course, acknowledge that we are faced with challenging internal and external environments, each presenting challenges that we must successfully navigate. Members will find elsewhere on the agenda (**Papers E2 and E3**) a set of proposals which describe the tools at our disposal to see us through many of the organisational changes required.
3. Court will note that we are currently engaged in disputes over pensions which are referred to later in the report. Through such times it is critical that we build trust with one another to establish a collegial way forward. We are a broad-minded institution, and we wish to encourage staff to support one another while recognising that our views diverge on important issues at times. It is important that we reiterate during these times the key message, that our people are the anchor and the heartbeat of our institution.
4. Other matters of great importance covered in this report include our submission for a Race Equality Charter Bronze Award, activity within the environmental sustainability agenda and our recent award nominations.

B. STRATEGIC MATTERS

University Strategy and Organisational Change

5. Following invaluable input from Court at the Retreat in September, the University Strategy consultation was launched by the Principal at our first open session on 5 October, followed by a series of open meetings led by UEG members on each sub-strategy – the last of which, People & Talent, was reviewed again by the People & Organisational Development Committee prior to its launch on 28 October 2021. All of these consultation events were met with genuine enthusiasm from staff, although engagement levels were perhaps not as high as we might have hoped.
6. Whilst focusing on the coordination of the consultation, members of UEG are simultaneously developing a roadmap detailing how we intend to bring our ambitions to fruition and to deliver genuine transformation. Such transformation will require an experienced change management programme, supported by appropriate capacity and resource, in addition to a change in culture. UEG is currently working through these issues at our meetings and Away Days to ensure that we have a solid plan that can deliver our ambitions.

Finance

University of Dundee Finance

7. The recent visit from the Chair of the Scottish Funding Council (SFC) highlighted anticipated future financial challenges ahead. In the context of this environment, we have performed exceptionally well to be in a position where early indications suggest the financial forecast for 2021/22 will exceed budget expectations. The main drivers for this are very positive unregulated student recruitment at Semester 1 and lower USS cash costs following the conclusion of the 2020 valuation. The upside indications have provided sufficient confidence for UEG to consider allocation of the budgeted £1m strategic investment provision and develop business cases for additional resource to support the UEG priorities in year.
8. Whilst we must remain disciplined in our commitment to implement cost savings measures if we are to reach true financial sustainability, it is encouraging to see the University in a position where we are able to invest small amounts of additional resource into key projects. We must congratulate staff in their successful efforts to meet savings targets but at the same time, acknowledge our financial deficit and the journey required to reach sustainability. As previously agreed with Court, we want to be a confident University capable of borrowing to invest in our future. Doing this will require a positive story and evidence of sustained change to financial sustainability. Without this, we cannot achieve our ambitions set out in our strategy.

Analysis of UK Government Spending Review

9. The UK government released their [2021 Spending Review](#) on 27 October 2021. The figures for the Scotland budget show a significant cash increase (10.6%) for 22/23. Beyond next year there are much more modest cash terms increases which, given forecast rates of inflation, may mean that the real terms value of the budget is not maintained. Core research funding rises by 8% to £5.2bn in 22/23, but Innovate UK has a flat cash settlement of £0.7bn and £1.2bn is provided for 'European Programmes Association'. The outcome of the Augur report has been pushed back again with 'further details of the Higher Education settlement' to be published 'in the coming weeks'. We will be able to provide greater clarity on what the review means for Scotland and the University after the Scottish Budget is announced in January 2022.

UEG Priorities

10. As we develop our new University Strategy, UEG has pushed forward with our priorities that will both complement and enable the delivery of our new strategy. A brief update can be found below:

Academic Excellence and Sustainability

11. The AES programme continues to move ahead at pace. Professors Rory McCrimmon and Inke Nätke attended the most recent Oversight Board meeting on 28 October to provide a focused consideration of the Biomedical project, and the Board discussed the plans associated with moving the Medical School Resource Unit and associated staff to the City Campus from Ninewells. Additionally, the Board received materials setting out the progress of the Research Excellence workstream and were reassured.
12. The Senior Vice-Principal relayed conversations from the Court Retreat, in particular, that the following additional projects would become part of the programme: School of Science &

Engineering, School of Business, and an overarching project around continuous improvement to encompass all Schools. Work will be required to reconfigure the AES programme to adapt to the inclusion of the new projects as well as to determine which of the other projects should be subsumed within the normal planning cycle and become business as usual. Details on future plans for the AES programme can be found elsewhere on the agenda (**Paper E2**). Going forward, the work will need to be grounded in the wider strategy development work and the change management processes that are necessary to realise the University's future ambitions.

Growing Recruitment (International Focus)

13. Members will find a full student recruitment update in appendix 2. We have delivered an exceptionally strong intake of international students in Semester 1, surpassing budget, and also delivering greater geographical diversity. With a strong performance expected in January, we will have more than trebled our international fee income since 13/14 from £15m to £50m now anticipated in 21/22. The table below summarises the outperformance in Semester 1 where the number of new international students recruited in September was 40% above budget for Undergraduate (UG) and 38% for Taught Postgraduate students (TPG).

2021/22 Semester 1 International Matriculations			
	Budget	Matriculations	% growth above budget
UG	164	229	40%
PG	552	760	38%
Total	716	989	38%

14. In practical terms we have more than doubled international UG and TPG Semester 1 matriculations from 489 last year to 989 this year. This success reflects a post Covid bounce back, the new Graduate immigration route, and also strategic agility by Dundee over the last 12 months including dual mode teaching for international students, a sophisticated regional scholarships policy responding to the rise in South Asian and African applications and an early and decisive pivot of our recruitment model to the digital environment. The challenge is now to maintain our lead in that digital pivot, relationships with key platform partners and adequate in country support in key growth markets.
15. The Court will also wish to note the University has applied for accreditation to become a University of Sanctuary and that our School of Business has applied to become an AACSB accredited school which will further bolster our reach in recruitment.

Digitally Enhanced Campus

16. Since our last meeting of Court, good progress has been made with the development of our Digital Strategy. Over the previous month, the Digital Strategy Group have developed an overarching vision for a digitally enhanced campus based around our ambition to be a triple intensive university focused on research, education and enterprise and engagement. Given the significance of the digital agenda, and its criticality within our new strategy, members will note we propose it becomes an additional sub-strategy, as referenced in paper E1. The strategy will be the focus of our Court Briefing on 16 November and we look forward to stimulating discussion with Court that will help to shape the final version.

C. INTERNAL MATTERS

Equality Diversity and Inclusion

17. On October 26 2021 we submitted our application to the Race Equality Charter for the Bronze award. Despite the challenges associated with the pandemic, we believe the team have developed a robust application that marks an important milestone in our pursuit of racial equality. The amount of work required to get us to this point has been significant, with thanks to Professor Hari Hundal (Race Equality Charter Lead) and those who have contributed to such efforts.
18. The journey does not end here and the next step for us as leaders of the University is to ensure that the action plan is truly embedded within University operations and culture. We have been discussing at various meetings, including the recent Townhall on 3 November 2021, how we ensure institutional ownership of not only the findings but the actions that follow to enact meaningful change amongst our community and beyond. Court will wish to note that the University celebrated UK Black History Month throughout October and that the University Secretary and Senior Vice-Principal are developing a plan to better organise our University systems and coordination of EDI activity.

Environmental Sustainability

19. Our contribution to the environmental sustainability agenda is one that is close to our hearts. We are currently constructing a plan, which will include elements of resource to support our ambitions in this space. From 2022 all public bodies in Scotland will be subject to legally binding greenhouse gas (GHG) emission reduction targets in pursuit of net zero emissions by 2045. Acknowledging the nationally declared climate emergency and the urgency for action is very timely as we develop our new University Strategy, and in response a Climate Action Planning Group was established in August 2021 under the aegis of UEG and convened by the Vice-Principal (Research). It will commission a comprehensive carbon audit and coordinate the creation and oversight of a decarbonisation plan for all direct and indirect emissions (spanning estate energy generation and consumption, research and teaching activities, procurement, partnerships, staff and student travel etc.). Decarbonisation requires a systemic approach and effective collaboration across all staff, students, UEG and Court.
20. Members will wish to note that on October 25 2021 the Principal signed the Race to Net Zero for Universities and Colleges, an initiative supported by the United Nations Environmental Programme, joining over 800 institutions worldwide and 120 in the UK. Both the Vice-Principal (Research, Knowledge Exchange & Wider-Impact) and the Principal participated in the COP26 Climate meeting and colleagues across the University made significant contributions to debate both in the margins of and at the meeting. There are a number of partnership opportunities that have emerged for the University through these activities.

League Tables

21. The results of the 2021 UK league tables were disappointing, largely driven by the results of the National Student Survey (NSS). More broadly in the world rankings, we have maintained our position in the Times Higher World Ranking in the 201-250 banding and had a small drop in the QS World Ranking (move from 319 to 321). We continue to work to return nominations for academic reputations surveys that feature heavily in these ranking methodologies. A full analysis can be found in **paper J** of the agenda.

22. We are prioritising our efforts with regards to league tables and have developed clear action plans to achieve this. We will be working with schools at an institutional level to analyse our impact ratings to ensure our activity is sufficiently focused. In 2021 the University achieved fifth in the world and top in the UK for climate action and we want to sustain this. Our approach to league tables performance going forward will be one that is targeted, impact driven and aligned with the vision of our new strategy and delivery of our social purpose.

Stakeholder Engagement

23. Increasing our visibility and engagement with key partners remains a primary focus for the University. Highlights since our last report to Court include our recent visit from the Eden Project Board, as well as the Cabinet Secretary for Finance, focussing on how we can bring about mutual benefit for the City, meetings with NHS fife around how we further strengthen our relationship and a visit from the Scottish Cabinet Minister for Health & Social Care regarding our contributions to managing the pandemic.
24. With regards to the latter, the Minister was impressed with DUSA's efforts during the pandemic around vaccinations and indicated opportunity for future funding for student mental health activity. The University Secretary and Director of Student Services are currently coordinating the development of an investment proposal in this regard. The Principal also remains in active discussion with Scottish Enterprise around the concept of a Design Quarter and how we energise the concept of design around the City and promote retention of graduate talent as well as on the future ambition for our Bioquarter.
25. To support all our engagement activity, we have recently appointed a new Director of Communications and Public Affairs, Emma Shea, who will take up post on 1 January 2022 and will be responsible for taking forwards the University's communications strategy. She was previously the Deputy of Communications at the University of St. Andrews, responsible for leading student communications which played a critical role in St. Andrews strong performance in the National Student Survey (NSS) outcomes. She also served in government roles and has strong political networks that will help to champion our voice as a University.

Regional Development Strategy Board

26. Since the last meeting of Court, the Regional Development Strategy Board (RDSB) have been exploring projects within the Tay Cities Deal. The 'Life Sciences Innovation District' team are developing an options paper for development of, and investment in, the District for consideration by RDSB and ultimately UEG. In relation to 'Just-TECH', Research Innovation Services, Finance, Estates, and others are currently working together to produce focused proposals for 2-3 areas that will have clear regional impact. We are confident that both initiatives will drive the delivery of regional initiatives that will help to define Dundee's global reputation. At the RDSB's November meeting, we plan to discuss 'Creative & Cultural Industries', with focus on the vision for the Dundee design quarter. We look forward to updating Court regarding developments in this space.

Pensions

UODSS

27. The Principal has held several meetings with the unions regarding the University of Dundee Superannuation Scheme (UODSS). Three campus unions have held industrial action to protest the proposed changes, with Unite and DUCU specifying certain days and Unite taking continuous strike action. A mutual agreement was reached which would enable both sides to

return to negotiations with a focus on renewed exploration of options to remain an element of DB. This resulted in the joint statement from the Unions and the University.

28. We are committed to engaging constructively with the unions to find a solution that will provide a dignified retirement for staff, while remaining affordable for all parties. We intend to bring forward a further update to the February meeting at Court, which may include a recommendation for benefit change.

USS

29. As has been previously reported, the sector-wide Universities Superannuation Scheme (USS) is facing significant issues on risk and affordability. The statutory consultation regarding proposed benefit changes to USS started 1 November 2021 and runs until 17 January 2022. This seeks comments from affected employees and unions on:
 - the Joint Negotiating Committee (JNC)'s recommended package of benefit changes, based on existing contribution levels and
 - the alternative contribution rates which will take effect from 1 April 2022 if the changes recommended by the JNC are not implemented before then. The alternative rates significantly increase up to 18.8% for employees and 38.2% for employers by October 2025.
30. UCU have recently obtained a mandate for industrial action at Dundee regarding both the USS and pay disputes. At this point we have not had notice of that action commencing. Our Strike Action Mitigation Group remains in effect to manage risk associated with both pension schemes as well horizon scanning in relation to our overall organisational change programme.

Academic Matters

Academic Year 2022/23

31. Following a period of consultation, on 13 October 2021 the Senate received a collation of the consultation responses and a paper from UEG setting out the preferred option for Academic Year 2022/23 which had the full support of all the Deans. This option would see the 2022/23 Academic Year mirror that for the current year (2021/22), meaning teaching for the 2022/23 would begin on 26 September 2022, a two-week delay on the structure that had been in place prior to the Covid 19 pandemic. This option was felt to be a pragmatic compromise in the face of ongoing uncertainty caused by Covid 19 and the potential disruption to core business, particularly in the recruitment of overseas students.
32. At the meeting some senators raised concerns about the pressures of a shortened semester 1, and so it was agreed that there would be a short further period of reflection, before a decision could be reached for recommendation to Court. The UEG has reflected on the concerns and has further sought the advice of Deans. On that basis, the UEG believes that the proposals as originally presented to Senate should be implemented, and the Principal, as Chair of the Senate, has written to Senators.
33. Since the dates of the Academic Year are a matter reserved to Court on the recommendation of Senate, the Court is now therefore invited to approve the proposal that teaching for the Academic Year 2022/23 begin on Monday 26 September 2022. The timing for subsequent years will be reconsidered in due course, once the lingering consequences of Covid 19 are clearer.

Teaching Arrangements & Covid Outlook

34. With Semester 2 on the horizon, we have been diligently planning for student's arrival in January 2022. Following our disappointing NSS results we are determined to improve our student experience which is inextricably linked to our ability to provide face-to-face teaching. Our most recent student pulse survey shows a vast improvement in student satisfaction since increasing our provision of face-to-face teaching. With this in mind, we have allowed for maximum class sizes of 80 (up to 100 in exceptional circumstances) and have implemented 0 social distancing- an approach similar to that of other institutions across Scotland.
35. Looking outwards, vaccination uptake appears to be high in students across Scotland and hospital admissions appear to be plateauing. The government remain cautious regarding potential rise in cases over winter. We remain in regular contact with the government with regards to guidance and any potential restrictions that would impact the sector.

Senior Appointments

36. We have made a number of senior appointments since our last report that will be crucial in both taking forwards the University's organisational change agenda and supporting the wider goals of the University Strategy.
37. On the 27 September 2021 we appointed an Interim Director of Human Resources & Organisational Development, Patricia Matheson, who will be responsible for leading our organisational change agenda and helping us to coordinate the People elements of our strategy. Our new Senior Vice-Principal, Professor Shane O'Neill also joined us on 1 October 2021 and will lead a broad and important portfolio, including line managing our Deans and ensuring the University's strategic priorities, including the Academic Excellence and Sustainability programme, are implemented successfully across our Schools. We are also delighted to have conferred the much-deserved title of Professor on Wendy Alexander.
38. Finally, we would like to congratulate Dr Christine Milburn in her new role as Head of Principal's Office where she will be responsible for supporting the Principal in driving forwards his strategic objectives. I am sure the Court will wish to thank Christine for her dedication and support over her ten years plus of service to the Court and wish her success in her new role.

Awards and Accolades

39. A full list of awards and accolades can be found in appendix 4, however the Court will wish to note that the University has been shortlisted for several Times Higher Education (THE) awards, including Business School of the Year and Leverhulme Centre for outstanding public engagement. We are also shortlisted for THE Datapoints award, this year with a focus on climate impact and sustainability. We hope to return to Court with positive news following the Awards Ceremony on 25 November 2021.

D. EXTERNAL MATTERS

Scottish Funding Council

Review of Coherent and Sustainable Provision (SFC) UK Government Response

40. The Scottish Government set out their response to the Scottish Funding Council (SFC) Review of Coherent and Sustainable Provision, welcoming the review and were noted to broadly accept and agree with the [recommendations](#). We are currently considering the implications

of the response for the University however it appears that the most significant impact will be regional collaboration which we strongly welcome. We hope that the Scottish Government and SFC can work with Universities to further bolster our collaborations with the region such as Eden Project and the Dundee design quarter.

41. We remain overall disappointed with the outcomes of the review and the government's response does not add much in the way of transformation for the higher education sector nor us as a University.

Visit from Mike Cantlay, Chair of SFC

42. Reflecting on our recent visit from Mike Cantlay, Chair of the Scottish Funding Council (SFC) on 2 November, UEG were pleased to note that the Chair was increasingly familiar with the University and aligned on several matters such as approach to graduate apprenticeships and focus on the research agenda. Our communications plan following the meeting is consistent with the actions suggested by the Court and we are keen to build on the dialogue developed thus far to ensure the University's ambitions are understood and championed.

E. PRINCIPALS CLOSING REMARKS

43. The Court Retreat in September marked a watershed moment in developing our future strategy and direction. The focus of UEG's work since the Retreat has been on developing a sustainable approach to delivering long term change that allows us to deliver on our ambitions. We have made good progress on putting together the elements for such successful change and several of the papers on the Court agenda today, once implemented, are intended to power such change. The plan is developing, but there are hard yards now to be delivered in a way that captures hearts and minds as well as delivering on strategic intent.

Appendix 1, Annex 1

Academic Excellence and Sustainability Programme Update

- Members will find below a RAG rated update of the Academic Excellence and Sustainability programme, pertaining to the five original constituent projects. Teaching Excellence, Research Excellence, Staff Excellence, Biomedical and Combined School. The table gives a sense of progress to timelines and reminds Court of the expected deliverables; it also provides an overarching RAG rating for each project. Fuller reports for each project were considered by the Oversight Board at its meeting on 28 October 2021.

Project: Teaching Excellence**Lead: Blair Grubb****Duration: 20/11/2020 – 30/01/2023****Project Deliverables: £2.5 (collectively with Research Excellence)**

RAG Status	Update	Commentary
	<ul style="list-style-type: none"> Curriculum Design Principles toolkit under development Strategic Planning finalised the Teaching Portfolio Review Dashboard (student FTE/Income) launched RAG rating of all existing programme and modules in portfolio provided by schools – VP(Education) to query some poorly performing programmes that are being retained by individual schools. Meetings (x10) completed between VP(Education), Strategic Planning, and SEGs (3rd/4th week July) to introduce Teaching Portfolio Review Dashboard - schools asked to complete baseline RAG rating of all programmes and modules by ~3rd week of August (subsequent annual review). Received initial IDP Connect market insight data on emerging markets – plan share with schools to initiate discussions on future portfolio development. 	Project remains on track. Although schools returned the stage 2 data/RAG rating by the deadline (end Aug), further information is required which has set dates back slightly.

Project: Research Excellence**Lead: John Rowan****Duration: 01/03/2021 – 30/01/2023****Project Deliverables: £2.5 (collectively with Teaching Excellence)**

RAG Status	Update	Commentary
	<ul style="list-style-type: none"> Worked with individual workstream leads to define deliverables and milestones for next report Further work linking Workload Allocation Model allocations to performance expectations captured in Annual Research Review (ARR) was completed and report discussed All workstreams have completed their analysis and recommendations (completion of Research Excellence Group Phase 1). These have been consolidated to inform the deliverables and 	<p>Next steps will involve ensuring linkage between school research strategies and overall research strategies and developing an action plan with all School SEG's.</p> <p>Groundwork completed to developing a range of important objectives for each workstream.</p>

	milestones going forward, which will be overseen by the Research Excellence Group.	
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Project: Staff Excellence**Lead: Patricia Matheson/Shane O'Neill****Duration: 21/03/2021 – 31/12/2021****Project Deliverables: High Performance Community**

RAG Status	Update	Commentary
	<ul style="list-style-type: none"> Discussions held with VP (Research) on ARR and integration into OSaR Induction practices across academic Schools collated for review Best practice in academic recruitment and web presence scoped Following feedback from UEG on academic recruitment and draft OSaR framework – the group will progress with the implementation of revised academic recruitment, but the revised OSaR framework will be delayed until next OSaR cycle (2022/23) OSaR framework shared with small group of academic “users” for feedback Updated recruitment framework shared with unions for feedback/consultation 	Project on track, although a lot of work is required for the group, requiring HR expertise (limited capacity) which has potential to impact on timelines and deliverables.

