

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 15 November 2022 in the Leverhulme Research Institute, City Campus, University of Dundee.

Present: Amanda Millar (in the Chair);
Alan Bainbridge (online); Tricia Bey;
Richard Bint (online);
Claire Cunningham;
Professor Sir Mike Ferguson;
Professor Iain Gillespie (Principal & Vice-Chancellor);
Andrew Lothian;
Jane Marshall;
Dr David Martin; Ron Mobed (online); Dr Anna Notaro;
Nyasha Mutembwa (DUSA President);
Carla Rossini (online);
Professor Mairi Scott (online);
Karthik Subramanya; Jay Surti (online);
Sharon Sweeney;
Professor Garry Taylor;
Karen Thomson; and
Susan Walker

In Attendance: Professor Wendy Alexander (Vice-Principal (International)); Peter Fotheringham (Director of Finance);
Professor Blair Grubb (Vice-Principal (Education));
Alex Killick (Interim Director of HR and Organisational Development);
Dr Neale Laker (Deputy University Secretary);
Dr Jim McGeorge (University Secretary & Chief Operating Officer);
Professor Shane O'Neill (Senior Vice-Principal);
Dr Alison Ramsay (Senior Policy Officer (Corporate Governance));
Kenny Stewart (Policy Officer (Corporate Governance)); and Rebecca Trengove (Director of External Relations)

Apologies: Gregory Colgan, Adam Robertson, Keith Winter

15. WELCOME AND INTRODUCTION FROM THE CHAIR OF COURT

The Chair, on behalf of the Court, welcomed Claire Cunningham and Alex Killick to their first meeting of the Court. Apologies were noted as having been received from Gregory Colgan, Adam Robertson and Keith Winter. The Chair thanked those in attendance online, in particular Professor Mairi Scott and expressed the good wishes of all those present for her speedy recovery.

Thereafter, members were invited to indicate whether they had, or could be perceived to have, a conflict of interest in relation to any item on the agenda. No declarations were received.

16. MINUTES

The Court decided: to approve the minutes of the meeting on 25 August 2022.

17. MATTERS ARISING**(1) Action Log**

The Court received the action log of Court business and noted that all actions were either complete or already on the agenda.

The Court decided: to note the update.

(2) Conduct of meetings

The Chair advised members that papers would no longer be introduced beyond a small number of salient points the author wished to highlight before inviting questions from the Court. It was expected that members would have familiarized themselves with the content of the documents in advance of the meeting unless they had experienced difficulties in accessing the papers and had advised the Secretariat accordingly.

18. CHAIR'S REPORT TO COURT

The report as presented by the Chair was intended to apprise the Court with an update on the activities undertaken by the Chair on behalf of the Court and the University at a University and sectoral level. Ms Millar noted that she continued to hold one-to-one meetings with members and would shortly begin discussions with senior colleagues across the institution, especially the Deans of School.

Members were apprised of the Chair's participation in external events including meetings of the Committee of University Chairs and the Committee of Scottish Chairs as well as the Courier Business Awards. Ms Millar had also attended the launch events for the Founder's Report and the University Strategy.

The Court decided: to note the report.

19. UNIVERSITY EXECUTIVE GROUP REPORT TO COURT

The Principal & Vice-Chancellor presented the University Executive Group (UEG) report which provided an update on emerging sectoral issues, internal operational and strategic matters, and recent events. The Court was advised that political and economic turmoil since the meeting of the Court in August 2022 had resulted in a significant real-terms reduction to the Scottish Government's Emergency Budget Review 2022/23. The UK Government's budget announcement was due on 17 November but was expected to include actual cuts rather than flat cash settlements previously anticipated.

The Principal noted that the significant increase in international student numbers would not be without challenge, most notably in the availability of student accommodation. Pressures on local housing had emerged from multiple areas, including emergency HMO legislation, changes in the legal framework for tenancies and a decrease in private landlord housing stock following the Covid-19 pandemic. Professor Gillespie advised the Court that the University was working closely with the Council, local MPs and MSPs to try and resolve what was both a local and national issue. Colleagues had been working to secure additional accommodation which would meet the diverse needs of the anticipated January intake and were optimistic that the Semester 2 intake could be accommodated.

Members were apprised of steps being taken by the Institution to address student hardship and the current cost of living crisis, including increased support for the Student Hardship Fund. In addition, a number of positive actions had also been implemented, including the provision of laptops as well as

the introduction of a Campus Pantry and a student Breakfast Club. Colleagues were also noted as working to increase the visibility of financial support and advice available.

The Court was advised of the local, national and global launches of University Strategy 2022-27 and noted that members would receive the first report on progress against the Strategy Implementation Plans elsewhere on the Agenda (**Paper G**). Work on the environmental sustainability aspect of the new Strategy was also gathering pace, with the publication of the University's Interim Carbon Management Plan as part of the institution's commitments to the Race to Net Zero. Key conversations were ongoing around the vision and format for the proposed Sustainability Institute and discussions at the Court Retreat in February would frame the University's collective ambitions in this area.

Finally, the Principal drew members' attention to the awards and prizes achieved by staff at the University of Dundee. The Court was apprised of Professor Emanuele Trucco's success in the Converge Challenge 2022 while Professor Chris Barratt of the School of Medicine had been appointed to the Board of Reviewing Editors of the journal Science. Finally, Professor Nicola Stanley-Wall had been awarded the Royal Society of Edinburgh Senior Prize for Public Engagement. Members warmly endorsed the Principal's congratulations to these colleagues.