Project: Biomedical**Lead: Rory McCrimmon/Inke Näthke****Duration: 01/01/2021 – 30/09/2023****Project Deliverables: £3m**

RAG Status	Update	Commentary
	<ul style="list-style-type: none"> Paper issued to UEG with proposal for Part A – relocation of the MSRU to City Campus. Group established to perform detailed planning of work transfer from Ninewells to City Campus. Investigation into simultaneous relocation of Neuroscience based research with MSRU underway (essential this is located in close proximity i.e. same building to animal facility) New TPG Course provision agreed and launch planning underway Efficiencies: Work to improve teaching efficiencies continues for BBSE/BMSc modules Potential relocation of research to City Campus Continued development of a plan for future joint collaborations focussing on key themes. Joint Cross-School commercialisation group met, establishing priority areas of focus. Business Change & Process Communication: AES Biomedical SharePoint site created to keep staff briefed. 	<p>Progress continues to be made on all workstreams, particularly in relation to relocation of MSRU.</p> <p>Risks involved with regards to ability to relocate electrophysiology simultaneously with MSRU. The Group and AES Oversight Board continue to monitor these risks at each meeting.</p>

Project: New Combined School
Lead: Shane O'Neill
Duration: 01/01/2021 – 30/09/2023
Project Deliverables: £3m

RAG Status	Update	Commentary
	<ul style="list-style-type: none"> • Second part of staff Consultation launched with Design Sprints and Division/Discipline Strategy Meetings now underway – these will run through to Jan 2022 • NCS name agreed and approved – ‘School of Humanities, Social Sciences and Law’ • IDP Connect market insights report released • NCS recommendations paper shared with UEG • Draft PS structure has been developed to share for consultation 	<p>Project is making good progress and on track.</p> <p>The next three months will focus on development of communications strategy, working through Design Sprints and begin working on detailed comprehensive analysis based on NCS recommended decisions paper (approved by UEG).</p> <p>We will also be initiating recruitment for appointment of substantive Dean and to confirm PS re-organisation.</p>

Appendix 1, Annex 2

Student Recruitment Update

2021/2022 Matriculation Position

1. Although official final figures will not be released until later in November, we are now able to confidently comment on our September 2021 intake position. We have:
 - a) met UG Scottish caps
 - b) exceeded UG RUK and Overseas budgeted intake by 32% and 40%
 - c) exceeded the PGT Overseas budgeted intake by 38% but narrowly missed the PGT Home budgeted intake by 3%
 - d) almost met our 2021/22 Partnership budgeted intake and expect to meet this in January
2. Although it is early in the cycle, Overseas PGT S2 numbers are positive and we have early confidence in exceeding our Overseas PGT S2 budget target
3. We are on track to meet 2021/22 PGR targets for Home and Overseas, noting we can comment with greater confidence later in 2022.
4. A summary of confidence against Open, Partnership and ICD 2021/22 budget expectations is provided in table 1, below. Overall ratings remain in line with the last update.

Table 1: Open Recruitment Confidence against 2021/22 budgeted intake

	2021/22		Scottish	RUK	Overseas
Open	Undergraduate	Controlled			
		Uncontrolled			
	PGT				
	PGR				
Partnership			n/a		
ICD			n/a		
Key					
Do not expect to meet budget					
Uncertain					
Expect to meet budget					

2022/2023 Recruitment

5. While it is too early to comment with confidence on the 2022/23 application position, we can offer the following insights on overseas trends for 2022/23 entry:
 - a) South Asia and Africa regional groups expect continued growth
 - b) East Asia growth is currently forecast at a lower level than desirable, so mitigation actions are primarily in this space
 - c) Nonetheless we anticipate 2022/23 budgeted intakes for overseas are achievable across UG, PGT and PGR, but with some risk for PGT because of level of risk around East Asia and the pace of recovery from that market.

6. We continue to assess options to mitigate international recruitment risks and to allow our continued pivot towards a digital-first approach in overseas recruitment. We also continue to work on key incremental enhancements to the pre-matriculation customer journey, including enhancements to demonstration of ROI to students (specifically employability) on the University Course Pages, and enhancement of the Business course pages, as part of a rolling programme to enhance key course pages.

Appendix 1, Annex 3

Research and Related Grants

1. The selection of grants and awards detailed below is intended to showcase the diverse range of research undertaken across the University which is 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.
2. Members can find a full list of research grants and awards since the last reporting period in the [‘Supplementary Information’](#) folder.

A. Research Award Highlights

- (i) **Professor P G Wyatt (Life Sciences)**
Global Health Chemical Diversity Library V2
£1,263,138 (including £90,435 overhead) from Bill and Melinda Gates Foundation
- (ii) **Professor B H Smith (Medicine)**
Partnership for Assessment and Investigation of Neuropathic Pain: Studies Tracking Outcomes, Risks and Mechanisms (PAINSTORM) - (Joint with Universities of Oxford, Ghent and Aberdeen, Imperial College London and King's College London) (Advanced Pain Discovery Platform)
£919,905.20 (including £373,707.17 overheads) from the Medical Research Council

Neuropathic pain, caused by nerve damage or disease, is a particularly unpleasant and persistent type of pain, which does not respond to standard analgesics. We still have limited understanding of the biopsychosocial mechanisms underpinning its development and progression, and thus of the reasons for the wide individual variation in its onset and severity. PAINSTORM is a collaboration of pain clinicians and scientists and patient partners living with neuropathic pain. The PAINSTORM consortium will apply a range of clinical, epidemiological, physiological, sociological, psychological, neuroimaging and expressive techniques to new and existing clinical cohorts of people at risk of developing neuropathic pain, to understand factors associated with its onset, development and resolution to inform both general and targeted treatment and prevention of neuropathic pain.

- (iv) **Professor P R J Birch (Life Sciences)**
Control of Temperature Dependent Plant Development Through RNA Thermoswitches (University Research Fellowship)
£669,657 (including £323,670 overhead) from Royal Society
- (v) **Professor D A Cantrell (Life Sciences)**
Characterisation of Microglial Proteomes During Neurodegeneration
£457,171 from UK Dementia Research Institute

Dr Andrew Howden in School of Life Sciences and the UK Dementia Research Institute are working together to understand the links between the immune system and Alzheimer's disease. Using the School of Life Science's world leading mass spectrometry facilities, they aim to analyse in detail immune cells in the brain to understand the role they play in Alzheimer's disease. This work will generate valuable new knowledge and insights which could be used to develop new drugs to treat neurodegenerative diseases.

(vi) Professor I S Mackenzie

Real World Handling of Protein Drugs - Exploration, Evaluation and Education (RealHOPE) (joint with Research Institutes of Sweden (lead), Centre for Process Innovation Limited, Lund University, University College London, University of Padua and 10 other organisations)

£444,396 (including £121,909 overhead) from EC - IMI - Innovative Medicines Initiative

The RealHOPE project is a 4-year collaborative project investigating and improving the real-world handling of protein drugs (which include important drugs like insulin and monoclonal antibodies used to treat inflammatory conditions) – by distributors, pharmacists, healthcare workers, patients, carers and others. The aim is to improve understanding and prepare educational materials to ensure that these drugs can be handled optimally at all stages to ensure stability and ultimately clinical efficacy and safety for patients.

(vii) Dr M J Brown (Science and Engineering)

Cable Burial Goldilocks: How Deep Is Deep Enough? (Joint with Durham University and British Geological Survey)

£390,572 (including £239,597 overhead) from Engineering and Physical Sciences Research Council

Offshore Wind (OSW) is critical for the UK's economy and energy security. Despite the growing maturity of the OSW sector, certain elements of the installed infrastructure remain problematic. Subsea cables account for 75% all claims associated with offshore wind farms. To avoid damage from anchors these are buried. Cable burial depth is a compromise between economic cost and risk to cable damage but still failures occur. Building on 15 years of seabed burial research at UoD a better cable burial toolkit for industry will be created.

(viii) Dr R P Hickerson (Life Sciences)

Novel Antisense Technology for EB – Optimizing Exon Skipping in Human Skin
£153,779 from DEBRA UK

Patients with the genetic skin disorder EB suffer from extremely fragile skin that blisters easily because a key protein that holds the layers of the skin together is missing. We are deploying small RNA-based molecules that allow us to bypass the genetic mistake that causes EB in order to restore the missing protein to promote stronger and less fragile skin.

(viii) Dr M E J Cutler (Social Sciences)

Anti-Trafficking Support System for Uganda's Sustainability (ATSUS)
£77,213 (including £24,291 overhead) from UK Space Agency

Founded upon a long-standing collaboration between researchers in Geography and Makerere University, Uganda, the ASTUS project (Anti-Trafficking Support System for Uganda's Sustainability) was funded by the UK Space Agency International Partnership Programme. In collaboration with the Rights Lab (Univ. of Nottingham), BAE Systems and NGOs in Uganda, human and physical geographers at UoD engaged with key stakeholders to examine the potential of a satellite-based system for supporting NGO and government decision making and policy, and contribute to reducing human trafficking in East Africa.

- (x) **Dr S Wilson (Duncan of Jordanstone College of Art & Design)**
Chemical Recycling of Electronic Waste to Deliver Metals with Provenance for Industry and Artisanal Jewellers in India (Joint with University of Edinburgh & National Institute of Design, India)
£33,903.54 (including £6,780.71 overhead) from Engineering and Physical Sciences Research Council

This EPSRC funded two-year research project develops a new metal supply chain for rural artisanal jewellers in India. Electronic waste is one of the fastest growing waste streams in the world and India is the world's 5th largest e-waste generator. We are delivering workshops with jewellers to develop the techniques required to fabricate high-value jewellery from e-waste metals. Exhibition pieces will be generated and displayed in India and the UK. This programme of research brings together leading academic researchers from the Universities of Edinburgh and Dundee in the UK, and Indian Institute of Technology (BHU) Varanasi and the National Institute of Design, Ahmedabad in India.

Appendix 1, Annex 4**People and Prizes**

1. Below is a summary of the awards and prizes that have been achieved by our University of Dundee community since the writing of our last UEG report to Court.

Royal Society of Edinburgh Sir James Black Medal

2. The University of Dundee's Professor Roland Wolf has been awarded the Sir James Black Medal by the Royal Society of Edinburgh for his outstanding work in helping to ensure the safety of drugs used to treat a wide variety of diseases. The RSE recognises excellence across a diverse range of fields through its annual medals programme. The Sir James Black Medal is the RSE's major prize for life sciences researchers in Scotland. Professor Wolf's work has been truly transformative, and we congratulate him for such achieving such prestigious award.

Academy of Social Sciences Fellowship

3. Professor van Blerk, of the University's Geography and Environmental Sciences discipline, is among 75 leading social scientists who have been conferred in this year's cohort of new Fellows. All were recognised for their outstanding contributions to research and application of social science to policy, education, society and the economy.
4. Professor van Blerk's research on social justice and equality mainly focuses on young people around the world, empowering some of the most marginalised members of society to advocate for their rights, leading to national and global policy changes. Her research is a great example of our community enacting our social purpose and is a fantastic achievement.

2021 'Movers and Shakers'

5. Isla Mackenzie, Professor of Cardiovascular Medicine at the University's School of Medicine, features in the Movers and Shakers in BioBusiness 2021 report for her work in increasing diversity and inclusion in clinical trials. Her team published best practice guidelines for remote decentralised clinical trials as part of the 'Trials@Home' project funded by the Innovative Medicines Initiative, with these recommendations now widely consulted internationally.
6. Recognised for their outstanding contributions to research and application of social science to policy, education, society and the economy. Professor van Blerk's research on social justice and equality mainly focuses on young people around the world, empowering some of the most marginalised members of society to advocate for their rights, leading to national and global policy changes. Her research is a great example of our community enacting our social purpose and is a fantastic achievement.

Top Tech Talent Award

7. Computing Science student, Ryan Anderson, at the University of Dundee has been awarded the Best Engineering Award for his gyroscope- based offline calibration and stabilisation for first person view (FPV) drone videos. The YSE awards are an annual reminder of the great innovation and dedication of our up-and-coming tech talent in Scotland, and we are delighted one of our own students has been recognised.

Appendix 1, Annex 5**University Executive Group Meetings**

1. The University Executive Group has met formally on 15 September, 22 September, 6 October, 20 October, 27 October, 3 November and 10 November. The following items were considered:

A. HUMAN RESOURCES MATTERS

- Equality, Diversity and Inclusion: Race Equality Charter, Athena Swan
- Reward and Recognition
- Voluntary Severance Scheme
- People & Talent Strategy
- Industrial Action

B. FINANCE MATTERS

- Pensions (UoDSS, USS)
- MRSU Costing
- Strategic Finance Map

C. STRATEGIC MATTERS

- University Strategy (and Sub-Strategies)
- UEG Priority Dashboards
- Academic Excellence and Sustainability
- IDP Connect Market Analysis
- Planning Process 2022/23
- Strategy KPI's
- Change Management Roadmap
- Environmental Sustainability

D. ACADEMIC MATTERS

- Semester 2 Arrangements
- 2022/23 Academic Year

E. RECRUITMENT MATTERS

- Admissions Updates
- AACSB Accreditation

F. RESEARCH AND ENGAGEMENT MATTERS

- Research Capital Plan
- Annual Research Review
- Research Grants and Targets

Appendix 2

UNIVERSITY OF DUNDEE
AUDIT & RISK COMMITTEE MINUTES

A meeting of the Committee was held on 26 October 2021.

Present: Keith Winter (Convener);
Colin Clunie; and
Tricia Bey.

<u>In Attendance:</u>	Professor Wendy Alexander Richard Bint Peter Fotheringham Dr Neale Laker Patricia Matheson Dr Jim McGeorge Dr Christine Milburn Olga Potapova Carol Prokopyszyn Stephen Reid Dr Liz Rogers Kenny Stewart Neil Thomas	Vice-Principal (International); Convener Finance & Policy Committee; Deputy Director of Finance; Director of Academic & Corporate Governance; Interim Director of Human Resources & Organisational Development; University Secretary; Senior Policy Officer (Corporate Governance); EY; Director of Finance; EY; Risk & Business Continuity Manager; Policy Officer (Corporate Governance); and KPMG.
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Apologies: Andrew Lothian; James Lucas KPMG and Charlotte Pitts-Humphries KPMG.

1. MINUTES

Resolved: (i) to approve the minutes from the meeting of 10 August 2021.

Resolved: (ii) to approve the reserved minute from the meeting of 10 August 2021.

2. MATTERS ARISING

(1) Action Log

The Committee noted that the scheduled item on cybersecurity would be discussed under item 12.

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

3. CONVENER'S REPORT

The Convener provided the Committee with an overview of his activities since the last Committee, and in doing so highlighted that he had sent letters of thanks to Lady Lynda Clark and Karen Bassett for their membership of the Committee, which had come to an end.

The Convener also informed the Committee that he had missed the Court Retreat in September 2021 and noted that colleagues had provided relevant updates from it.

The Convener further wished to bring to members' attention development opportunities through Advance HE.

Resolved: to note the update.

4. BUSINESS TRANSFORMATION UPDATE

[Secretary's note: Members should note that this item is considered strictly confidential. The University claims the exemptions in Sections 30b and 30c and 28 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) Draft Internal Audit Annual Report

The Committee considered the draft internal audit annual report 2020/21. The report summarised internal audit activity during the 2020/21 academic year and provided the University Court and the Principal, through the Audit & Risk Committee, with reasonable assurance on the system of internal controls. Management had accepted the draft document with no amendments, and the draft status would be removed once KPMG confirmed no further amendments.

The report provided significant assurance with minor improvement recommended, providing a positive assurance of work over the last 12 months.

Resolved: to note the Draft Annual Audit Report.

(2) Overall Progress report

The Internal Auditor introduced the Internal Audit Progress Report which provided an update on follow up findings for quarter four and progress made against the Internal Audit plan for 2020/21. The report summarised key points to be drawn to the Committee's attention, noting 11 high priority actions to be implemented. The report identified an existing management action which concerned the absence of an interim control for a programme of high-risk laboratory inspections in the Health and Safety Audit

The Convener noted concern about the inspection report gap for laboratory inspections which had been listed for a number of months. The Committee resolved to seek further assurances from the Health, Safety and Welfare Committee that inspections activity was being followed up and shared with the Committee at a future point.

The Committee received assurance that inspections were being undertaken and that the requested control was to receive regular timely reports which record this activity. Members were reassured that inspections were taking place and that the issue at hand was in relation to the implementation of a database to record inspections.

Members noted the progress chart issued as part of this report provided a useful illustration of progress to members and gave a sense of focus on priority areas for implementation. The Committee also noted the slight improvement in outstanding areas of action shown in the progress chart.

The report considered internal audit progress in the HRP Implementation and noted the lack of a clearly defined Target Operating Model statement to guide implementation of the HRP system. The Committee was informed by the University Secretary that part of the remit of the newly appointed Interim HR Director was to consider the configuration of the HR team to look at specialisms and to conduct a further review of processes which supported HRP. The Committee also noted the later implementation dates for the HRP module recommendations.

Resolved: (i) to ask the Health, Safety and Welfare Committee to provide a schedule of inspections to the Committee as an appendix to meeting minutes.

(3) Academic Performance Review

The internal auditors introduced an audit report on the Academic Performance Review (APR), which focussed on the Objective Setting and Review (OSaR) process. The report provided an overall assessment of significant assurance with minor improvement opportunities. Members noted that the rating was driven by a number of medium priority recommendations in relation to the design of the OSaR process, KPI reporting and the lack of linkage to other processes which relate to academic performance, such as the Annual Review of Research (ARR) and the Workload Allocation Model (WAM).

The Committee acknowledged that the OSaR process was a highly devolved paper-based system and further development work was required to allow fuller staff engagement.

The Committee acknowledged that completion of the recommendations would rely heavily on the successful implementation of HRP. This would provide an electronic repository which would allow greater managerial oversight and staff interaction. Further clarification was also sought from UEG on its approach to and understanding of academic performance Review and personal development processes.

Resolved: to seek further clarity from UEG on its approach to and understanding of academic performance review.

6. RISK REGISTER

The Audit & Risk Committee was invited to review and comment on the Institutional Risk Register, which had been updated following discussion with risk owners and noting discussions that had taken place at the Risk Management Oversight Group.

The main positive change was the de-escalation of Risk 3 'tuition fees' where the inherent and residual risk scorings had been reduced following positive outcomes in relation to international student recruitment and fee income for 2019/20.

The report also highlighted an escalated risk score for Risk 11 around the failure to meet government or society expectations around mechanisms to reduce the University's impact on climate change. The Committee noted that a Climate Action Group had been established in August 2021 and would meet monthly.

Risk 7 'staff' had been escalated as 'high priority', which followed a horizon scanning exercise carried out by the Risk Management Oversight Group which noted likely industrial action. Members agreed that the risk contagion report should be shared with the Committee at the earliest opportunity to continue to track this risk as part of the Committee's formal agenda.

The Committee also considered the number of items contained within Risk 2: Organisational change. Members recognised that the items might benefit from being disaggregated to allow for closer scrutiny, noting also that many were likely to be addressed through the AES programme, but not all.

Members agreed that it was reasonable for the Risk Management Oversight Group to revisit Risk 2 in its entirety and seek to identify risks more precisely and potentially distil into a different package of risks.

Resolved:

- (i) to note the Risk Register;
- (ii) to recommend review of Risk 2 by the Risk Management Oversight Group and to receive a future update at the March meeting of the Committee; and
- (iii) to consider the risk contagion report at the March meeting of the Committee.

7. COVID RISK REGISTER

The Audit & Risk Committee considered the COVID-19 Risk Register which was reviewed by the COVID-19 Silver Operations Group at its meeting on 5

October 2021.

The risk scorings for risk 3 'failure to maintain a positive student experience for the duration of the crisis' and risk 4 'impact of COVID-19 on learning & teaching delivery model' were reduced due to the fact that more activity had taken place on campus, which included face to face teaching and social activities.

The risk of infection to staff and student could be reduced due to the higher rate of vaccinations. The Committee noted that fewer students were currently testing positive for Covid-19.

The Committee discussed moving the COVID risk register back into the institutional risk register. The Committee agreed that the Covid Risk Register would remain in its current form, due to the relatively high number of cases in the Dundee local authority area. The Committee agreed that the Covid Risk Register continued to be a useful tool to track government guidance and threats from potential variants.

The Operations Group would keep the register under review and provide a future update which would include a recommendation on when the risk registers could be merged.

Resolved: to note the Covid-19 Risk Register.

8. RISK APPETITE

The Director of Academic & Corporate Governance delivered a paper on the University Risk Appetite Statement (RAS). The paper set out a high-level assessment of the degree of risk the University was willing to seek or accept in pursuit of its strategic objectives. The document was a framework within which the University could make decisions about its future in the full understanding of the risks that it might run as a result and should be used in conjunction with the University's strategic risk register. The RAS also included reflection on the consequences of not taking risks.

Members noted that the RAS had been viewed positively at Court Retreat and agreed with the approach to seeking risk in pursuance of University objectives. The Committee further reflected that this had been noted in the upgrade to the top risks listed in the RAS table.

The Committee were notified that the current version was to be considered by UEG at a future date

The Committee recommended that Court consider the University's risk appetite in conjunction with the Risk Register, to provide reassurance that change in the University's better interest have had prior risk identified

Resolved: (i) to include RAS on future to the agenda of future Audit & Risk Committee meeting agendas as an item for discussion and review in conjunction with the Risk Register; and

- (ii) the Convener would undertake further discussion with Colin Clunie on approaches to risk appetite.

9. PROJECT MANAGEMENT

The University Secretary provided a verbal update on the development of project management processes in Estates and IT, in particular focusing on the development of common approaches and project delivery.

Resolved: to note the Project Management update.

10. FINANCIAL REVIEW OF THE YEAR

The Deputy Director of Finance presented the financial review of the year ended 31 July 2021, which included the University's cash position, income and expenditure, the financial position by School and a review of the University as a going concern.

The Deputy Director drew members' attention to ongoing processes which would influence the finalisation of the financial statements, and the Committee noted that if any amendments were required, these would be highlighted to the Committee in advance of the submission of the Statements to the Court. The Committee were assured as to the robustness of the processes leading to the production of the financial review and financial statements.

The Committee went on to discuss performance relative to the 2020/21 budget, in particular aspects relating to international student recruitment, and were pleased to note that forecasts indicated that the University remained within the projections and contingencies approved by the Court.

The Committee noted the better expected results for the year and a more promising budget outlook for future financial year.

- Resolved:**
- (i) to endorse the financial statements to the Court for approval, subject to the circulation of any amendments required by the external auditors; and
 - (ii) for its part, to advise the Court that the University should be considered a going concern.

(2) External Audit Annual Report & letter of those charged with governance

The external auditors, EY, presented their annual report to the Committee. In addition to the impact on the financial statements themselves, the report noted the disruption caused by Covid-19 and that it continued to present a risk to management's ability to produce financial statements and the external auditor's ability to complete the audit to the planned timetable. As with the 2019/20 audit, the risks related to Covid 19 were mitigated by additional audit procedures to respond to these risks.

The Committee were pleased to note the external audit report.

- Resolved:**
- (i) to note the external audit report, subject to the circulation of any amendments required by the external auditors once their work was complete;
 - (ii) to approve the letter of representation for signature by the Chair of Court; and
 - (iii) to agree the going concern basis is appropriate for the financial statements and recommend this to Court.

11. FINANCIAL STATEMENT ON SUBSIDIARY COMPANIES

The draft financial statements of the subsidiary companies for the year ended 31 July 2021 were presented to the Committee. The companies included in the statements were the Dundee University Incubator Limited, Dundee University Utility Supply Company Limited and University of Dundee Nursery Limited.

The Committee was informed that Dundee University Project Management Limited ceased trading on 30 June 2021. The Incubator was expected to do likewise during the 2021/22 academic year.

Resolved: to note and approve the financial statements of subsidiary companies.

12. DRAFT AUDIT & RISK COMMITTEE ANNUAL REPORT

The Committee considered a draft of the annual report to Court which would also be submitted to the Scottish Funding Council. The Committee were content with the report and were minded to approve the report for submission to the Court and the Scottish Funding Council.

The Committee requested an amendment to note that Committee Business had been conducted virtually by Microsoft Teams.

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

13. COMMITTEE OPERATIONS

(1) Draft Schedule of Committee Business 2021/22

The Committee reviewed a draft schedule of Committee business for the 2021/22 academic year. Discussion focused around the importance of updates to each meeting on risks relating to COVID-19. The Convener invited members to provide any further feedback on the workplan to him via email or via the Clerk to the Committee.

The Committee agreed to schedule an in-person meeting for December 2021 to take forward its commitment to deep dive on Cybersecurity.

- Resolved:**
- (i) to endorse the workplan;
 - (ii) to schedule a meeting of the Audit & Risk Committee in December 2021 to carry out a deep dive on the issue of Cybersecurity.

(2) Review of the Remits and Terms of Reference

The Committee reviewed its Remit and Terms of Reference (**Appendix 1**) which followed the adoption last year of amendments largely focused on recommendations arising from the review of the CUC Higher Education Audit Committees Code of Practice.

Resolved: to endorse the Remit and Terms of Reference.

(3) Reserved Business: Annual Review of Committee Effectiveness from Court

The Committee reviewed data relating to the effectiveness of the Committee from the annual Court effectiveness questionnaire. Members noted feedback had been consistently positive and were content to note that issues raised in previous annual reviews had been addressed.

The Convener confirmed that one-to-ones with other lay members of the Committee were undertaken. The Committee noted the requirement for its work to retain a strategic focus.

The Committee also noted the work of the Risk Management Oversight Group on horizon scanning and viewed this as a potential template for Officers to be alert to new developments of interest to the Committee.

Resolved: to note the update.

14. **LEGAL RISK REPORT**

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

The Committee reviewed the legal risk report from the Director of Legal.

Resolved: to note the update.

15. **NARRATIVE FOR COURT**

During the meeting it was agreed that the Convener's report to Court on 16 November 2021 would include the following: progress on the research strand of the Business Transformation project and the delay in the implementation of the HRP module until

April 2022; the internal audit report with particular reference to laboratory inspections; the de-escalation of key risks in the institutional and Covid 19 risk registers; the approval of the financial statements and going concern report; the commitment to a Cybersecurity deep dive at an additional meeting of the Committee to be scheduled for December 2021.

16. RISK MANAGEMENT OVERSIGHT GROUP MINUTES

The Committee reviewed minutes from the Risk Management Oversight Group meeting on 1 September 2021.

Resolved: to note the minutes of the Committee.

17. HEALTH, SAFETY AND WELFARE COMMITTEE MINUTES

The Committee reviewed minutes from the Health, Safety and Welfare Committee meeting on 1 September 2021.

Resolved: to note the minutes of the Committee.

18. AOB

The Convener noted that he would schedule a briefing with Andrew Lothian to review items discussed at the meeting.

19. DATES OF NEXT MEETINGS

Resolved: 17 December 2021 (in person - Cybersecurity review);
1 March 2022
17 May 2022
16 August 2022

Keith Winter
Convener

Appendix 2, Annex 1

UNIVERSITY OF DUNDEE
AUDIT & RISK COMMITTEE
Remit, Terms of Reference and Membership

Remit

To advise University Court in relation to its responsibilities for:

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

Membership

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

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

In Attendance

Convener of the Finance & Policy Committee
Vice-Principal (International)
University Secretary
Director of Finance
Director of Academic & Corporate Governance
Deputy Director of Finance
Internal Auditors
External Auditors
Other officers at the discretion of the Director of Finance

Secretary

Policy Officer (Risk & Audit)

Meetings

The Committee shall meet no less than 4 times in each session. One meeting each year will incorporate a private meeting of the Committee with the internal and external auditors without officers (other than the Secretary to the Committee) present. The Convener may request additional private meetings as deemed appropriate.

Quorum

Three members shall constitute a quorum.

TERMS OF REFERENCE

CONSTITUTION AND OPERATION

Membership

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

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

Authority

- The powers delegated to the Committee by the Court shall be as defined in the Schedule of Delegation.
- The Committee shall have full authority to undertake and review activities associated with any matters within its terms of reference. For the purposes of such activities it shall be provided with adequate resources and full access to information and University personnel.

- The Committee shall have authority to obtain, without prior approval, legal or other independent professional advice within a financial limit determined by the Court (currently £15,000).

Proceedings

The Committee shall usually meet no less than four times annually and shall report, through submission of the minutes of each meeting, to the next available meeting of the Court.

Each meeting of the Committee shall normally be attended by the University Secretary, Director of Finance, Director of Academic & Corporate Governance and, where business relevant to them is to be discussed, representatives of the internal and external audit services.

Other members of the wider University Management Group may be invited to attend meetings as and when appropriate, particularly when internal audits relating to their area of leadership and management responsibility are being considered.

The Committee's Secretary shall normally be the Policy Officer (Risk & Audit).

The internal and external auditors shall have unrestricted right of access to the Audit & Risk Committee and the Convener and the right to request that the Convener convene a meeting if necessary.

DUTIES AND RESPONSIBILITIES

Effectiveness and Financial Control

- To review the robustness of financial and other control systems and to ensure that the Court's policies on internal control are implemented by delegated officers.
- To ensure that all significant losses have been properly investigated, and that the internal and external auditors and the Funding Council have been informed if appropriate.
- To oversee the University's policy on fraud and irregularity, and to receive regular reports on any incidents of fraud.
- To oversee the University's policy for the prevention of bribery and corruption and the University's gifts and donations policy and to receive reports as appropriate on activity in this area.
- To monitor, annually or more frequently if necessary, the implementation of approved recommendations arising from both internal and external audit reports and management letters.
- To monitor the effectiveness of the internal and external audit services, including attendance at Committee meetings, and promote co-ordination between the two.
- To satisfy itself that suitable arrangements are in place to ensure sustainability, and to monitor the University's arrangements to secure value for money, whether these are made via internal or external audit or other means.
- The Committee shall review the audit plan and assess the appropriateness of the audit coverage of the University's activities over a cycle. Alternative means of assurance should be identified for areas not covered by internal audit.

Risk Management

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

Internal Audit

- To advise the Court on the approach to internal audit, including the appointment and remuneration of internal auditors.
- To consider and advise the Court on the internal audit needs assessment and the strategic and annual internal audit plans.
- To monitor the auditor's progress, operating over a rolling three-year planning cycle.
- To consider and advise the Court and the auditors on any issues arising from internal audit reports.
- To receive an annual report from the internal audit service, which should include an opinion on the degree of assurance that can be placed on the system of internal control.

External Audit

- To advise the Court on the appointment, remuneration, and independence of external auditors.
- To guide the external auditors on the nature and scope of the audit as necessary.
- To consider and advise the Court on external audit reports and management letters.
- To consider and advise the Court on the University's annual financial statements, ensuring the proper application of agreed accounting policies and the transparency and openness of reporting.
- To review the audit findings at the end of the audit cycle, including any changes in audit approach or any modification to the auditor's report.
- To exercise appropriate oversight over the audit of subsidiaries as well as the University itself.
- In line with the policy set out in Annex 2 to monitor any advisory or other non-audit work undertaken for the University by the external auditors, to ensure that their independence is not compromised.

Other

- To oversee the University's policy on public interest disclosure and receive reports on the outcomes of investigations of public interest disclosures.
- To receive routine reports from the University Solicitor on legal matters involving, or likely to involve, the University
- To ensure the University's compliance with the Funding Council's Code of Audit Practice.

- To receive and review other relevant sources of assurance and reports relating to audit prepared by the Funding Councils, National Audit Office, European Commission and other bodies, and to advise the Court as necessary.
- To make an annual report on the work of the Committee for submission to the Court and the Funding Council. The annual report shall include the Committee's opinion of the adequacy and effectiveness of the University's arrangements for risk management, control and governance, sustainability, economy, efficiency and effectiveness (value for money). The report shall also describe how the Audit & Risk Committee has discharged its duties and should include any significant issues arising during the financial year and the period up to the date of the report.
- To investigate any issues giving rise to the resignation or removal of the auditors, as detailed in any statement from the auditors to the Court, and to consider whether any action is required.
- Monitor annually the performance and effectiveness of external and internal auditors, including any matters affecting their independence and objectivity; performance against agreed programme, scope and time; attendance; staffing continuity, skills mix, quality and seniority of team; timeliness of engagements and reports; clarity and accuracy of reports, and effectiveness of follow-up of previous recommendations.
- Focus on risk and key issues; and openness in discussion with the Committee.

Appendix 2, Annex 1, Appendix 1**Membership 2021/22****Member's Name**

Keith Winter (Convener)
Tricia Bey
Colin Clunie
Andy Lothian

Category

Lay Member of Court
Lay Audit & Risk Committee Member
Lay Audit & Risk Committee Member
Lay Audit & Risk Committee Member

In Attendance

Prof. Wendy Alexander
Carol Prokopyszyn
Dr Neale Laker

Category

(Vice-Principal (International))
(Director of Finance)
(Director of Academic & Corporate
Governance
(Deputy Director of Finance)
University Secretary
(Policy Officer (Corporate Governance))

Peter Fotheringham
Dr Jim McGeorge
Kenny Stewart

Appendix 2, Annex 1, Appendix 2**POLICY ON USING EXTERNAL AUDITORS FOR NON-AUDIT SERVICES**

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

Statutory audit

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

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

Other work as auditors or reporting accountants

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

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

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

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

Tax advisory services

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

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

Merger/acquisition support

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

Other accounting advisory and consultancy work

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

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

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

Guidance

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

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

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

Appendix 3

UNIVERSITY OF DUNDEE FINANCE & POLICY COMMITTEE

A meeting of the Committee was held on 19 October 2021 via video conference.

Present: Richard Bint (Convener);
Alan Bainbridge;
Ronald Bowie;
David Dorward;
Professor Iain Gillespie (Principal & Vice-Chancellor);
Rebecca Leiper;
Professor Mairi Scott; and
Dimitris Vidakis (DUSA President).

<u>In Attendance:</u>	Tricia Bey	(Deputy Chair of Court);
	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);
	Cassie Masterton	(Executive Support Officer);
	Professor Shane O'Neill	(Senior Vice-Principal);
	Carol Prokopyszyn	(Director of Finance);
	Wesley Rennison	(Director of Strategic Planning); and
	Professor John Rowan	(Vice-Principal Research, Knowledge Exchange & Wider Impact).

Apologies: Keith Winter (Convener of the Audit & Risk Committee).

1. MINUTES

Resolved: to approve the minutes of the meeting of 3 August 2021.

2. MATTERS ARISING

Members noted the action log for the Committee.

Resolved: to approve the action log.

3. STRATEGIC FINANCE MAP: CONSIDERATION OF FINANCING REQUIREMENT FOR STRATEGIC INVESTMENT SCENARIO

The Committee considered a paper from the Director of Finance which set out the implications of a range of financial scenarios on long term financing requirements and the University's financial strategy. Members discussed the scenarios presented, appetite for debt in the pursuit of investment and the utilisation of the £40m realised from the recent sale of

shares. Members were strongly of the view that in order to remain a high performing institution, the University must seek to invest in critical projects such as digital, estates, net zero and reshaping the academic footprint over the next few years. With that said, members agreed that this investment must be phased selectively, over the long-term and be executed in a sequenced and prioritised fashion aligned with the University strategy.

In relation to risk, the issue of covenants was raised, particularly regarding net interest and the Committee agreed that caution should be applied to ensure that covenants were not prejudiced. Members agreed that the financial strategy requirement for borrowing to be limited to 40% of total income should be retained, but could be subject to review in due course.

In concluding the item, the Convener highlighted the strong support from the Committee for investment in high value projects in order to create a sustainable future for the University, while recognising that there may be elements of more operational spend, for example on the replacement of the district heating system.

- Resolved:**
- (i) to note the desire from the Committee to invest strategically over a long-term period;
 - (ii) to note the modelled scenarios for refinancing and associated implications; and
 - (iii) to note that a further iteration of the analysis would come forward to the March meeting of Finance & Policy Committee.

4. DIRECTOR OF FINANCE REPORTS

(1) Regular Report

The Director of Finance briefly introduced her regular report and drew members' attention to the recent successful flotation of the spin-out company, ExScientia, on the stock market. Members were reminded that the University had retained a 5% share in the company, but that agreed terms prevented the sale of this shareholding for a period of 180 days from the date of the IPO.

Turning to recruitment, the Director highlighted the University's strong performance and the potential to release contingency funds of £3.7m held in relation to international recruitment risks. However, the Director counselled the Committee to remain cautious until forecasts were fully confirmed.

- Resolved:**
- (i) to note the regular report from the Director of Finance;
 - (ii) to note discussions relating to shares retained in Exscientia; and
 - (iii) to note an update regarding the 2021/22 forecast would be brought forward in due course.

(2) UoDSS Update

The Principal updated the Committee regarding recent discussions with the Campus Unions. Members noted that, following discussions at the Pension Sub-Group meeting 14 October 2021, it had been agreed that the University Executive Group (UEG) should

explore alternative approaches (within the Court mandated cost and risk envelope) with a view to reengaging the Unions in discussions. He advised that, at the time of the meeting, the UEG was awaiting a response from the Unions.

The Chair of Court confirmed that a proposal would not be presented at the 16 November meeting but rather the Executive would seek to make significant progress with regard to UoDSS reform by February Court.

Members remained cognisant of the risks associated with possible industrial action and were advised that the Strike Action Group, chaired by the University Secretary & COO, was meeting regularly to monitor and consider the mitigation of such risks.

- Resolved:**
- (i) to note that the UEG awaited a response from the Unions regarding UoDSS benefit change;
 - (ii) to note indicative timelines for proposals relating to UoDSS benefits changes; and
 - (ii) to note that the Strike Action Group met on a regular basis to monitor risks associated with industrial action.

5. INSURANCE AND SUMMARY OF COVER

In accordance with the annual reporting requirement noted in the Financial Regulations, the Deputy Director of Finance outlined a paper which provided detail of the insurance cover the University had in place. As discussed at previous meetings of the Audit & Risk Committee, the Director of Finance informed members that options for cybersecurity related insurance were being actively explored. Through discussion, members highlighted complexities regarding cybersecurity and agreed that the Audit & Risk Committee should be asked to include the insurance aspect in their wider review of cyber security.

Members went on to seek further insight regarding the University's position on fidelity cover and the Deputy Director undertook to explore this and come back to the Convener with a response.

- Resolved:**
- (i) to note the insurance cover in place;
 - (ii) to formally refer the issue of cybersecurity insurance and associated risks to the Audit & Risk Committee for consideration; and
 - (iii) to request that the Deputy Director of Finance update the Convener on the fidelity cover in place.

6. ANNUAL FINANCIAL REVIEW

(1) Financial Review of the Year

The Deputy Director of Finance presented the financial review of the year ended 31 July 2021, which provided an overview on the financial performance of the University for that

period, the cash position and income and expenditure. The report also included a breakdown of financial performance by school.

The Deputy Director drew members' attention to several key events that should be recognised outside of the review of normal operations due to their major impact on the financial position of the University such as, one-off additional SFC funding relating to COVID-19 and the disposal of shares (see also minute 3 above). Whilst an operating surplus of £7.9m was reported in the financial statements, the Director highlighted that the removal of other major 'non-trading' movements produced an underlying deficit of £6.5m, which better represented the University's true financial performance.

Turning to the cash balance, members noted that the position had improved by £19.2m during the year, with net cash from operating activities totalling £30.4m. Whilst this was considered a strong position, the Deputy Director clarified that this was primarily due to SFC one-off funding and temporary working capital changes. The Deputy Director went on to draw members' attention to the University's robust research performance over the previous financial year as well as the performance of Schools, with overall contribution having increased by £4.4m and all Schools having met their savings targets. Members noted the differential impact of COVID-19 on School financial performance, with Dentistry and Business having suffered the largest impact.

The Committee recognised the reduction in staff costs (£0.5m lower than the previous year) and the associated savings, and members reiterated the criticality of monitoring the staff cost base in a way that was mindful of the University's financial position and overall strategy.

Finally, whilst members were pleased by the University's financial direction of travel, they remained cognisant of the continued underlying deficit and highlighted the absolute imperative to remain disciplined and continue with strategic cost saving measures. The Committee highlighted the importance of clear messaging to staff and students regarding the balance between the improved financial position and the need for long-term sustainability.

Resolved: to note the financial review of the year.

(2) Going Concern Review

The Deputy Director of Finance briefly outlined the review of going concern for inclusion in the 2020/21 financial statements. Members noted the recommendation that Court should consider the University to be a going-concern on the basis that the University had adequate financial resources to continue to operate for the foreseeable future. He further highlighted that due to the impact of Covid-19, the going concern assessment had required significantly more work/detail than usual.

Resolved: to recommend to the Court that the University should be considered a going concern in respect of the 2020/21 financial statements.

(3) Draft Annual Financial Statements

The Committee reviewed the draft financial statements for 2020/21 and suggested that reference should be made to the underlying deficit in the financial review. Members considered it important to emphasise both the exceptional items within the previous

year (particularly the exceptional nature of the sale of shares) and the difference between statutory numbers and underlying performance to make clear that whilst the University was on the path to financial sustainability, further cost saving measures were still required.

Resolved: to endorse, for its part, the accounts to the Court for approval note the draft financial statements.

7. ESTATES AND CAMPUS SERVICES REPORT

The Committee considered the regular update from the Director of Estates & Campus Services. The Director informed members that projects were largely proceeding as expected, with minor delays associated with the impact of Brexit on procurement and delivery of goods.

Given the focus on Tay Cities projects within the budget and their relative importance to the reputation and sustainability of the University, members discussed whether a higher degree of oversight was necessary to manage this critical investment. In this regard, the Principal assured the Committee of the new boards that had been created to embed such high-level monitoring, including the Capital Strategy Board and the Regional Development Strategy Board as well as a specific Tay Cities Deal Capital Board chaired by the University Secretary. In that regard, it was agreed that the Convener and Director of Estates & Campus Services would discuss how to ensure the Committee had appropriate oversight of the projects associated with the Tay Cities Deal.

Turning to the separate report on Net Zero, the Director summarised the current risks associated with the main district heating network in the context of the need for a full plan to invest in the University's future Energy strategy to meet Net Zero targets. She iterated the three components of the targets and members noted that the biggest challenge lay in scope 3 emissions, which were of relevance to all operational activity including, but not limited to: procurement, student activity and staff travel. In this regard, members emphasised the institutional responsibility for achieving Net Zero targets.

With regard to the proposal relating to the necessary replacement of the main district heating network, members noted that a solution would require significant capital expenditure (in the region of £20-30m). The Committee agreed that the Director to take a broad approach to scoping options, to remain flexible and to explore potential partnerships and funding opportunities that may reduce cost.

In relation to the wider sustainability agenda, the Director estimated that the University was behind competitors in relation to tackling the Net Zero Emissions. Members noted the risk that financial penalties may be incurred if the University did not meet the Net Zero by 2045 and acknowledged that further, unquantified investment would likely be required over this period as the University sought to achieve its targets.

The Principal assured the Committee that the University Executive Group was currently developing a focussed strategy around sustainability, including both social and

environmental aspects. Members noted that thinking on this matter would be brought forward to the Court in due course.

- Resolved:**
- (i) to note the Estates & Campus Services report;
 - (ii) to note the report regarding Net Zero Emissions; and
 - (iii) to note that the Director would explore options for replacing the district heating system that consider the University's targets to Net Zero, potential grant funding and the University's financial position.

8. NARRATIVE FOR THE COURT

The Committee agreed that the Convener should focus his report to the Court on: the financial statements, specifically around the balance in messaging (item 6(3)), the strategic finance map and in particular, the need to strategically invest to support the University's long term mission (item 3) and finally to highlighted discussions regarding the district heating system and the wider environmental sustainability considerations (item 7).

- Resolved:** to agree that the Convener highlight the above within his report to the Court.

9. ANNUAL COMMITTEE BUSINESS

(1) Annual Review of Remit and Terms of Reference

The Committee endorsed proposed updates to its Remit and Terms of Reference.

- Resolved:** to endorse the Remit and Terms of Reference for the Committee (appendix 1) to the Court for approval.

(2) 2021/2022 Schedule of Business

The Committee received the 2021/22 Schedule of Business. Within the report, the Convener highlighted the following areas of focus for the Committee for 2021/22: Financial sustainability; Long-term finance requirements; Execution of five-year financial plan; Estates Longer term planning; Estates fit for purpose in changing circumstances (Covid impact and new strategy); Completion of BT/student system enhancements; and Digital and project execution.

- Resolved:** to note the proposed Schedule of Business and objectives for 2021/22.

(3) Annual Review of Committee Effectiveness

The Committee reviewed feedback from the annual review of effectiveness and agreed that no areas had been identified within responses to the questionnaire which required discussion.

- Resolved:** to note the feedback.

10. RESEARCH GRANT APPROVALS

The Committee noted the regular report of research grant awards since the last meeting. The trends comparison chart for research awards indicated that to date the value of awards in 2020/21 (£9.8m) was between the levels of the previous years at the same period. The number of awards was fairly evenly distributed across funder groups, with the highest totals corresponding to UK Charity (18) and UKRI Research Councils (23). Members noted that a further report on Research Efficiencies would be brought forward to the next meeting of the Finance & Policy Committee.

Resolved:

- (i) to note that a report on Research Efficiencies would be received at the next meeting of the Finance & Policy Committee; and
- (ii) to otherwise note the report.

11. RESERVED BUSINESS: BUSINESS TRANSFORMATION MINUTES

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

The Committee noted that the minutes from meetings of the Business Transformation Steering Group had been made available to all members via the Court One-Drive area.

Resolved: to note the minutes.

12. SUBSIDIARY ANNUAL ACCOUNTS

The Committee received the financial statements of the University's subsidiary companies for the year 2020/21.

Resolved: to note the accounts.

13. TREASURY ANNUAL REPORT

The Committee received a review of treasury activity during the last financial year. Treasury activity had increased during the year, with cash deposits significantly better than expected due to the share disposal and the receipt of loan financing from SFC. Members noted that a strategic review of Treasury Policy would be undertaken, to take account of increased levels of cash and the evolving nature of the University's position and strategy.

Resolved:

- (i) to note that a strategic review of Treasury Policy would be brought forwards to a future meeting of the Finance & Policy Committee; and
- (ii) to otherwise note the report.

14. END OF YEAR/Q4 MANAGEMENT ACCOUNTS

The Committee received the draft management accounts for the full year financial position compared with the budget and forecast. Members noted the draft outturn for the 2020/21 financial year showed an operating surplus of £5.8m, £21.1m ahead of budget and an improvement of £5m against the Period 11 forecast.

Resolved: to note the draft accounts.

15. IMPAIRMENT OF ASSETS

The Committee received a paper which considered the appropriate accounting treatment at 31 July 2021 for the costs incurred by in the development of the OneUniversity system. Members noted that the review recommended no further impairment to the intangible asset held at 31 July 2021.

Resolved: to note the recommended accounting treatment.

16. RESERVED BUSINESS: PENSIONS SUB-GROUP MINUTES

The Committee received the minutes of the meeting of the Pension Sub-Group on 20 September 2021.

Resolved: to approve the minutes.

17. ENDOWMENT SUB-COMMITTEE MINUTES

The Committee received the minutes of the meeting of the Endowments Sub-Committee on 24 September 2021.

Resolved: to approve the minutes.

18. DATE OF NEXT MEETING

Resolved: to note that the next meeting would take place on 18 January 2022.

Richard Bint
(Convener)

Appendix 3, Annex 1

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

Summary

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

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

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

Remit and Terms of ReferenceMembership

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

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

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

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

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

- Experience/knowledge of architecture, estates and/or facilities management from a variety of perspectives;
- International experience;
- Knowledge and experience of corporate governance in a general setting;
- Legal knowledge, preferably within a business, public sector or financial services setting;
- Experience of working in academic and non-academic settings;
- Knowledge and/or experience of IT and business systems;
- Knowledge and/or experience of procurement;

- Experience of public sector organisations and Non-Departmental Public Bodies;
- Ability to understand and manage risk;
- Awareness of wider stakeholder interests in higher education;

In addition, the following abilities and attributes would be valued:

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

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

Meetings

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

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

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

General Duties and Responsibilities

- The Committee is responsible for advising the Court on the financial strategy and financial health of the University. It shall receive regular reports from the Director of Finance on these matters and at its discretion will recommend actions to the Court;
- The Committee will consider the projections proposed by the Director of Finance and other officers in relation to revenue and capital budgets and will make recommendations on these to the Court.
- The Director of Finance shall present regular in-year information to the Committee relating to performance compared with budgets and the University's financial outlook. The Committee may seek further information before making recommendations to the Court.
- The Committee shall receive regular information and reports on the financial policies and procedures of the University, its subsidiaries and activities delegated to groups and other committees. It may seek changes and/or recommend to the Court that the above policies and procedures be amended as it thinks fit.
- The Committee may, at its discretion, seek explanations on behalf of the Court from officers and budget holders of the University on all matters relating to financial probity and control.
- The Committee shall consider draft strategic plans and operational policies out-with the provisions listed before recommending such documents to the Court.
- The Committee shall be charged with the consideration and oversight of issues pertaining to the Estates Strategy and maintenance of the campus infrastructure. The Committee shall monitor progress towards meeting key performance indicators aligned to the Estates strategy.

- The Committee shall receive regular updates on matters of significance to the work of the Committee, for example student recruitment figures, and the performance of growth and savings projects.
- The Committee, in consultation with senior officers, is responsible for ensuring that the University complies with all relevant accounting regulations and recommended practice and that its annual financial statements have been prepared in accordance with such regulations. It is also responsible for advising the Court on adherence to terms and conditions laid down by the Scottish Funding Council and other grant awarding bodies (including Financial Memoranda issued by the Scottish Funding Council).

Delegated Powers

- Enter into borrowing arrangements (and renewal of) over £3m and less than £5m in accordance with the financial strategy approved by Court. Approve business plans for projects and funding applications or variations thereof for revenue spend more than £5m
- Endorse business plans for projects and funding applications or variations thereof that include a capital element more than £5m
- Approve non-research related contracts, agreements and applications or variations thereof more than £3m
- Approve Financial Regulations
- Approve guidelines for University investments (on the advice of the Endowments Sub-Committee)
- Approve loans, loan guarantees and grants to subsidiary, spin-out and associated companies of more than £100k
- Approve individual purchases in accordance with the Financial Regulations
- Approve the formation of subsidiary, spin-out or associated companies on the advice of the University Executive Group
- Approve the winding up of subsidiary, spin-out or associated companies

Schedule

Membership 2021/22

1) Members

Name	Category for the Purpose of Determining Quorum
Richard Bint (Convener)	(Lay Member)
Principal	(<i>Ex-Officio</i>)
Alan Bainbridge	(Lay Member)
Ronald Bowie	(Lay Member)
Ron Mobed	(Lay Member)
David Dorward	(Lay Member)
Dimitris Vidakis	(Elected Member)
Professor Mairi Scott	(Elected Member)
Rebecca Leiper	(Elected Member)

2) Officers and others in regular attendance:

Name	Role
Keith Winter	(Convener, Audit & Risk Committee)
Tricia Bey	(Deputy Chair of Court)
Peter Fotheringham	(Deputy Director of Finance)

Rose Jenkins	(Director of Campus Services)
Dr Neale Laker	(Director of Academic & Corporate Governance)
Dr Jim McGeorge	(University Secretary)
Dr Christine Milburn	(Senior Policy Officer (Corporate Governance))
Professor Shane O'Neill	(Senior Vice-Principal)
Carol Prokopyszyn	(Director of Finance)
Wesley Rennison	(Director of Strategic Planning)
Professor John Rowan	(Vice-Principal (Research, Knowledge Exchange & Wider Impact))

Quorum 2021/22

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

Appendix 4

UNIVERSITY OF DUNDEE
GOVERNANCE & NOMINATIONS COMMITTEE

A meeting of the Committee was held on 19 October 2021 via Microsoft Teams.

Present: Ronald Bowie (Convener);
 Tricia Bey;
 Principal Professor Iain Gillespie;
 Jane Marshall; and
 Professor Anna Notaro.

In Attendance: Janice Aitken (Item 11) (Convener of Senate Effectiveness Review);
 Dr Martin Glover (Item 11) (Senior Policy Officer (Academic Governance));
 Professor Blair Grubb (Vice-Principal (Education));
 Dr Neale Laker (Director of Academic & Corporate Governance);
 Dr Jim McGeorge (University Secretary);
 Dr Christine Milburn (Head of Principal's Office); and
 Kenny Stewart (Policy Officer (Corporate Governance)).

Apologies: Megan-Rose Birdsall.

1. MINUTES

Resolved: to approve the minutes of the meeting of 3 August 2021.

2. MATTERS ARISING

(1) Action Log

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

Resolved: to note the log.

(2) Centenary Trust (minute 17)

The Director of Academic & Corporate Governance updated members on proposals to fill the two vacant positions for Trustees of the Centenary Trust Committee. Proposals would be concluded shortly and presented to Court at its next meeting.

(3) Employment Status of the Chair of Court

The Director of Academic & Corporate Governance confirmed that he was seeking legal advice on the employment status Chair of Court and this would be provided to the Appointing Committee for the Chair of Court Election at its meeting on 7 October. Since the action was now one for the Appointing Committee, it could be removed from the log.

3. **CONVENER'S UPDATE**

The Convener provided an update to the Committee which highlighted his attendance at the October meeting of the Committee of University Chairs (CUC). Among the themes under discussion was universities' role in urban renewal, and in particular considering the concept of civic universities, often defined by their location and sense of place.

The Convener also highlighted the forthcoming meeting of the Committee of Scottish Chairs (CSC) where, among the main items due to be discussed, was the role and importance of governance during a time of potential funding uncertainty. The CSC would also consider an item on the pandemic's impact on the student experience.

The Chair noted that the CSC would maintain academic freedom and freedom of speech as an item on future agendas although it seemed there was less interest in the topic among representatives from other Scottish universities.

The Chair informed members that he was also due to meet with the Scottish Government Minister for Higher Education and Further Education, Youth Employment and Training.

Resolved: to note the update.

4. **SECTORAL UPDATE**

The Director of Academic & Corporate Governance updated members on matters of relevance to the Committee. The main item provided for update was the findings from the Senate Effectiveness Review 2021, which was to be discussed under item 11 of the meeting agenda.

The Director also shared an update on the planned consultation on revisions to the Scottish Code of Good HE Governance to be chaired by Professor Sally Mapstone, Principal of the University of St Andrews, supported by Dr David Duncan, University Secretary at the University of Glasgow.

Resolved: to note the update.

5. **CHAIR OF COURT ELECTION**

The Deputy Chair of Court updated members on the work of the Chair of Court Appointing Committee, which had its first meeting on 7 October. A draft timeline had been considered for the election and appointment of the next Chair of Court as well as the appointment two lay members. The objective was to deliver genuinely electable and credible candidates whilst making the pool of candidates as diverse as possible.

The Appointing Committee had considered the regulations for the election, and a paper setting out the process for the engagement of a search agency to help identify candidates for the election. The Appointing Committee had agreed that a full tender exercise be undertaken. Members of the Appointing Committee had agreed that the appointment of a search agency was key but that the successful agency would need to demonstrate value for money and reassure the Appointing Committee that it would not be over-reliant on existing databases.

The Governance & Nominations Committee discussed the long-term view of succession planning inherent in the forthcoming lay members' election process, which would take place in parallel to the Chair of Court process. Members agreed that the lay members' election provided an opportunity to develop future potential Court Chairs and to supplement the range of current skills on the Court.

Resolved: to note the update.

6. **REPORT FROM THE COURT RETREAT**

The Committee considered a report from the Court Retreat and endorsed the suggestion that the same venue is used for future Retreats. Members praised both the format and preparatory materials provided, which helped contributors to gain a high level of awareness of the matters to be discussed to enable fruitful discussion. The general format was considered successful and assisted the quality of engagement and discussion, and it was agreed that it should be followed in future.

The Committee also recorded their thanks to the technical team for their provision of high-level audio and visual support to deliver complex hybrid meeting arrangements.

Resolved: (i) to note the report;
(ii) to consider adopting fewer questions for discussion in break-out sessions.

7. **REVIEW OF EFFECTIVENESS: CHAIR OF COURT**

The Committee considered a report which summarised feedback from the session at the Court Retreat on 3 September 2021 at which the effectiveness of the Court and the Chair of Court had been considered. Members noted the feedback from the break-out groups and the actions proposed by the Chair of Court following his one-to-one with the Deputy Chair of Court at which she shared feedback from the review of his effectiveness and performance.

The Chair took on board comments with regard to increasing informal contacts with the membership and confirmed that this was underway. The Deputy Chair of Court also suggested that engagement with Deans and School members was a good way of improving awareness levels of current university issues.

Resolved: to note the report.

8. **PUBLIC STAKEHOLDER MEETING OF COURT**

The Committee considered proposals for the format of the Public Stakeholder Meeting of Court event in January 2022. It was noted that plans were still subject to change due to the potential for changes to government Covid-19 guidelines. The event was being scheduled for the day before the first of the Annual Discovery Day events and at the time of meeting was being planned to be conducted in person, with hybrid facilities available for members who wished to participate remotely. [Clerk's note: it has since been confirmed that the

Discovery Days and the Public Stakeholder Meeting of Court will be held as online only events.]

Resolved: to note the plans for the Public Stakeholder Meeting of Court.

9. MEMBERSHIP OF THE COURT

(i) Membership Renewals

The Committee considered a report which set out matters relating to the membership of the Court and its committees across the current academic year. Members noted the requirement for the renewal of membership of two Committee members, Alan Bainbridge and Jay Surti. Both wished to continue as members of Court. The Committee agreed that the tenure of both members should be renewed for a further three years.

The Committee discussed ways to engage members of Court in order to exploit their expertise in a focussed way. The Committee noted significant constraints on some members' time which sometimes impacted their level of engagement with Court matters. Members agreed that it was important to prepare members to engage as much as they could. The Committee discussed how it might best encourage virtual engagement with Court and its Committees among members for whom travel had become a barrier.

Resolved: to recommend to Court that Alan Bainbridge and Jay Surti be reappointed for a further term of four years beginning on 1 August 2022 under the terms of Statute 9(2)(f).

(ii) Skills Matrix

The Committee considered the skills matrix of the Court, which included a graphical summary and further tools for members to view skills trends over the coming 5 years and on a committee by committee basis. The tools allowed members to consider succession planning and committee membership matters.

The Committee agreed the skills matrix should be updated in light of existing and future strategic needs of the University. It was agreed that digital strategy and research were skills that should be added revised version of the skills matrix.

Members also considered skills in the context of succession planning and future Committee chairs. Skills gaps were acknowledged which might limit the availability of future candidates to chair the Finance & Policy Committee, a position which would require to be filled in the next cycle.

On the matter of the appointment of two new Court lay members, members suggested that candidates with experience of business transformation or change management roles would be desirable.

The Committee agreed that elements of the existing skills matrix should be replaced, with Court members required to submit new evaluations of their skill sets against a new matrix.

- Resolved**
- (i) to revise the skills matrix to reflect new Court skills requirements;
 - (ii) to approve the publication of the summary charts in appendix 3;
 - (iii) to publish an amended new skills matrix on the Court website;
 - (iv) to note that the Chair would continue discussions with existing Court members with regard to appointing a new Chair of the Finance & Policy Committee.

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

The Committee reviewed the Statement on Equality, Diversity & Inclusion on the Court.

- Resolved:** to endorse the Statement on Equality, Diversity and Inclusion to the Court.

- (iv) Register of Interests 2021/22: Court Members

The Committee reviewed the Register of Interests returns for Court 2021/22 which summarised declarations of interests made by Court members. These would be published on the Court website.

- Resolved:** to approve the publication of the Register of Interests.

10. **EARLY DISCUSSION OF COURT AGENDA: 16 NOVEMBER 2021**

The Committee considered the early Court agenda for the meeting on 16 November 2021. The draft agenda contained several substantial items: the UEG Report to Court, University Strategy papers on progress, consultation and plans for implementation, and the HR Toolkit for Strategic Change.

The Committee noted that the University's developing Digital Strategy would be the focus of the pre-Court briefing.

The Committee also discussed the planned League Tables summary report, and the VP Education was asked to consider a forward plan on University League Table performance with the Director of Strategic Planning.

- Resolved:** to note the Court agenda.

11. REVIEW OF THE EFFECTIVENESS OF THE SENATE

The Committee received the 2021 Senate Effectiveness Review report for discussion, delivered by the Chair of the Senate Effectiveness Group and Senior Policy Officer (Academic Governance). The report examined the operation of Senate as the supreme academic body of the institution. It noted that the Scottish Code of Good HE Governance placed a requirement on governing bodies they confirm annually their assurance in the academic governance of the University.

The report and recommendations were submitted to Senate at its meeting in October 2021. The review covered Senate functions & responsibilities, membership and composition, business processes and relationships with Schools and Court. In total, the review made 32 recommendations, and, as part of its work, had reviewed the implementation of prior recommendations from the 2017 review.

The Review Chair wished to record the level of support provided by the Senior Policy Officer (Academic Governance) and Clerk to Senate in preparing the structure and content of the review and in distilling the broad range of issues identified in the paper.

The review acknowledged equality, diversity and inclusion concerns in Senate membership and in governance structures across the University and recommended that Senate its commitments to diversity on a three-yearly basis.

The Committee also discussed the future composition of Senate as a result of changes to the structure of Academic Schools (i.e., the New Combined School). It was agreed that the composition would need to account for an appropriate number of members per school post-restructure.

Members were keen to support Senate's primary focus as an academic body that brings together a wide range of skills and academic experience. The Group also discussed making the work of Senate more visible.

The Convener of the Review considered that informal interaction between Court and Senate might yield more fruitful communication and collaboration between them. The Committee agreed that no formal links should be established due to the different nature of the bodies' roles but that the bodies should seek ways to improve communication and collaboration.

The Committee agreed that the report reassured members that Senate had established controls over its own effectiveness through the review.

Further consideration was given to the benefits of Court members acquiring a greater understanding of the workings of Senate.

The University Secretary outlined the distinct roles of Court and Senate in the governance framework and noted that there were formal opportunities for interaction. It was suggested that the Senate could assist Court in understanding its work in the way it reported to Court.

Members were keen to ensure that the academic direction of the institution was effectively debated at Senate. The Committee expressed the view that demystifying Senate's role would be important in providing clarity to Court members.

- Resolved:** (i) to endorse the report to Court; and
(ii) to discuss closer informal links at the Conveners' meeting.

12. ANNUAL REVIEW OF DIVERSITY ON COURT STATEMENT

The Committee was invited to consider the Court Statement on Diversity on Court in light of recently approved Race Equality Charter objectives.

- Resolved:** for its part, to endorse the revised statement to the PODCo and the Court. approved.

13. NARRATIVE FROM THE COMMITTEE TO THE COURT

The Committee recommended that the Convener highlight the following items to the Court: Chair of Court Election Appointing Committee, public stakeholder meeting, Court membership renewals, and the report on the effectiveness of the Senate.

- Resolved:** to recommend that the Convener highlight these areas in his report to the Court.

14. COMMITTEE BUSINESS

(i) Schedule of Business

The Committee reviewed its draft schedule of business which contained its draft workplan for 2021/22. The paper set out the proposed workplan and objectives for the Committee, following discussions with the Convener of the Committee and Director of Academic & Corporate Governance.

- Resolved:** to approve the proposed workplan for the Committee for 2021/22.

(ii) Reserved Business: Review of Committee Effectiveness Report

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

The Committee was invited to review a report on the Review of Committee Effectiveness. The review summarised responses from Court members to questions which covered different aspects of Court Committees operations.

Members noted that the vast majority of responses from Court members on the effectiveness of the Governance & Nominations Committee were positive across the survey areas.

- Resolved:** to note the Review of Committee Effectiveness Review.

15. **CORPORATE GOVERNANCE STATEMENT**

The Committee reviewed the annual Corporate Governance Statement for inclusion in the annual financial statements 2020/21.

16. **MODERN SLAVERY STATEMENT (ANNUAL REVIEW)**

The Committee received the 2021 update of the University's Modern Slavery Act (2015): Slavery and Human Trafficking Statement.

Resolved: to endorse the Statement to the Court for approval.

17. **DATE OF NEXT MEETING**

Resolved: to note that the next meeting would be held on 19 January 2022.

Appendix 5

UNIVERSITY OF DUNDEE
PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE

A meeting of the Committee was held on 28 October 2021 via Microsoft Teams.

Present: Jane Marshall (Convener);
 Dr David Martin;
 Marianne Reilly;
 Karthik Subramanya;
 Jay Surti; and
 Karen Thomson.

<u>In Attendance:</u>	Dr Lisa Anderson	Head of Organisational & Professional Development (for item 6);
	Professor Iain Gillespie	Principal & Vice-Chancellor;
	Patricia Matheson	Interim Director of HR and Organisational Development;
	Dr Jim McGeorge	University Secretary;
	Professor Shane O'Neill	Senior Vice-Principal (Academic Planning and Performance);
	Kenny Stewart	Policy Officer (Corporate Governance);
	Julie Strachan	Deputy Director of HR and Organisational Development; and
	Dimitris Vidakis	President of Dundee University Students Association.

Apologies: Catherine Coyle (DUSA).

1. **MINUTES**

Resolved: to approve the minutes from 21 August 2021.

2. **ACTION LOG**

The Committee reviewed the action log.

Resolved: to approve the action log as presented.

3. **CONVENER'S UPDATE**

The Convener provided a verbal update on matters of relevance to the Committee.

(i) UODSS Pension Scheme Update

The Convener informed the Committee that planned changes to the UODSS pension scheme had been intended to be the focus of the meeting. However, members heard that constructive discussions between management and the campus were currently taking place and that a decision had therefore been taken to formally remove the item from the agenda and await further developments. The Principal confirmed that at the time of the meeting these discussions remained ongoing and the unions were continuing with their planned industrial action. However, he indicated that he was hopeful that a joint agreement might be reached that would see the unions suspend their industrial action and return to the negotiations.

The Committee agreed that it supported the work the Principal and University Secretary were doing in this regard and enhancing communication with staff on the issue. The Committee agreed that individual briefings with Court members should continue to allow informed discussion ahead of the February meeting of Court.

Resolved: (i) to note the update.

(ii) Race Equality Charter

The Convener noted the submission of the University's Race Equality Charter application and commended the work of all members of staff who contributed to this substantial piece of work.

Resolved: (i) to note the Convener's update.

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

The Committee considered the HR Director's Strategic Report and Sectoral Update which provided an overview of activity and which provided inputs on several items which were covered elsewhere in the meeting agenda, including the Race Equality Charter, Voluntary Severance, Organisational & Professional Development and Industrial Action. In addition, the following items were highlighted:

(i) Senior Appointments

New senior appointments made since the last meeting included Interim Deans of the Schools of Health Sciences and Education & Social Work, the Assistant Vice-Principal (International) and the Interim Director of Human Resources.

(ii) Hybrid Working Policy

The report noted the return to work of greater numbers of staff to University campuses to support and deliver learning in the new semester. A hybrid working model pilot for Professional Services staff would operate from October 2021 until of May 2022. To date, 700 staff had requested

hybrid working. The Committee noted that a core principle underlying the policy was that the University's core priorities needed to be met, with a particular focus on serving the best interests of students.

National Pay Award 2021/22

A final national pay award offer for 2021/22 of at least 1.5% had been made by UCEA on behalf of employers at the final meeting of the national Joint Negotiating Committee (JNCHES) in May 2021 and implemented by the University in August 2021. It was anticipated that unions might ballot members for industrial action over the implementation of the pay award, with UCU also likely to call for strike action in relation to proposed changes to the Universities Superannuation Scheme (USS).

(iii) USS pension scheme

The Committee heard that the formal consultation on proposed changes to the USS Pension Scheme opened on 1 November and was due to close on 17 January.

(iv) Industrial Action

The report confirmed the three campus unions have a mandate for industrial action, which included strike action over proposed changes to UODSS through the introduction of a Defined Contribution scheme. Five days of strike action had taken place over the period 29 September - 5 October 2021, with further action anticipated from 25 October, including continuous action on the part of Unite.

In anticipation of industrial action Schools and Directorates have looked to mitigate the impact of strikes, especially on students. However, the Committee recognised that with further action planned there was the potential for some impact on student experience.

Resolved: to note the update.

5. **RESERVED BUSINESS: VOLUNTARY SEVERANCE SCHEME**

[Secretary's note: Members should note that this item is considered strictly confidential. The University claims the exemptions in Sections 30b and 30c and 28 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.]

6. **ORGANISATIONAL & PROFESSIONAL DEVELOPMENT**

The Committee were joined by Dr Lisa Anderson, Head of Organisational & Professional Development (OPD), to receive her End of Year report. The report summarised activity during the 2020/21 academic year, and provided information on future planned developments in 2021/22, included upscaling the blended

approach. The report also highlighted attendance and engagement patterns for staff and postgraduate researchers (PGRs).

The Committee thanked Dr Anderson for the informative and comprehensive report and noted how it demonstrated well OPD's framework for giving managers the tools to nurture and protect talent.

The reported highlighted other contributions by the OPD team, which included input into the Race Equality Charter project group established in 2021/22 to review training requirements.

The Committee noted that factors related to Covid-19 and home working had inhibited the potential for coaching and mentoring. A range of steps had been taken to address this and there were opportunities to embed these through the new People and Talent strategy.

Resolved: To note the report.

7. RACE EQUALITY CHARTER SUBMISSION

The Committee heard that the University's Race Equality Charter (REC) application had been submitted on 27 October 2021. The Committee agreed to monitor progress on the implementation plan for REC as part of its forward agenda.

The Committee also noted their thanks to all members of staff involved for their considerable input in the preparation of the submission.

Resolved: to endorse the REC application.

8. PEOPLE AND TALENT STRATEGY

The Committee considered an updated draft of the People and Talent Strategy presented by the Senior Vice-Principal. The strategy was to be a focus of detailed discussion at the UEG Away Day on 29 October 2021 and will be subject to consultation with staff and students throughout November 2021.

Members noted that an additional meeting of the Committee had been arranged for 14 December 2021 for further discussion of the Strategy, following the conclusion of the consultation period. This would provide the Committee with an opportunity to consider the strategy in greater detail, and formally endorse it, if so minded, ahead of its formal consideration at the February meeting of the Court.

The SVP emphasised the fact that the strategy had been prepared to address the key priorities for the University in investing in, supporting and bringing the best out of its staff. The paper outlined the strategy's three core elements of culture, talent and transformative leadership.

Resolved: to endorse the initial draft strategy.

9. **RESERVED BUSINESS: COMMITTEE REVIEW OF EFFECTIVENESS**

The Committee considered a paper on the effectiveness of the committees of Court based on a summary of feedback from members of Court, including specific feedback on PODCO. Members noted the largely positive feedback on the committee's effectiveness.

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

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

10. **NARRATIVE FOR COURT**

It was agreed that the Convener's report to Court on 16 November 2021 would highlight the Committee's endorsement of the overall approach in relation to organisational change and the introduction of a voluntary severance scheme, the update from the Principal and University Secretary on UODSS pension scheme negotiations, the discussions on the People & Talent Strategy and the Committee's special meeting on it scheduled for 14 December 2021, and an acknowledgment of the work that had gone into the Race Equality Charter application.

11. **COMMITTEE OPERATIONS**

The Committee noted its draft Remit, Terms of Reference and Schedule of Business for 2021/22.

Resolved: to approve the Committee Remit, Terms of Reference and Schedule of Business for the 2021/22 academic year (**appendix 1**).

12. **ANNUAL REVIEW OF THE STATEMENT OF DIVERSITY ON THE COURT**

The Committee noted the Annual Review on the Statement of Diversity on the Court (**appendix 2**).

Resolved: to note the Annual Review on the Statement of Diversity on the Court.

13. **RESEARCHER DEVELOPMENT CONCORDAT**

The Committee received the Researcher Development Concordat (RDC) report (**appendix 3**) outlining the progress made against the University's Concordat action plan and agreed to recommend it to Court for approval.

Resolved: to approve the Research Development Concordat progress report.

14. HEALTH AND SAFETY SUB-COMMITTEE POLICIES

The Committee noted two policies received from the Health, Safety & Welfare Sub-Committee for approval, the Health and Safety Policy and the School and Directorate Health and Safety Management Policy.

- Resolved:**
- (i) to endorse the revised University Health & Safety policy to the Court for approval (**appendix 4**).
 - (ii) to endorse the revised School and Directorate Health and Safety Management Policy to the Court for approval (**appendix 5**).

15. HEALTH, SAFETY & WELFARE SUB-COMMITTEE MINUTES

The Committee noted the Health, Safety & Welfare Committee minutes from the meeting on 1 September 2021.

- Resolved:** to note the minutes.

16. LOCAL JOINT COMMITTEE MINUTES

The Committee noted the Local Joint Committee minutes from the meeting on 9 September 2021.

- Resolved:** to note the minutes.

17. EQUALITY, DIVERSITY & INCLUSION COMMITTEE MINUTES

The Committee noted the Equality, Diversity & Inclusion Committee minutes from the meeting on 6 September 2021.

- Resolved:** to note the minutes.

18. DATES OF NEXT MEETINGS

- Resolved:**
- Tuesday 14 December 2021 (special meeting on People & Talent Strategy)
 - Thursday 20 January 2022
 - Monday 3 March 2022
 - Wednesday 18 May 2022

Jane Marshall
Convener

Appendix 5, Annex 1

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE
Remit, Terms of Reference and Delegated Powers¹

Membership

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

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

Proceedings

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

Remit

1. To support the institution's implementation of the University Strategy in relation to its people-related objectives, actions and KPIs and to promote staff welfare;
2. To develop, implement and review principles, policies and procedures on all matters relating to people for all staff employed by the University, including pay and reward matters and to ensure that these comply with the requirements of relevant employment legislation¹;

¹ In interpreting this remit, it should be noted that in accordance with the Schedule of Delegation & Decision-Making, the Remuneration Committee is responsible for decisions regarding the salaries, emoluments and terms and conditions of service for the Principal and members of the UEG, and for the oversight and reporting to Court on the outcomes of the delegation of responsibility to the UEG for annual salary increases and awards to those grade 10 staff of the University who are not members of the UEG.

3. To monitor and review all health, safety and wellbeing arrangements within the University affecting staff, students and visitors and to advise Court on statutory and other requirements relating to its responsibilities for health and safety;
4. To advise the Court on statutory and other requirements relating to its responsibilities for equality and diversity;
5. To monitor and evaluate the University's staff development policies and to promote relevant developmental opportunities for staff;
6. To sustain and evaluate an equal opportunities policy for the University and to sponsor programmes of action in support of the policy;
7. To oversee the staff consultative process with the recognised trades unions and to advise the Court accordingly.

Terms of Reference

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

Delegated Powers

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

Membership 2021/22

1) Members

Name	Category for the purpose of determining quorum
Jane Marshall (Convener)	Lay Member
Catherine Coyle	Student Member
Dr David Martin	Elected Member
Marianne Reilly	Elected Member
Jay Surti	Lay Member
Karthik Subramanya	Lay Member
Karen Thomson	Lay Member

2) Officers and others in regular attendance

Name	Role
Professor Shane O'Neill	Vice-Principal (Academic Performance & Planning)
Dr Jim McGeorge	University Secretary
Patricia Matheson	Interim Director of Human Resources & Organisational Development
Kenny Stewart	Policy Officer (Corporate Governance)
Julie Strachan	Deputy Director of Human Resources & Organisational Development

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

Quorum 2021/22

At least four members (taken from 1 above).

Appendix 5, Annex 2**STATEMENT ON EQUALITY, DIVERSITY AND INCLUSION ON THE UNIVERSITY COURT**

A statement made in the context of the actions and reporting within the [University's Equality Mainstreaming & Outcomes Report](#).

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

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

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

There is current a specific focus on race equality. Objectives and actions for the Court in relation to race equality were included in the University's Race Equality Charter Action Plan across the themes of: diversity within the membership of the Court; holding the UEG to account; visibility of race agenda related matters within the University's governance structure; and leadership and visibility of the REC agenda.

Progress in relation to the aims set out above will be monitored by the Governance & Nominations Committee at least annually, and in doing-so the Committee shall consider aspects of the [University's Equalities Mainstreaming and Outcomes report of relevance to the Court](#) and the 8 objectives set by the Court in the University's Race Equality Charter Action Plan.

Appendix 5, Annex 3**RESEARCHER DEVELOPMENT CONCORDAT****Introduction**

1. The following report sets out the strategic objectives behind the University of Dundee's Revised Concordat for the Career Development of Researchers Action Plan, which covers relevant actions that will be undertaken in line with the four Principles of the Concordat to Support the Career Development of Researchers for the period between 2021 and 2023. It also overviews the key success measures associated with these measures, the plan for implementing these, and progress to date on accomplishing them.

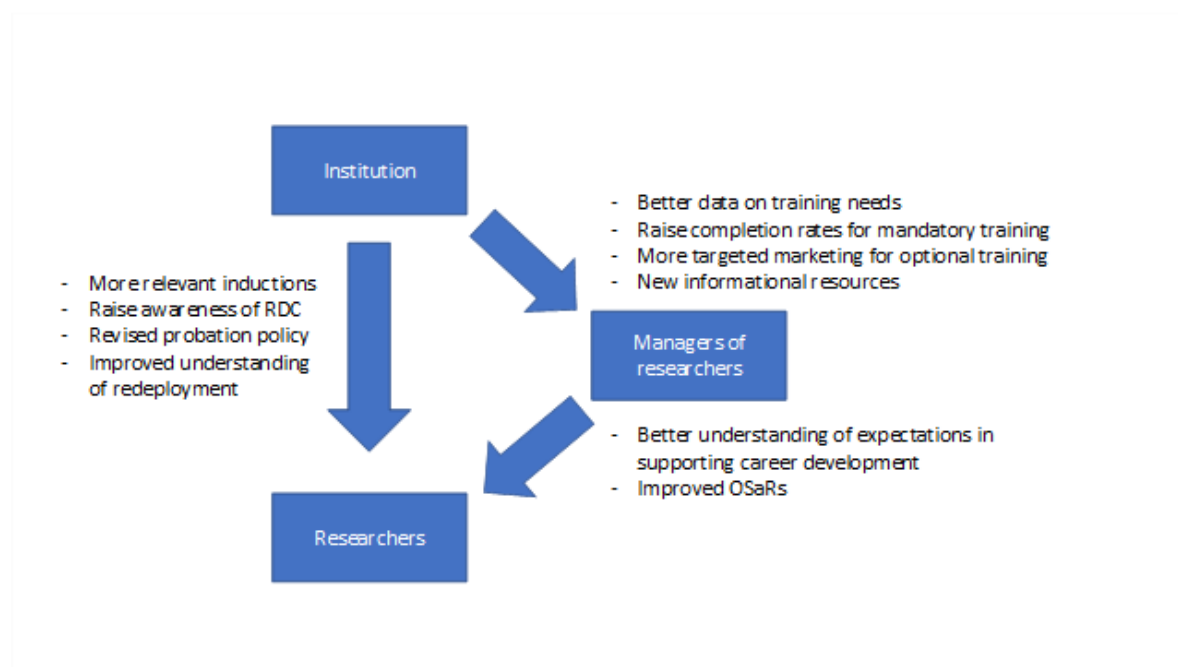
Strategic Objectives

2. The Concordat is a multi-stakeholder agreement aimed at improving support for researchers and their careers. Originally published in 2008, the Concordat was revised in 2019 on the recommendation of an independent review by Professor David Bogle commissioned by the multi-stakeholder Concordat Strategy Group.
3. A key difference between the old and revised Concordats is the strength of the language used. The revised Concordat expresses itself in the modality of obligation, setting out a series of specific things which those it addresses must do. These obligations concern four key audiences: funders, institutions, managers of researchers and researchers themselves, and encompass three key Principles: Environment and Culture, Employment, and Professional and Career Development.
4. The current strategic objectives that underpin the University of Dundee's inaugural Concordat implementation plan have been developed through a process of consultation and research that began with the commissioning of a gap analysis by OPD which reported in February 2020. The process of developing the action plan has continued since then through ongoing work by the Career Development for Research Staff Steering Group (CDRS), the Concordat Implementation Group and the multiple units represented on these committees.
5. The headline finding of the gap analysis was that the University is currently fulfilling most of its Concordat obligations at least to a satisfactory level – although there is room for improvement in many areas. One area was found where the University is not currently performing well enough. This is the obligation for managers of researchers to “[a]llocate a minimum of 10 days pro rata, per year, for their researchers to engage with professional development, supporting researchers to balance the delivery of their research and their own professional development”.
6. The gap analysis also noted the possibility of improving the University's offering in multiple areas set out in the Concordat, usually by targeting existing resources and procedures, including areas such as probation policy and research staff induction.
7. Following from this, the key strategic objectives of the University's current plan can be summarised as follows:

- Ensuring that managers of researchers are properly equipped to support the career development of those they manage by gathering better data on training attendance and training needs for individuals in this category, and producing new information resources for them.
- Ensuring that researchers are better aware of opportunities and responsibilities in relation to career development by means of actions focused on induction, probation and appraisal.
- In general, to focus as far as possible on making better use of existing resources and tools rather than inventing new ones from scratch.

Implementation plan

8. A detailed forward-looking action plan covering the period 2021-2023 was submitted by the University on 23rd September 2021 as part of its ten-year review of its HR Excellence in Research Award. The template for this action plan is organised in terms of the Principles and audiences of the revised Concordat. In order to maintain consistency in relation to these two reporting requirements, this action plan also constitutes our action plan for the Concordat.
9. Implementation of the actions set out in the Concordat action plan will be coordinated by CDRS and the Concordat Implementation Group (CIG), which bring together representatives of the researcher community with key professional services units.
10. The essence of the plan can be represented as follows (specific actions are illustrative rather than exhaustive):



11. As the diagram above illustrates, our assumption is that institutional level actions cascade down either directly or via managers to create a situation in which researchers are informed and empowered to take control of their own career development.

Measures of success

12. The Concordat action plan has been informed by a wide variety of data, both quantitative and qualitative which provides baselines for our actions going forwards. The University Staff Survey of 2019 included a number of CROS-type questions aimed at research staff. In 2021, the University for the first time ran CEDARS, a new UK wide researcher survey originally piloted in 2020. In addition to this, training attendance data and workshop feedback was used to better understand the training needs and preferences of researchers. Qualitatively, researchers at Dundee had the opportunity to continually feed into and co-create the action plan via committees and networks such as CDRS, the Research Staff Forum and the Research Staff Associations in the School of Life Sciences and the School of Medicine.
13. These data have allowed us to create robust baselines and consequent success measures for many of our actions. Examples of success measures for specific actions include:
 - To achieve 90% uptake of online EDI training by managers of researchers and 80% uptake of research integrity training by supervisors by 2023;
 - Increase attendance at training on OPD programme relevant to management skills, including tripling attendance at HR for Managers and at OSaR training by 50%;
 - Aim for 5 research staff to attend Advance HE research team leadership training;
 - Create researcher specific content in online Manager's Resource and a new Statement of Expectation for researchers and managers of researchers;
 - To raise the number of researchers claiming "some understanding" of the Researcher Development Concordat from by five percentage points;
 - Increase OSaR completion rates among researchers by five percentage points;
 - Create a new probation policy which improves researchers' understanding of the impact of their roles and the performance expectations placed upon them – to be assessed qualitatively in conversation with researcher representatives in relevant forums;
 - Increase reported satisfaction with appraisals by 4% (61% reported in survey responses to 65%);
 - Increase self-reported engagement with careers advisors by 2% (28% reported in survey responses to 30%).

Progress to date

14. The University of Dundee has made considerable progress in meeting the objectives set in its previous HR Excellence in Research action plan, covering the period from 2019-2021. This places us in a strong position to meet our objectives in relation to the Concordat action plan being put forward alongside this report. Further information on this can be found in the current HR Excellence in Research ten-year review report and backward facing action plan. With regard to the current Concordat action plan, initial deliverables are expected from late November/December 2021.

Appendix 5, Annex 4**HEALTH AND SAFETY POLICY****1. Health and Safety Policy****1.2 Purpose**

To state how the University of Dundee complies with its legal and moral obligations relating to the health and safety of its staff, students and any other person who may be affected by its undertakings.

1.3 Objectives

To ensure that all staff, students and other persons are aware of the moral and legal obligations that the University of Dundee has in regard to their health and safety and how it will discharge these responsibilities to ensure, so far as is reasonably practicable, the University is a safe and healthy place of work and study. Also to ensure that staff, students and others understand their own moral and legal obligations in regard to their own health and safety and that of others who may be affected by their own acts or omissions.

2. Policy Statement

As the governing body of the University of Dundee, the University Court accepts its legal and moral responsibility for the health, safety and welfare of staff, students and others affected by the University's activities. To discharge this responsibility, Court provides leadership and support to sustain the importance of health, safety and welfare as part of the University's programme of effective governance and risk control. The University is committed to following best practice in relation to corporate governance and risk control and seeks to implement sector guidance such as the Scottish Code of Good Higher Education Governance (2017 edition) and Leadership and Management of Health and Safety in Higher Education Establishments (2015).

The University Court has adopted this policy to promote excellence in the health and safety performance of the University's activities of teaching, research and associated undertakings. The University will work proactively to seek compliance with all health and safety legal requirements. The University aims to effect continual improvements in the health, safety and welfare of staff, students and other people affected by the University's activities.

The University Court, through transparent delegation of duties, takes all reasonable steps to ensure that all staff, students and other persons under its control are competent and accept their health and safety responsibilities. The Court requires all staff and students to co-operate in achieving a high standard of health and safety performance and encourages all staff and students in pursuit of this goal, recognising and rewarding achievements.

The University Court will ensure that it is kept informed of health and safety risk management issues and that overall health and safety performance is reviewed regularly by external auditors. It will monitor progress against key performance indicators on a

regular basis. This Policy will be kept under annual review through the People & Organisational Development Committee.

This Health and Safety Policy Statement was approved by University Court on NNth XXX 2021.

Professor Iain Gillespie
(Principal)

Ronnie Bowie
(Court Chairperson)

2.1 Policy Organisation

The University Court has adopted this Health and Safety Policy Organisation to implement the policy statement above and to ensure effective management of health and safety issues. The organisation of health and safety is shown in Appendix 1, which outlines the way health and safety are managed within the University of Dundee and the inter-relationship between line management, committees and professional services.

2.2 Implementation and Responsibilities

2.2.1 Court

Ultimate responsibility for implementation of this policy and of legal compliance resides with the University Court. Court exercises its responsibility through the work of the Audit Committee and the People & Organisational Development Committee, which oversee the implementation of policy, review performance and undertake reviews or commission internal audits as necessary to provide reassurance to Court.

2.2.2 Senior Management

As lead executive, the Principal takes overall responsibility for the University's health and safety management and as such represents the corporate body of the University in compliance with health and safety legislation. The Principal has delegated implementation of the Health and Safety Policy to Deans and Directors and has nominated the University Secretary as the senior manager who holds specific responsibility for the management of health and safety.

Members of the University Executive Group play a key role in ensuring implementation of policy and Court, through its committees, will assess the performance of UEG in this regard.

2.2.3 Schools/Directorates

Deans and Directors are responsible for resourcing current and future health and safety needs of their School/Directorate and acting on audits, inspections and incidents. School Managers/Directors are responsible for ensuring that staff and students comply with health and safety arrangements and will appoint a health and safety advisor who reports to them and who has duties as outlined below.

Principal Investigators, academic staff, team leaders and others with direct supervisory responsibility for staff and/or students must ensure the safe conduct of activities within

their areas of control and alert their line manager to any health and safety matters which they are unable to action themselves.

All staff and research post-graduate students are required to conduct themselves at all times so as not to endanger their health and safety or that of any other person who may be affected by their acts or omissions. They must comply with all relevant health and safety requirements. They must report any health and safety concerns, including specific concerns about their health arising from work activities, to their line manager, supervisor or health and safety Adviser. This includes deficiencies in safety standards or equipment.

All under-graduate and taught post-graduate students must behave responsibly at all times and comply with rules issued by teaching staff. They must report any health and safety concerns they have to teaching or supervisory staff.

2.3 Monitoring Implementation of the Policy

Each School contains at least one full or part time health and safety adviser who, with the local Health and Safety Committee, plays a key role in monitoring the effective implementation of the policy at School level and below. Monitoring includes ensuring that inspections are undertaken at the required frequency to verify that all significant hazards are identified and controlled.

Monitoring also ensures that any deficiencies in health and safety performance are identified and that remedial action is recommended and pursued. To facilitate this, each School is required to return an annual Health and Safety Report to the Head of Safety Services, who uses this to inform the People & Organisational Development Committee of performance levels across the University.

2.4 Auditing Compliance with the Policy

Auditing the policies, systems and arrangements put in place by the University to achieve and sustain high standards of health and safety performance verifies that the management procedures and operational practices are successful in meeting the appropriate performance standards.

The University employs the services of independent auditing consultants to perform regular audits of the policies and procedures that are in place throughout the University. Reports to the Audit Committee allow progress to be determined in relation to areas for improvement that may be identified by such audits, with resources allocated as necessary to achieve compliance.

2.5 Professional Support Structure

The health and safety professionals within Safety Services formulate plans for approval by the University Executive Group to manage significant risks, meet the expectations of Court committees and strive for continual improvement of performance. Together with School/Directorate health and safety advisers, they provide competent advice to Deans/Directors to allow them to manage risks effectively within their Schools/Professional Services Directorates.

The Health and Safety Working Group, chaired by Head of Safety Services, formulate arrangements, develop technical systems, document generic risk assessments and procedures, arrange training and monitor performance.

Deans/Directors appoint competent health and safety advisers and other specialist duty holders as needed. They liaise closely with Safety Services to deliver a consistent standard across the University.

School/Directorate health and safety advisers, with support from Safety Services, will draft specific plans and arrangements, document generic risk assessments, deliver specific training, monitor performance and communicate information to staff and students within their School/Directorate.

The University recognises the legal requirements to consult with trade union appointed safety representatives and appreciates the benefits that these representatives bring to the organisation. Trade union appointed safety representatives are a key element of the advisory and committee structures, whilst also being free to undertake in full in their statutory rights as laid down in legislation.

2.6 Training

Appropriate training of staff and students is an essential element of good health and safety management. The University will provide a range of training opportunities for staff and students, including some mandatory training.

New start mandatory training is provided by Safety Services for all staff and research postgraduate students. This online training forms part of the induction process for these people.

Refresher on-line training on essential health and safety arrangements will be completed by all staff and post graduate students annually. The refresher training course will be developed by the Health and Safety Working Group and implemented by Safety Services.

Completion of all mandatory training will be monitored by Safety Services and non-compliance escalated via the management system, with the ultimate sanction being termination of employment/studies.

Risk assessment workshops and general health and safety training courses will be organised and recorded by Organisational and Professional Development (OPD) and delivered by Safety Services.

Specific health and safety training will be delivered to staff and students and recorded jointly by School/Directorate health and safety advisers and Safety Services. Task specific ("on the job") training will be organised and recorded by line managers and supervisors.

2.7 Learning from Incidents

It is imperative that lessons are learned from incidents (whether these lead to harm or are "near misses"). Significant incidents (whether significant individually or due to a trend occurring) will be reported immediately to all safety advisers and also discussed at monthly

safety adviser meetings and at regular meetings with School management. They will also be discussed at the University Health, Safety and Welfare Committee and at School Health and Safety Committees. Where necessary, changes to policy, procedures, training or other systems will be made to bring about organisational change to reduce the likelihood of recurrence.

3. Further information

3.1 Committee Structure

The Committee structure shown in Appendix 2 has been set up to oversee effective management of health and safety. In outline, the key committee is the People & Organisational Development Committee, which approves Policies and monitors performance. It receives reports from the University Health, Safety and Welfare Committee and Head of Safety Services.

3.2 Related Policies, Procedures, Guidelines and Local Protocols

3.2.1 Policies

This policy statement is supported by a range of policy documents that provide detail in relation to specific aspects of health and safety management. All policies are subject to consultation with key stakeholders, then approval through the Health, Safety and Welfare Committee and, subsequently, the People and Organisational Development Committee. Policies will be reviewed whenever there is a change to legislation or if new information comes to light (for example accident/incident data, health surveillance data, exposure limits) that affects a policy. Otherwise, all policies will be kept under regular review. Appendix 3 lists the supporting policies, all of which are available via University of Dundee – Safety Services Policies

3.2.2 Handbooks

The following handbooks provide information to staff and students that supports the policies of the University. All handbooks are available via University of Dundee - Safety Services Handbooks

- Clinical/Biological Waste
- COSHH
- Ergonomics and Repetitive Strain Injury (RSI)
- Fieldwork
- Good Laboratory Practice
- Safe Use of Microbiological Safety Cabinets
- Safe Working with Display Screen Equipment
- Staff Health and Safety
- Staff Quick Health and Safety Guide
- Staff Travel
- Student Health and Safety
- Student Travel
- Switch off Stress

- Working Safely with Genetically Modified Organisms within a Research Facility
- Working Safely with Human Blood, Tissues and other Specimens in Research Laboratories
- Working Safely with Micro-organisms
- Management of Solid Radioactive Waste
- Safe Handling of Radioactive Materials
- Protection Against Ionising Radiation
- Uranium and Thorium Safety Management

3.3 Definitions & Abbreviations

COSHH Control of Substances Hazardous to Health Regulations HROD Human Resources and Organisational Development OPD Organisational and Professional Development RSI Repetitive Strain Injury

Document Information

4.1 Equality Impact Assessment

This policy has been assessed for equality impact and no adverse consequences identified. Indeed, the policy aims to be supportive of people with relevant protected characteristics. The full equality impact assessment can be downloaded from: https://dmail-my.sharepoint.com/:f:/g/personal/nrhels_dundee_ac_uk/ErP2SdA5j9tGm0Hc9z7uGmkBoejiA0OqXdwHYt9n0-nl6w?e=US3aub

4.2 Approvals & Renewals

Document Name	University of Dundee Health and Safety Policy
Status	Pending Approval
Responsible Officer/Department/School	Safety Services
Policy Owner	People & Organisational Development
Date Last Approved	Committee
Due for Review	NNth XXX 2021
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Code	HSW Committee, P&OD Committee, Court

Appendix 5, Annex 5**SCHOOL/DIRECTORATE HEALTH & SAFETY MANAGEMENT POLICY****1. School/Directorate Health and Safety Management****1.1 Purpose**

To ensure that Schools and Directorates have appropriate arrangements in place for the overarching management of health and safety to ensure compliance with the requirements of the Management of Health and Safety at Work Regulations 1999 (as amended).

1.2 Objectives

To ensure that School and Directorate management are aware of their responsibilities regarding:

- having a local health and safety policy and associated procedures, including a health and safety committee and safety advisor
- ensuring that accidents, incidents and near misses are reported and investigated promptly and effectively to prevent recurrence
- inspecting workplaces under their control at an appropriate frequency and implementing corrective actions where deficiencies are identified
- ensuring suitable arrangements are in place to deal with serious and imminent danger
- reporting to central University groups on health and safety performance metrics

2. Policy Statement

Schools and Directorates are required to ensure that health and safety is managed effectively to prevent adverse health and safety events resulting from activities being undertaken. Such events include ill health or injury to staff, students or others and damage to equipment or contents. To ensure the effective management of health and safety, Schools and Directorates will implement the procedures and practices detailed below and will also comply with other University policies as appropriate to the activities undertaken.

3. Arrangements**3.1 Local Health and Safety Policy, Committee and Advisor**

Every School/Directorate within the University of Dundee will have a local Health and Safety Policy that details how the School/Directorate will implement the University's Health and Safety Policy. The local Health and Safety Policy will include:

1. a statement by the Dean/Director confirming their commitment to provide a safe and healthy working environment;

2. a section describing health and safety responsibilities held by individuals and committees to ensure effective management of health and safety issues;

3. a section giving specific details of health and safety arrangements.

The Dean/Director will ensure that the local Health and Safety Policy is updated annually and that all staff have access to paper and electronic copies.

An outline of a typical School/Directorate Health and Safety Policy is given in Appendix 1.

Every School/Directorate will constitute a local health and safety committee that will operate in line with the guidance provided within the University of Dundee Health and Safety Policy. Particular note should be taken of the desire of the University that campus union health and safety representatives be present at committee meetings.

Every School/Directorate will appoint at least one named individual to provide local advice on matters of health and safety. The individual(s) will be qualified appropriately and will have a dedicated amount of time allocated to their health and safety duties; both being in accordance with the range of work activities undertaken in the School/Directorate. The adviser will report to the School Manager or Director.

3.2 Accident/Incident Reporting and Investigation

Many accidents are preventable and so the University's health and safety arrangements are centrally reviewed and updated regularly to reduce the risks of accidents and Schools/Directorates must likewise review their local arrangements. When accidents do happen, it is essential that they are all reported and investigated promptly so that actions to prevent a recurrence can be implemented. Accident reporting and investigation is not about scapegoating and the University has a just culture to promote accident reporting. However, where negligent or wilful behaviour contributed to an accident, disciplinary action may result.

The University of Dundee also recognises the importance of "near miss" reporting as a vital part of its health and safety management system. Schools/Directorates must encourage all staff to report near misses, no matter how trivial.

An incident, for Health and Safety purposes, is any unplanned event where:

1. someone suffers an injury or ill health;
2. someone could have suffered an injury or ill health if the circumstances had been slightly different (often called a 'near miss' or 'near hit' or dangerous occurrence).

All staff and post-graduate students must report incidents using the form at:

<https://secure.dundee.ac.uk/safety/dundeeonly/accident-reporting/>

Serious incidents must be reported immediately by telephone to Safety Services (x84104).

Staff and students working in Clinical Areas under the jurisdiction of the NHS should report incidents using the NHS incident reporting system.

The School/Directorate must investigate every incident in sufficient detail so that the cause can be identified, allowing corrective actions to be implemented. Once a detailed investigation has been carried out, a copy of the investigation report must be sent to Safety Services and the incident noted as closed off.

Serious incidents will be investigated by Safety Services and may also be investigated by the Enforcing Authority (usually the Health and Safety Executive) and the University insurers. Full co-operation of the School/Directorate is required in any investigation and, in the case of investigation by an Enforcing Authority, any obstruction may give rise to enforcement action.

An example Incident Investigation Form and guidance notes is provided in Appendix 2.

3.3 Inspecting Workplaces

The University of Dundee recognises that workplace safety inspections are an integral and essential part of its health and safety management system and have a key role in improving standards. Inspections are also a legal requirement under Regulation 5 of the Management of Health and Safety at Work Regulations (1999). Therefore, it will ensure that inspections proportionate to the level of risk in a workplace are carried out at regular intervals. These inspections will be conducted in an open and positive manner, with the only objective being continuous improvement.

Deans/Directors will ensure that workplace safety inspections are carried out in accordance with the requirements below. They will ensure prompt action is taken regarding any issues identified during inspections.

Safety Services will provide training in undertaking of workplace safety inspections.

Note that appointed union safety representatives also have a legal right to undertake workplace inspections, as stated in The Safety Representatives and Safety Committees Regulations 1977. Nothing in this policy affects the rights of union safety representatives to inspect the workplace in accordance with their legal rights.

Requirements for inspections:

1. Frequency

Regular safety inspections are an important part of a School/Directorate's health and safety management system. The University H&S Policy recognises this and requires Schools and Directorates to carry out

inspections at frequencies commensurate with the risk posed by activities taking place in those areas. The table below identifies three levels of risk and the associated frequencies of inspection required.

Area Type	Example	Inspection Frequency
Low Risk	Office, meeting room, storeroom	Every 24 months
Medium Risk	Studio, general lab, low/medium containment lab	Every 12 months
High Risk	Workshop, foundry, high containment lab	Every 6 months

Examples (not an exhaustive list) of area types are provided in the table, but Schools and Directorates must assign all areas under their control a risk level and inspect those areas at the appropriate frequency. If there is doubt about the risk level for an area, the higher risk level will be chosen.

2. Purpose

Regular inspections provide a means for Schools/Directorates to measure safety performance against standards such as University Safety Policy Arrangements or local safety procedures. They also serve to identify unsafe procedures and unsafe conditions and rectify them before an accident happens. They provide an opportunity to ensure that other, more specific, checks and tests have been made at the appropriate intervals (e.g. LEV and pressure systems statutory inspections or electrical equipment checks). They facilitate compliance with the University's policy on risk assessment by identifying where risk assessments need to be completed.

3. Inspection arrangements

It may be convenient to develop a programme over the year, rather than attempting to inspect all the workplaces in one session. Inspections may be carried out by one person (e.g., the School Safety adviser) or, ideally, by a small team. There is no reason why staff should not be notified in advance of inspection dates and times; they are more likely to be cooperative if they do not feel an attempt is being made to catch them by surprise. Each inspection must have a "lead inspector" who takes charge of recording observations.

4. Inspection database

The University uses an inspection database containing bespoke checklists for all types of area. The checklists contain standardised items to check, but also allow any other observations to be recorded. The database keeps track of inspections that are due and outstanding actions, with reminders issued. Schools and Directorates must arrange for all areas under their control to be added to the database.

5. Inspection report

The database produces a report that includes the date and scope of the inspection and the names of those carrying it out. It also includes details of any issues identified (their nature, location and severity), the remedial actions with an indication of the priority and the timescale, and the person(s) responsible for taking remedial action.

Inspection reports should be discussed at the School/Directorate Health and Safety Committee to ensure that recommendations have been acted upon. Issues associated with taking corrective action must be escalated (to the Dean/Director if necessary) so they can be resolved without delay.

3.4 Serious and Imminent Danger

The University of Dundee recognises the need to have effective arrangements in place to minimise the risk of

injury and illness to staff, students, visitors and contractors in a wide range of foreseeable emergency situations. In all these emergency situations, the safeguarding of life takes precedence over any other considerations.

Deans/Directors must ensure plans to deal with foreseeable emergencies in areas under their control are prepared, resourced, tested and communicated to staff. They should be reviewed at least annually.

Foreseeable emergencies, which have occurred in recent years, include:

- accidents resulting in serious injury
- serious illness
- fire
- floods
- students and staff with urgent and/or severe mental health problems
- serious hazardous chemical spills and leaks
- mains gas leaks
- uncontrolled release of flammable gas
- complete power failures
- phone failures

Other foreseeable emergencies include:

- phone threats
- suspect letters, parcels and objects; bomb and bio-terrorism threats
- an active shooter/stabbing incident

Deans/Directors are responsible for resourcing their plans between 8.00am and 6.30pm, Monday to Friday. Out-with these hours Deans/Directors should liaise with Director of Estates and Campus Services to ascertain the level of support available from Campus Security and E&CS staff.

Staff must familiarise themselves with emergency arrangements at their usual work locations, and especially the number to dial in an emergency.

Emergency Numbers:

- City Campus, Wilson House and Botanic Gardens 4141
- Ninewells Hospital and Medical School 2222
- Dental School 2222 (daytime), 4141 (out of hours)
- McKenzie Building 9-999
- Kirkcaldy Campus 9-999
- Riverside Playing Fields 999
- Frankland Building 77-4141

Staff with responsibilities for the safety of students, visitors and contractors at the University must instruct these people in emergency arrangements.

Further guidance on emergency procedures is provided in Appendix 3.

3.5 Reporting of Health and Safety Metrics

As the governing body of the University with responsibility for the health, safety and welfare of staff, students and others affected by the University's activities, the University Court requires an annual report on health and safety matters. This report is provided by Safety Services via the Health, Safety and Welfare Committee and comprises metrics and analysis in relation to a range of matters, some of which Safety Services directly

compiles and some of which is obtained from Schools/Directorates.

Schools/Directorates are required to submit an annual return to Safety Services providing performance metrics in relation to a standard set of health and safety matters. A pro forma is provided for this.

4 Document Information

4.1 Equality Impact Assessment

This policy has undergone screening for impact on protected characteristics covered under the Equality Act 2010 and no impact has been identified.

4.2 Approvals & Renewals

Document Name	SPA01 – School/Directorate Health and Safety Management
Status	Draft
Responsible officer/department/school	Human Resources and Organisational Development
Policy owner	People & Organisational Development Committee
Date last approved	DD/MM/YY
Due for review	DD/MM/YY
Authorised and approved for publication	No
Date authorised for publication	DD/MM/YY
Information classification: public/internal	Public
Location in repository	N/A
Approval route and history	Health, Safety & Welfare Committee 01/09/2021
Code	N/A

Appendix 5, Annex 5, Appendix 1**Typical School/Directorate Health and Safety Policy****Statement**

As Dean/Director of [name of school/directorate] I am committed to providing a working environment for staff and students that is safe and healthy, as far as is reasonably practicable. I recognise that accidents and ill health to staff and students must be reduced to ensure the effective management of School/Directorate resources, to enhance the School/Directorate's good reputation and to improve the physical and mental wellbeing of staff and students working in this School/Directorate. I will promote a high standard of health and safety performance by providing active leadership, credible short, medium and long term plans for improvement, achievable targets to monitor progress, appropriate delegation, high levels of training, adequate resource, and firm but fair discipline. I will encourage a positive and open approach to health and safety, and show appreciation of effort and desire to improve. I will embrace fully the University's health and safety organisation and provide regular reports to senior management on this School/Directorate's progress.

Signature Date

Name

Organisation

(School/Directorate) comprises (number) staff and (number) post-graduate students and is based in (name and address of building).

All staff and post-graduate students must behave reasonably to comply with common and statute law. They must:

- Exercise care in relation to themselves and others who may be affected by their actions or omissions.
- Undertake mandatory University and School/Directorate training in health and safety.
- Carry out all work activities according to instructions and training.
- Utilise protective equipment and use guards or safety devices when provided
- Familiarise themselves with fire escape routes, location of fire alarm call points and fire extinguishers.
- Familiarise themselves with emergency procedures (e.g., bomb threat, flood, spillage).
- Consult their supervisor if they have any concerns regarding health and safety measures.
- Offer any suggestions and advice that they think may improve health and safety.
- Refer to the Safety Notice Board or School/Directorate intranet site regularly.
- Report all accidents and incidents immediately to their supervisor and School/Directorate Safety advisor, complete the University online incident reporting form as soon as possible and assist in the completion of accident/incident and investigation reports.

- Notify their supervisor and School/Directorate Safety advisor of any risks that will be introduced by new work being planned, or of any risks in existing work that were not recognised previously.
- Contact the Occupational Health Service if they think they may be suffering from a work-related illness or have an illness that may affect their work.
- Take immediate action to make a dangerous situation safe without placing themselves at risk (e.g., mop up spills, report immediately faulty items of equipment).
- Ensure that all hazardous substances are clearly labelled and appropriately stored to avoid harm to other people, such as cleaning and maintenance staff, and to visitors.

In addition, I have delegated to Heads of Group/Supervisors responsibility for implementation of University safety policy arrangements within the area they control, and they are accountable to me. (List names and area of responsibility in an Appendix)

They must:

- Carry out risk assessments before work starts, and implement the significant findings
- Ensure risk assessments are updated regularly
- Notify me of risk assessment findings when significant additional risks and controls are identified
- Obtain necessary licences and authorisations from Enforcing Authorities
- Provide information, local rules and training to staff and students, and ensure records are kept
- Supervise staff, students and visitors
- Provide reports to me.

In addition, as Head of School/Directorate I have been delegated with responsibility for implementation of University Safety Policy Arrangements within this School/Directorate, and I am accountable to (Vice Principal/Secretary).

I must:

- Draw up short, medium and long term safety plans to ensure resources are allocated according to level of risk
- Have procedures in place to ensure all Heads of Group/supervisors complete risk assessments
- Ensure adequate resources are available to implement findings of risk assessment before work starts
- Become involved in School/Directorate Safety inspections, and investigations of serious accidents/incidents
- Appoint competent people with safety advisory duties, provide them with authority and resource, and ask them to report to me regularly on compliance with local rules, and immediately with significant issues (e.g. serious accidents and incidents).

I have appointed:

1. A School/Directorate Safety Advisor to advise on University Safety Policy Arrangements, risk assessments, local rules, statutory tests, licences required, to coordinate inspections and accident investigations, and to liaise closely with Safety Services.
2. A suitable number of qualified First Aiders to provide emergency medical care, and to contact emergency services if required.
3. A suitable number of Fire Wardens (and Marshals in large/complex buildings) to manage the emergency evacuations of buildings.
4. Display Screen Equipment risk assessors to carry out DSE work-station risk assessments.
5. If necessary due to the types of activity undertaken, Manual Handling risk assessors to carry out manual handling risk assessments.

(Deans whose staff and post-graduate students use radioactive substances will appoint a RPS). A Radiation Protection Supervisor who has authority to secure compliance with local rules, experience to supervise all radiation protection aspects of work within School/Directorate, expertise to deal with emergency situations, initiative to seek information or advice when required and excellent record keeping skills.

(Deans whose staff and post-graduate students use lasers will appoint a Laser Supervisor Officer) A Laser Safety Officer to advise on local rules for safe use of lasers.

(Deans whose staff and students deliberately culture micro-organisms or genetically modified organisms or work with potentially infectious materials will appoint a BSA) A Biological Safety Adviser who has the knowledge and experience to advise on risk assessments, local rules, licenses required, disinfection and waste disposal, and the expertise to carry out formal biological safety inspections and investigate accidents.

Advisory Structure

Names and contact details of:

School/Directorate Safety Advisor

Unit Safety Co-ordinators

Fire Marshall/Fire Wardens

Biological Safety Adviser

Radiation Protection Supervisor

Laser Safety Officer

Display Screen Equipment Risk Assessor

Manual Handling Risk Assessor

Union Safety Representatives and Employee Safety Representatives:

Names and contact details.

University Safety Services, Floor 8, Tower Building, tel 84104

- Nicholas Helps, Head of Health and Safety and University Biological Safety Adviser, tel 84745
- Damian Leddy, Deputy Head of Health and Safety and University Radiation Protection Adviser, tel 88467

- Ciara Norman, Safety Services Administrator, tel 84104
- Tom Kane, Fire Safety Adviser, tel 85030
- Martin Rollo, Hazardous Waste Manager and RPO, tel 88468
- Derek Bateman, Hazardous Waste Technician
- Robert Bruce, Hazardous Waste Technician

University Occupational Health Service, First Floor, Old Technical Institute, tel 85410 or 86948

- Lynn Wild, OH Nurse
- Annette Haigh, OH Nurse
- Lynsey McNaughton, Admin Support
- Marnie Finlayson, Admin Support

Committee structure

School/Directorate has a safety committee constituted in line with guidance provided within the University of Dundee Health and Safety Policy Statement, and including representation from the campus unions.

Arrangements

This section details how this School/Directorate complies with Safety Policy Arrangements given in the University Health and Safety Policy.

1. Accident reporting and investigation

All staff and students must report accidents/incidents immediately to their supervisor and the School/Directorate H&S advisor and will assist in the completion of the online Accident/Incident report and an investigation report. Accidents will be investigated by (name), and I will become involved in investigation of serious accidents.

2. First Aid

First Aiders are (names and contact details). First Aid boxes kept (location) and contents checked weekly by (name)

3. Fire Safety

Fire alarm tested on (day and time) each week by (name). Fire drills organised by (name) each (frequency – at least annual). Fire Incident reports are completed online by (name). Fire Log book held by (name and location). Fire workplace inspections carried out by (name).

4. Emergency procedures

Emergency numbers:

- City Campus, Wilson House and Botanic Gardens 4141
- Ninewells Hospital and Medical School 2222
- Dental School 2222 (daytime), 4141 (out of hours)
- McKenzie Building 9-999
- Kirkcaldy Campus 9-999

- Riverside Playing Fields 999
- Frankland Building 77-4141

Any request for emergency help or advice should always be as concise and clear as possible, answering the questions of “where, what, when, who”.

Call out lists are held by (name), and emergency/hazardous area plans by (name).

5. Visitors

All visitors must report to (name) and (location) who will record their presence.

6. Security

All staff must take reasonable care of their belongings. Staff and students should wear their ID badges at all times whilst at work/study. All staff should ask strangers to identify themselves and their business if they feel confident to do so. Last person to leave office must lock final exit door.

7. Out of hours working

Normal working hours are (times – refer to Estates and Campus Services Policy). Any work outside of these times must be sanctioned by the supervisor/line manager and subject to completion of an appropriate risk assessment, suitable health and competency of individuals intending to work out of hours and completion of appropriate training. Undergraduate students must be supervised by a suitably competent individual at all times when in University buildings out of hours.

8. Lone working

There is no restriction on lone working office activities during normal hours of work, but other lone work activities must be risk assessed on a case by case basis.

9. No smoking

Smoking is not permitted within School/Directorate.

10. Safety Notice Board/Intranet site

Safety Notice Board/Intranet site is located at (location/URL), and is maintained by (name)

11. Safety signage

Safety signs are posted and maintained by (name).

12. Manual Handling

Manual handling risk assessments are carried out by (name).

13. Slips, trips and falls

All staff should remain vigilant for hazards that could cause slips, trips and falls, and take immediate action (e.g. clean up spills, report damaged flooring to Estates & Buildings). Step ladders or step stools are available at (location) for access to high level storage. Supervisor should remind all staff and post-students that appropriate footwear should be worn when at work.

14. Glass

Glass for disposal is placed in (receptacle) and uplifted by (name).

15. Use of motor vehicles

Staff and students who use motor vehicles for work purposes must give a copy of their driving license to (name) annually. Staff and students who use a privately owned motor vehicle for work purposes must ensure their motor insurance includes business use. Staff and students must not use mobile phones or electronic hand-held devices when driving and must complete a risk assessment if required under the travel policy. Hazardous substances must not be carried in motor vehicles unless the School/Directorate Safety Advisor has been consulted, and the substance has been classified, packaged and labelled in compliance with legislation.

16. Health and Safety Induction training

All new staff and students must attend induction training carried out by (name), with records kept by (name).

17. Health and safety training

Most health and safety training given to staff and post-graduate students will be provided by Head of Groups as 'on the job' training as an integral part of how to undertake the work activity. University Safety Services organise health and safety training for School/Directorate Safety Advisory staff and School/Directorate management. All staff and post-graduate research students will complete mandatory University and School/Directorate health and safety training.

18. Monitoring health and safety standards

All staff must always be observant for hazards and take immediate action to remove risk or report hazards immediately to School/Directorate Safety Advisor or appropriate person. All staff should ask colleagues in the first instance to revise their work procedure if they are causing danger to themselves or other people. Persistent non-compliance with local rules should be reported to their supervisor and the School/Directorate Safety Advisor.

Formal inspections will be carried out by (names) according to the requirements of University policy.

19. Reporting health and safety concerns

Health and safety concerns should be reported by people in the first instance to their supervisor or the School/Directorate Safety Advisor. If the concern cannot be resolved by these people then it should be reported to me, as the Dean/Director, and I will consult Safety Services if necessary.

Staff and students can contact Safety Services directly with urgent and serious concerns that have not been resolved by their Dean/Director.

Staff and students may wish to contact their Union Safety Representative or Employee Representative of Safety.

20. Risk Assessments

Heads of Group will complete risk assessments using forms and guidance provided by School/Directorate Safety Advisor before work activity starts. All staff and students must ensure they have read and understood the risk assessments for the work they undertake, and their understanding should be recorded. Completed risk assessments are held by (name) and (location).

21. Field Work

Staff and post graduate students on fieldwork must notify (name) before they leave, during their fieldwork, and on their return so their whereabouts is known at all times. They must follow information given in Field Work Guidance.

22. Occupational Health

All staff and post-graduate research students must comply with arrangements for occupational health. They should report work-related health concerns to the OH Service immediately.

23. Electrical safety

All staff and students must visually inspect electrical equipment before use and ensure cables are routed safely. All staff and students must turn off equipment before leaving work. All staff should notify (name) of new electrical equipment so it can be inspected by (Name) before use and entered onto the inventory held by (name). Portable Appliance Testing is carried out by (name). Faults reported to (name), and repairs are carried out by (name).

24. Equipment

(Name) holds the inventory of School/Directorate equipment. All staff must notify (name) of new items of equipment purchased by the School/Directorate so that they can be entered into the School/Directorate Inventory. Maintenance of equipment is arranged by (name). All staff and students must report equipment faults to (name) immediately and take action to prevent unsafe equipment being used (e.g., unplug electrical equipment and post a warning notice).

25. Statutory testing

(Name) will arrange with E&B, Safety Services or external contractor for statutory testing to be carried out where this is necessary. Test reports will be held in the School/Directorate by (name).

26. Display Screen Equipment

Staff and post-graduate research students should contact (name) to complete a DSE self-assessment, which should be updated when any significant changes occur. All staff and students should organise their work so that they can take 5-10 minute breaks every hour from their workstation.

27. Personal protective equipment (PPE)

Staff should notify (name) of new PPE purchased by School/Directorate, so that it can be entered into the Inventory. PPE is stored at (location). PPE is cleaned by (name) and (frequency). PPE is checked by (name) and (frequency). Records kept by (name) and (location).

(Laboratories and workshops)

28. Flammable liquids

All staff and students should ensure minimum quantities required for daily use are stored in (location). Large volumes are stored in (location), and key to store is held by (name)

29. Substances posing a serious health hazard

Chemicals that pose a serious health hazard are stored in locked cabinets as per University policy (see University COSHH policy). Access to the store is controlled by (name).

30. Compressed gas cylinders

Full and empty gas cylinders are stored in (location), contact (name) for delivery. Regulators are inspected by (name).

31. Liquid nitrogen (and other cryogenic gases)

Bulk storage of liquid nitrogen is (Location), contact (name) for delivery. Small volumes of liquid nitrogen (less than 1L) can be used in a well ventilated space. Sample storage containers are located at (location) and are filled by (name) at (frequency). All users of liquid nitrogen must receive training from (name) and follow local rules. Liquid nitrogen must not be transported in private motor vehicles.

32. Radiation Safety

Staff and students using radioactive substances for the first time within the School/Directorate must ask Radiation Protection Supervisor (RPS) for RadPer and RadNuc forms. Staff must inform RPS of new UV equipment, microwaves (except those used for cooking food) and other sources of hazardous non-ionising radiation. An inventory of equipment is held by (name). Staff must inform Laser Safety Officer of new lasers brought into School/Directorate. An inventory of lasers is held by Laser Safety Officer.

33. Cleaning hazardous areas

Hazardous areas are cleaned by (name) at (frequency).

34. Hazardous waste

Waste to be autoclaved is taken to (location) by (name) on a (frequency). Clinical waste is taken to (location) by (name) on a (frequency) for uplift by Safety Services. Radiological waste is taken to (location) by (name) on a (frequency) for uplift by Safety Services. Chemical waste is taken to (location) by (name) on a (frequency) for uplift by Safety Services. Photographic waste is taken to (location) by (name) on a (frequency) for uplift by Safety Services.

Appendix 5, Annex 5, Appendix 2

Sample Incident Investigation Form and Guidance Notes

1. Full details of accident/incident

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2. Conclusions regarding cause of Accident/Incident

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3. Recommendations to prevent similar Accident/Incident happening

Attach additional sheets if required

Signature:

Date completed:

GUIDANCE NOTES

Summary

An accident/incident for Health and Safety purposes is any unplanned event where:

1. Someone suffers an injury or ill health, or there is damage or loss to property;
2. Someone could have suffered an injury or ill health or there could have been damage or loss to property if the circumstances had been slightly different (often called a 'near miss' or 'near hit' or dangerous occurrence).

Note: The primary aim of an investigation is to establish the cause of the accident/incident. Knowing the cause of an accident/incident will identify the appropriate action to prevent a recurrence. An investigation is not undertaken to apportion blame for the accident/incident. This approach is unlikely to succeed in determining the cause of the accident/incident, since vital information may not be forthcoming.

As much information as possible regarding the cause of the accident/incident should be gathered for the following reasons:

1. To prevent a similar accident occurring;
2. To report to the Enforcing Authority (usually the Health and Safety Executive) and to the University's Insurers, as necessary.

Immediate action may be required to prevent further accidents before starting the investigation (e.g., stop an activity or withdraw equipment from use). **Following a serious accident/incident, the area where the event occurred must be secured and no-one allowed to enter or interfere with it.** The Police, Health and Safety Executive and other University staff may have to examine the area.

Procedure

Consider the severity or potential severity of the accident/incident when deciding upon the depth of the investigation. A full and detailed investigation is required for serious accidents; a less detailed one for minor accidents. The investigation must gather sufficient information to identify causes and measures to help prevent a recurrence. Only when this is achieved will the investigation be completed. Use the following checklist as a guide to structuring investigations and reports:

1. Obtain basic facts

- Has anything been altered since the accident/incident?
- Names of injured/ill employees/witnesses/people first on the scene
- Extent of injury/ill health/damage/disruption
- The task that was being undertaken at the time of the accident/incident
- The time, place and layout of area (building, room)

- The environmental conditions (lighting, ventilation, slippery, obstructions, weather conditions if outside)
- Record conditions (e.g., take photographs or make sketches)

2. Obtain witness statements

- Name, contact details and occupation of witness
- What did they observe and what did they do?

Note that statements should be obtained as soon as possible and individually, so people can give their own account. Statements should be signed/dated or otherwise marked for authenticity and time of the statement.

3. Establish circumstances

- What was being done at the time and what happened?
- What was the accepted method for carrying out the task? Was it being followed? Was it adequate?
- Was the individual competent to carry out the task (qualifications, experience)?
- What instruction and training was given (records available)?
- Were they aware of the risk assessment for task (how they could be harmed and the measures they should take to prevent harm)?
- Had the individual(s) been told to carry out the task, or were they acting on their own initiative?
- Has something similar happened previously?

4. Immediate response to accident/incident

- Was prompt and appropriate action taken (e.g., firefighting, first aid, spillage procedure, make area safe, restrict access, isolate electricity, warning notices, referral to Occupational Health)?

5. Identify preventative measures

- Review the risk assessment for the task (keep a copy with the report). Is it suitable and sufficient?
- What safety precautions were in place and what safety precautions should have been in place?
- What instruction and training was given and what instruction and training should have been given?

6. Identify underlying/root causes

- Was supervision and training adequate?

- Was equipment suitable for task?
- Was equipment maintained and tested adequately?
- What pressures/constraints, if any, were being applied?
- Was communication adequate between relevant parties?

In particular, it is important to attempt to identify “root causes”. This can often be achieved by repeatedly asking “Why?” when a response is given to a question. For example:

“A person tripped on an entrance mat” – Why? “Because the mat was worn” – Why? “Because it had not been replaced in X years” – Why? “Because the maintenance budget would not allow” – Why? “Because management did not prioritise it and approve sufficient budget” – Root cause

It is worth noting that almost all accidents can be traced eventually back to failures in management.

7. Actions to prevent a recurrence

- Could the outcome have been more serious?
- What needs to be done to prevent a similar accident/incident?
- Were the safety precautions adequate but not implemented; why not?

Actions to prevent recurrence include:

- Better guarding or barriers
- Better test and maintenance schedules
- Revised work method
- Provision and use of personal protective equipment
- Improved supervision, training, inspection, instruction and information
- Better communication
- Review similar activities elsewhere to establish if similar failures exist

Don't forget...

Nobody is perfect and each person involved in the investigation will perceive things differently and may miss important points. A team approach is best for serious incidents, since it helps to minimise the above issues and prevent confirmation bias. However, care must be taken to avoid “group think”, where one person's view dominates the outcome. Care must also be taken to avoid hindsight bias. What may appear obvious after the event would not necessarily have been obvious beforehand, given the myriad of pressures and potential risks present.

Try to be thorough and logical in the approach taken. Do not make assumptions and always deal with facts and not hearsay/anecdotes (although these should always be listened to and can provide useful insight into the general quality of management/oversight/working practices).

Appendix 5, Annex 5, Appendix 3**Guidance on Emergency Procedures****1. Accidents resulting in serious injury**

[https://www.dundee.ac.uk/media/dundeewebsite/safetyservices/documents/policy/First%20Aid%20\(rev.%202017\).pdf](https://www.dundee.ac.uk/media/dundeewebsite/safetyservices/documents/policy/First%20Aid%20(rev.%202017).pdf)

2. Serious illness

[https://www.dundee.ac.uk/media/dundeewebsite/safetyservices/documents/policy/First%20Aid%20\(rev.%202017\).pdf](https://www.dundee.ac.uk/media/dundeewebsite/safetyservices/documents/policy/First%20Aid%20(rev.%202017).pdf)

3. Fire

<http://www.dundee.ac.uk/safety/policy/fire/spa-05-2005/>

4. Major floods

Floods may be caused by natural phenomena (e.g., heavy rain) or failure of building services. In the case of natural flooding, PHONE the emergency number to call out E&B and, without putting yourself in danger, try to prevent further damage to furniture, equipment, etc. This could involve putting item up on shelves or moving items to higher floors of a building. If you think an electrical supply has been affected, do not switch electrical items on/off or use affected electrical items. Do not enter a flooded area where there is a suspicion that water has affected the electrical supply.

In the case of building services failure, without putting yourself at danger, try to find the cause and turn off tap/valve Open drains where possible. Most fittings have an isolation valve installed in the supply pipework which can be used to stop the supply. If you think an electrical supply has been affected, do not switch electrical items on/off or use affected electrical items. PHONE emergency number to call out E&B.

5. Students with urgent and/or severe mental health problems

<https://www.dundee.ac.uk/student-services/health/mental-health/>

6. Serious hazardous chemical spills or leaks

Where a spill or leak of a chemical represents a serious hazard to health (especially by inhalation), evacuate the immediate area and the surrounding areas as required. If there is a risk of an explosive atmosphere (or you cannot tell), do not activate the fire alarm, but ask occupants to leave. Do not switch off lights or other electrical equipment. If an inhalation hazard, open windows and doors as you leave, but do not wedge open fire doors.

PHONE emergency number to call out Fire and Rescue Service and provide them with as much information as possible regarding the incident (e.g. name and amount of chemical, hazard(s) it presents and any people who are in danger).

7. Complete power failures

During daylight hours for many buildings there should be sufficient natural light and/or emergency lighting for staff to see where they are going. Fire alarm systems will also continue to operate on battery supply for at least two hours. Therefore, there is no immediate need to leave the building, but the School/Directorate emergency plan should be enacted so that planning for various scenarios can be started.

If there is no, or insufficient light (either daylight or emergency artificial lighting) for staff to see where they are going then they should go home.

8. Uncontrolled release of flammable gas from compressed gas cylinder

If possible and you feel confident to do it, turn off the gas cylinder at the cylinder valve. Ventilate the area as much as possible by opening windows and doors and evacuate the immediate area.

If this is not possible, then evacuate the entire building. Do not activate the fire alarm, but ask occupants to leave. Do not switch off lights or other electrical equipment. Open windows and doors as you leave, but do not wedge open fire doors.

PHONE emergency number to call out Fire and Rescue Service.

9. Mains gas leaks

If you smell gas, leave the area where gas was smelled and:

- PHONE the National Gas Emergency Service on 0800 111 999
- Also PHONE the emergency number to call out E&B.

If you are in no doubt that there is a major leak of gas inside a building (e.g. obvious damage to pipework, overpowering smell) then evacuate the building immediately. Do not activate the fire alarm, but ask occupants to leave. Do not switch off lights or other electrical equipment. Open windows and doors as you leave, but do not wedge open fire doors.

If you are in no doubt that there is a major leak of gas outside a building (e.g. overpowering smell) then stay in the building and close all windows. Stay away from windows and evacuate areas near to the source. Do not switch off lights or other electrical equipment. Consider evacuating the building.

In all cases, remember that your sensitivity to the additive that gives natural gas its smell will reduce with time and so you should be aware that the level of gas could build up without you noticing.

10. University phone failures

Many people have mobile phones on them. These can be used to contact Emergency Services, so there is no need to evacuate the building solely because the phone system fails. Lift alarms operate via the mobile data network and will continue to operate.

Other foreseeable emergencies include:

11. Phone threats

Listen carefully to the caller. Keep them on the line as long as possible and try to get and record as much information as possible by asking:

- What is the threat?
- Where is it?
- When will it happen?
- Why are you making this threat?
- Are you part of an organisation
- What is your name, address and telephone number

Try to gain as much information about the caller as you can from their voice type and accent, and background noises. Immediately following the call:

- PHONE emergency number to contact the Police
- Use the University emergency telephone number to contact Security

12. Suspicious letters, packages and objects -bomb threats

Various staff within the University have been trained in identifying suspect packages. If you have concerns about a package, leave the package where it is and try to contact someone who has been trained (do not use a two-way radio or mobile phone within 3 meters of the package).

General guidance of what to look for:

- Excessive postage, or no postage or non-cancelled postage
- No return address
- Unexpected or unknown sender
- Handwritten or poorly typed addresses
- Address has been printed unevenly or in an unusual way
- Incorrect spelling of name
- Incorrect address
- Incorrect title
- Postmark does not match return address
- Unusual post mark or postage paid marks
- A jiffy bag or similar padded envelope has been used
- Envelope flap is stuck down completely (usually a letter has 3-5mm ungummed gap at corners)
- Oily stains, discolouration or strange odour (e.g. almonds, marzipan)
- Excessive weight
- Lopsided or uneven weight to the package
- Protruding wires or aluminium foil
- Excessive tape or string
- Ticking sound

There is obviously no easy rule to establish if any of the above indicators means that a package is a threat, but if you are concerned, the best course of action is to treat it as suspicious.

If you find a suspicious object:

- Do not touch the object in any way
- Clear the immediate area surrounding the object
- Leave doors open to ease access for emergency responders
- Instruct other people to move away from the object
- Prevent other people from entering the area (e.g. warning signs)
- PHONE emergency number on land-line phone to call out Police and report the nature and location of the suspicious object. Do not use a mobile phone or hand held radio in the vicinity of the suspicious object.
- Remain on hand to brief the Police

When opening letters and packages:

- Use a letter opener, not hands, to open
- Open with minimum of movement to avoid spilling contents
- Be wary of letters with an additional inner envelope that is tightly taped or tied

Keep your workplace tidy. This will make it easier for you and others to identify suspicious objects. Have a quick look around when you arrive at work.

In some instances it may be safer to keep people inside buildings than to evacuate them, but this will depend on the information received about the alleged bomb and Police advice.

13. Suspicious letters and packages-Bio-terrorism threats

- For UNOPENED suspect letters and packages:
- Do not open
- Place in a plastic bag or some other type of container
- If a suitable container is not available, cover with anything (e.g. paper, clothing)
- Do not touch face with hands
- Ask everyone to leave the room, closing doors and windows, but to remain in vicinity (i.e. empty adjacent room; in corridor outside room)
- Prevent people from entering (e.g. ask colleague to stand guard; put up notice)
- Everyone who has handled the item should wash their hands with soap and water
- PHONE emergency number to report immediately to police
- List all people who were in the room

For OPENED letters and packages that contain or spill a suspicious powder/liquid:

- Gently cover immediately with anything (e.g. paper, clothing)
- Do not try to clean up spill
- Do not touch face or other part of body with hands
- Remove contaminated clothing; if possible place in plastic bag or other sealed container
- Ask everyone to leave the room, closing doors and windows, but to remain in vicinity (i.e. empty adjacent room; in corridor outside room)
- Prevent people from entering room (e.g. ask colleague to stand guard; put up notice)
- PHONE emergency number to report immediately to police
- Everyone should wash their face and hands with soap and water
- List all people who were in the room

14. Active shooter or stabbing incident

If you are inside a building and you are notified of a shooter outside or hear that someone is using a bladed weapon, then remain indoors. Lock external doors and close ground floor windows. Keep away from doors and windows. If you hear shooting/disturbance close by and you believe it is inside the building, then quickly and quietly move away in the opposite direction and try to leave the building if possible. Once outside, move away from the building and find a place that provides protection. PHONE the emergency number to report immediately to the police and then follow their instructions.

If you cannot leave the building (e.g., you encounter a locked door) then get into a room (without windows if possible) and lock or barricade the door. Keep away from doors and out of sight from windows. If you have a mobile phone, put it on silent. If you phone the emergency services, keep your voice as quiet as possible and follow any instructions given. Keep quiet and do not open the door for any reason. Even if someone says they are police/security/etc, do not open the door. Once police do arrive, they will force entry to check every room. Comply with their instructions precisely and expect them to be “firm” in their handling of you. They will consider you to be a threat until they are certain you are not.

Appendix 6

WELFARE & ETHICAL USE OF ANIMALS COMMITTEE

A meeting of the Committee was held on 15th July 2021.

Present: The Convener;
 the Director of Biological Services (DBS);
 the University Veterinary Surgeon (UVS);
 the Training Coordinator (TC);
 three NACWOs;
 the Establishment Licence-Holder;
 two holders of Home Office licences; and
 four other members.

1. MINUTES OF LAST MEETING

These were approved.

2. MATTERS ARISING

3. Research overseas. This was discussed further under agenda item 3 below.

5. Use of animals in 2020. The Committee noted that the data had been published on the University web site in time for the release of the national statistics.

9. Remit and terms of reference. The revised document has been adopted.

AOCB. Whistle-blowing. The UVS and DBS reported that this had been explored at recent workshops for personal licence-holders. About a third of the participants had seen practices at the University that caused them concern and all of these people had told someone [N.B. These concerns were not necessarily related to animal use].

Closure of the MSRU. The member of the University Court reported that this had been discussed at the recent meeting of Court. The Court wished to reduce the University's risk, both of the potential for animal welfare concerns and for compromised scientific outcomes, and the matter would be discussed again at its meeting in September. In the meantime, there should be better communication of the progress of the project.

3. RESEARCH OVERSEAS

The Committee considered a draft set of principles and a document template that had been prepared by the DBS for the review of overseas research projects involving animals. These were approved, with the suggested addition to the template of questions to ascertain the local regulatory mechanisms at the overseas establishment and the animal welfare practices relevant to the species to be used in the particular research project.

Resolved:

- The DBS to amend the template and circulate it to all relevant PIs, Deans and Associate Deans for Research.

4. **NC3RS SELF-ASSESSMENT FOR ESTABLISHMENTS**

The Committee considered a questionnaire prepared by the NC3Rs and intended to assist research institutes in measuring their compliance with the 3Rs. There was agreement that self-assessment in this area would indeed be very valuable, but that not all topics covered in the NC3Rs form might be directly applicable to the University.

Resolved:

- The DBS to prepare specimen answers and comments to the questionnaire as an internal exercise, for discussion at a future meeting of the Committee.

5. **PROGRESS REPORT FROM A PROJECT LICENCE-HOLDER**

The Committee reviewed this report, which had been prepared in order to fulfil a special condition on the licence and had been accepted in full by the Home Office inspector. The UVS noted that scientific data obtained in the reported study were reproducible and the harms that the animals experienced were considerably less than might have been expected, based on the possible adverse effects stated in the project licence protocol. There were still refinements to be made to the anaesthetic regime, particularly to speed up the reversal phase. Should greater harms be observed in future, the Committee will be notified.

6. **REPORT FROM THE UNIVERSITY VETERINARY SURGEON**

(standing agenda item)

- i. One research group had been experiencing an intra-venous injection failure rate that was higher than would normally be expected. The UVS had discussed this in detail with the principal investigator. There appeared to be at least two reasons. Firstly, the personal licence-holder concerned had been under pressure to complete series of injections before sampling from the same animals could begin. Study designs have now been altered to reduce this time pressure. Secondly, lighting may have been sub-optimal and this had now been improved. Both may have significantly impacted on the confidence of the personal licensee, adding to the pressure on them. The licensee has therefore been culling surplus animals using an i/v overdose of anaesthetic, in line with schedule 1, under supervision to provide an opportunity to perform the technique in a less high-pressure environment to rebuild confidence. Lastly, the experimental design required the entire dose to be delivered into the vein to be counted a success. The principal investigator had re-iterated that this was essential but that it might be possible to complete a study with fewer animals, should injections into some be problematic. The UVS will be analysing more recent study reports and will update the Committee at a future meeting;
- ii. There had been weight-loss issues in an irradiation study. The principal investigator wished to use prophylactic antibiotics in a future study but the UVS considered that using a lower and/or fractionated dose might be even better. A meeting between the principal investigator, the UVS and a local expert will be arranged;
- iii. A male mouse had experienced a partially ruptured tendon, which did not appear to be painful or to restrict his movement. The animal had therefore continued on the study;

- iv. One mouse had experienced a herniated intestine as a result of fighting and had been euthanised;
- v. One rat had exhibited ear necrosis in a study that involved the placement of catheters in the major blood vessels of the neck. A standard condition 18 report had been submitted to the Home Office and the duty inspector had allowed the animal to remain on the study. The UVS considered the most likely cause to be a thrombus, but noted that the research group was very experienced and this was the first time such an outcome had been seen;
- vi. Another standard condition 18 report had been submitted in which a personal licence-holder had injected saline instead of an anaesthetic overdose while conducting Schedule 1 procedures. All the injections had been performed competently and no animal harms arose from the use of saline. However, the saline injection was not authorised by a project licence, so was reported, with the agreement of the personal licence-holder and the project licence-holder, as a non-compliance. Internal reporting of the error had been swift and correct. A formal outcome had not yet been communicated by the Home Office.

7. REPORT FROM THE TRAINING COORDINATOR

(standing agenda item)

- i. Since the last meeting, 40 DOPS assessments had been carried out and 31 online training modules had been completed. Seven candidates had completed mandatory accredited training for personal licence-holders and one the mandatory training for project licence-holders. Three candidates have been granted an extension in which to complete practical training before accredited certificates can be issued. Two new personal licences had been issued and one existing licence had been 'upgrade' to PILF (prolonged anaesthesia);
- ii. Recent local workshops for personal licence-holders and colony managers have been provided, with attendance of 75 and 28 respectively;
- iii. The local requirement for online modules in severity assessment and experimental design had been communicated to all personal licence-holders. Eight had completed the first module and nine the second. Ten licence-holders had completed local training in experimental design; Specific training in experimental design matters was being arranged for Biological Services staff who hold personal licences.

8. REPORT FROM THE DIRECTOR OF BIOLOGICAL SERVICES

(standing agenda item)

The report from the DBS on licensing matters was reviewed. There had been no significant additional issues raised by the inspector, other than noting that non-technical summaries do not always avoid specialist language.

9. **AOCB**

The UVS reported that the Home Office had published the national statistics on the use of animals in research. There had been a general down-turn of about 15% (less in commercial establishments and more in academic ones), which was in line with local figures.

10. **DATE OF NEXT MEETING**

To be confirmed.

Appendix 7**WELFARE & ETHICAL USE OF ANIMALS COMMITTEE**

A meeting of the Committee was held on 14 October 2021.

Present: The Convener;
 the Director of Biological Services (DBS);
 the University Veterinary Surgeon (UVS);
 the Training Coordinator (TC);
 two NACWOs;
 the Establishment Licence-Holder;
 five holders of Home Office licences;
 one other member; and
 two senior animal care staff.

1. MINUTES OF LAST MEETING

These were approved.

2. MATTERS ARISING

3. Research overseas. The template for seeking information on projects involving activities overseas is in preparation (DBS). The UVS reported that a project that the Committee had previously approved to be carried out in the USA had been relocated to the UK, at the wishes of the funding body.

4. NC3Rs self-assessment. This is in preparation (DBS).

3. APPLICATION FOR A PROJECT LICENCE WEC2021-18

This had previously been circulated by email and had been approved by all those members required for quorum, except for a NACWO. No further issues were raised and the NACWOs present at the meeting were content to approve the application. Approval was thus given without interviewing the applicant.

4. APPLICATION FOR AMENDMENT TO A PROJECT LICENCE WEC2021-15

This had previously been circulated and detailed comments had been received from several members of the Committee. The Committee agreed that the level of detail to be resolved was better addressed in a smaller forum than at a meeting.

Resolved:

- To appoint a sub-group of the Committee, to include a veterinary surgeon, two scientists and an animal care technician with experience with some of the model systems, to interview the applicant. A revised document will be circulated to the Committee in due course.

5. **MERGER OF THE RESOURCE UNITS**

The DBS and UVS reported that planning for this was underway. A scientific member reported that approval had been given to purchase anew the major pieces of equipment that would be needed to support the work of researchers from the Medical School. Another scientific member requested more regular communication on the progress of the project. Should ethical concerns arise during the merger process, these will of course be brought to the Committee.

The Convenor concluded that the Committee's strategic vision should focus on the urgent critical need for the University to update its animal facilities and make them better fit for the current and anticipated scientific needs and further improvement in the enrichment of the animals' lives. The UVS commented that information she has received indicates that future funding of research involving animals will most likely be directed to the most modern facilities. A strategic vision in this area is potentially very important to the University in order to attract funding.

6. **TERMS OF REFERENCE**

The Committee was invited to review its own terms of reference in the light of the first two (of a planned four) "All about the AWERB" weeks organised by the RSPCA. The UVS confirmed that she had previously reviewed the Committee's activities in regard to the mandatory functions of an AWERB and was satisfied that these were being covered fully at the time, but will review this again. There is still doubt as to how the Home Office proposes to audit AWERB operations, but other Establishments are being audited at the present time and we expect some feedback from them. The UVS also reminded the Committee that all members will be given the opportunity to review all applications for project licence applications, though some will be so simple that they can be approved by the usual "fast-track process" if other members are in agreement.

The Committee agreed that there should be an induction process for all new members. The documents produced by the RSPCA, in particular those aimed at lay members, will be useful sources, but it would be best to have local documentation tailor-made to the University and Committee.

Resolved:

- DBS to prepare draft induction documentation;
- Members of the Committee to send suggestions of information to be included in this documentation to the DBS or UVS;
- UVS will review mandatory functions and present findings to next full Committee meeting;
- Terms of reference to be kept under regular review.

7. **STANDARD CONDITION 18 REPORTS**

(The Home Office expects these reports of unexpected adverse animal welfare events, made to the Home Office by or on behalf of project licence-holders, to be discussed at meetings of the AWERB)

The UBS reported on the following SC18 reports and requests for regulatory advice, all dating from since the last meeting of the Committee:

- An SC18 report was submitted about two mice that had a seizure immediately after being dosed. The suspicion was that this was related to the genotype (the same dose had no such effect in any wild-type animals), but it did not recur and the SC18 report has now been closed by the Home Office;
- A report was submitted after a mouse died immediately after injection of a different substance. The response was almost instantaneous, making it very difficult to determine the root cause, but this was suspected as being specific to the particular animal. The Home Office now expect all animals found dead or which die unexpectedly to have a gross post-mortem examination, simply to determine whether there is immediate evidence for an overwhelming but hitherto unexpected abnormality (e.g., an aneurysm). The UVS will issue advice to all the resource units as to the procedure to follow;
- A report was submitted about an event in which several animals died or had to be euthanased shortly after administration of a substance. On further questioning, the research group's overseas collaborators admitted that they too had seen deaths in animals undergoing the procedure, but in a different timeframe. Local investigation revealed that the substance had been made up incorrectly from a hand-written note, which may have contributed to the adverse event. The Home Office expect establishments to have unambiguous SOPs for all processes that might affect the welfare of experimental animals. The DBS has written to all project licence-holders to remind them of the need to have printed or electronic SOPs with good version control;
- Regulatory advice was sought after an incorrect group of animals was dosed in error. This was the result of the experienced personal licence-holder having some health issues. They recognised the error immediately, euthanased the animals and reported the event. The Home Office agreed that there had been no non-compliance and that the correct measures (of supporting the individual) had been taken;
- Regulatory advice was also sought when a death occurred in a protocol that has a "moderate" severity category and an agreed rate of "interval mortality" i.e. deaths occurring in between observations of the animals made at the agreed frequency. The Home Office agreed that the actual severity experienced by the individual animal was indeed "Severe", as had been allocated by the personal licence-holder, but that the event did not exceed the limits for the protocol as a whole. Therefore, no further action or modification to the protocol were required;
- An SC18 report is in preparation regarding a breeding colony of GA mice in which the background mortality has been estimated as 12%. The animals are on an immunosuppressed background, but further investigations will be necessary to determine the cause of the problem.

8. REPORT FROM THE UVS ON ANIMAL WELFARE

(standing agenda item)

A gamma-irradiation experiment had had much less adverse effects when the radiation dose was fractionated. The project licence-holder wished the irradiated animals to receive prophylactic antibiotic treatment as well, as is custom and practice in a few establishments. There appears to be no substantial evidence to support this, so a blinded trial has been set up to determine whether or not the antibiotics improve animal welfare. (This is a clinical trial performed under the authority of the Veterinary Surgeons Act, as both treatment and no treatment are accepted veterinary practice);

A “near miss” occurred when a procedure took place without a specific study plan having been submitted or approved, , although a similar plan for initial validation had been approved previously. This was flagged immediately by the project licence-holder. The UVS was able to confirm that the procedure was in fact legally compliant and there were no unexpected adverse events. The project licence-holder has made sure that all members of the research group understand the requirement to prepare and submit a study plan, and to wait for it to be approved before starting work. The UVS has also spoken to all the personal licence-holders involved (all members of staff of one resource unit), to ensure that specific study plans are always in place,, and is confident that this will not happen again;

The UVS had been approached by scientists and unit staff about the management of a particular colony and had been able to support everyone in reaching agreement;

A staff member had separately expressed concerns about how animal welfare would be supported in their absence and had been reassured.

9. REPORT FROM THE TRAINING COORDINATOR

(standing agenda item)

- i. Since the last meeting, 36 DOPS assessments had been carried out and 44 online training modules had been completed.
- ii. Two PIL-ABC certificates of mandatory training had been received, and two PIL-C certificates. A PIL-C practical session had been run successfully in September for three people. Two PIL-AB personal licences had been granted and an existing licence had been extended to PIL-ABF.
- iii. Two individuals had successfully completed the mandatory training for project licence applicants and their certificates were awaited;
- iv. So far, 19 personal licence-holders have completed the online module on severity assessment and 21 have completed the module on experimental design. Eleven people have also completed the in-house module on experimental design. In-house training in the principles of experimental design is being developed for animal care staff. The UVS had received positive feedback from scientists who had completed the online module on experimental design and they had advocated its take-up by non-licensed scientists (e.g., researchers using animal tissues). A scientific member of the Committee was very supportive of the online training in severity assessment;
- v. An SOP for animal care staff working in the category 3 area is in preparation;
- vi. There is renewed interest in the validation of trainers and assessors and a Scottish group may be convened to take this forward.

10. REPORT FROM THE DIRECTOR OF BIOLOGICAL SERVICES

(standing agenda item)

The report from the DBS on licensing matters was reviewed. The DBS noted that one project licence-holder had been transferred verbatim from a retiring scientist to another individual. The Home Office did not require formal ethical approval to be obtained for such a transfer. Nevertheless, discussion between the DBS, Establishment Licence-holder and the Deans has since determined that the Committee should indeed review not only the textual content of licences but also the suitability of their proposed holders for the role, and advise the

Establishment Licence-Holder accordingly. This has always applied to new licences and amendments to existing ones but will now apply to transfers too.

11. **AOCB**

None.

12. **DATE OF NEXT MEETING**

13 January 2022.