In discussion, members sought clarification of the University's performance in student recruitment against targets set and requested further information on the provision of accommodation for the January intake of students. Court was advised that the University was examining all possible avenues in securing suitable local accommodation. Progress was being made in discussions with city partners to address future housing needs and several Purpose-Built Student Accommodation developments (PBSAs) had been approved in the city but were experiencing difficulty in breaking ground.

Members requested an update on the processes and timeframes for the recruitment of the Vice-Principal (Research) and the Vice-Principal (Enterprise and Economic Transformation) and were advised that the role profiles as agreed at UEG would be distributed to selection agencies as soon as possible with an invitation to tender. The Remuneration Committee would discuss and decide the remuneration parameters for the roles at its meeting in December, along with the indicative role profiles.

One member expressed concern that, whilst events were being organized as part of the University's Race Equality Charter Action Plan, more fundamental work to address the experiences of students of colour was required. The Court was advised that management hoped to respond to this challenging issue through the development of the Equality and Inclusion Strategy and framework and to place the lived experience of staff and students at the heart of this work. A pre-matriculation module was in development and management was keen to collaborate closely with DUSA to understand the issues faced by students.

The Court decided: to note the report.

20. **FINANCIAL STATEMENTS FOR THE YEAR ENDING 31 July 2022**

(1) Annual Audit & Risk Committee Report

The Director of Finance introduced the Annual Audit & Risk Committee report for 2021/22. The report summarised the Committee's activity, including internal audits during the 2021/22 academic year, external audit and the Committee's consideration of the financial statements for the year ending July 2022.

The Audit & Risk Committee had been satisfied with the work of the internal and external auditors and the 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 2021/22 Financial Statements

The Court received the report and draft financial statements for 2021/22. 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 deficit before gains was £2.2m (2021: surplus of £4.3m) with the reported deficit for the year, including the USS adjustment and other gains being £54.2m (2021 surplus £53.2m). The University's net cash position closed the year at £99.9m.

Total income had increased by 5.4% to £292.0m. Grant income from the Scottish Funding Council had decreased by 5.4% to £88.0m and tuition fee income had increased significantly by 22% from £73.9m to £95.9m, as a result of growth in international student numbers. Research income had decreased to £71.8m from £74.4m and total expenditure (excluding the impact of the USS adjustment) had increased by 8.2%, an increase of £22.3m to £294.2m.

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 2021/22 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.

21. **ANNUAL LEAGUE TABLE REPORT**

The Chair of Court introduced the above Annual League Table Report, which summarized the University's position in UK league tables and international rankings. Members were reminded of the broad range of factors which impacted on institutional performance, including the NSS and the REF.

The Chair noted that after achieving exceptional results in 2020, the University's performance had declined in 2021. This downward trend had continued in the 2022 rankings and was predominantly due to the NSS results. Members were advised that the Vice-Principal (Education) had identified actions to improve overall performance in the longer term. Every School had produced a detailed action plan, as had the Students' Association, which were reviewed regularly. In the short term, student pulse surveys had suggested an improvement in student opinion as the University had resumed normal operations, and the Court was apprised of the potential impact on Scottish

universities of stricter lockdown regulations which had affected the Student Experience during the global pandemic.

Thereafter, the Court was advised that it would receive a further update at its meeting in April on progress made against actions plans over the next six months.

The Court decided:

- (i) to receive a further report at its meeting in April 2023; and
- (ii) to note the report.

22. UNIVERSITY STRATEGY

(1) Implementation Planning

The Court received and considered the above report, intended to apprise members of the implementation of the Sub-Strategies of the University Strategy 2022-2027 as approved at the meeting of the Court on 26 April 2022. Members were advised that implementation plans had been developed for each of the Sub-Strategies by the Sub-Strategy Leads and informed by input from the University Executive Group (UEG), the wider University Management Group (UMG) and other key stakeholders. Priority projects for year one had been confirmed at a recent meeting of UEG, along with identified risks and issues and their mitigations.

The Court thanked the Deputy Director (Change Delivery) for the report and noted that a summary report on year one achievements would be presented at the last meeting of the current academic session. Members were further advised that an outline of year two projects would be shared early in academic session 2023/24.

The Court decided: to note the report.

(2) Key Performance Indicators

The Head of Strategic Intelligence provided the Court with a preview of the dashboard under development for the tracking of strategic Key Performance Indicators (KPIs). Benchmark institutions in Scotland and within the United Kingdom were noted and Members were reminded of the eight KPIs which the Court had approved in April 2022, along with their corresponding targets. The Court noted that targets were categorized as progressive or aspirational, the former tracking planned progress over the five-year strategy period and the latter setting a level for aspiration across the same time-frame.

Ms Jeffery apprised the Court of the approach taken to the dashboard design, noting that it was intended to be easy to navigate and to highlight performance in a clear and accessible manner. Members were then provided with a demonstration of the interactive nature of the dashboard, including the capacity for the user to tailor reports to their specific needs. The Vice-Principal (Education) advised the Court that the targets for Overall Student Satisfaction would require to be reviewed in the light of revisions to the National Student Survey from 2023.

Thereafter, the Court commended the presentation and dashboard. Members noted that this would be the last meeting of Court to be attended by Ms Jeffery, who would be leaving the University after eight years to join the Scottish Funding Council, and wished her well for the future.

The Court decided: to note the presentation.

23. **REPORT TO COURT FROM THE DUSA PRESIDENT**

The DUSA President introduced the above standing report on activities undertaken by the Students' Association. Members noted that the key areas of focus had been centred on Freshers' Week, the planning and execution of Black History Month, the development of training for societies and the first Society Council event. Actions to mitigate the Cost-of-Living Crisis remained a high priority and the Association had welcomed the additional £100,000 the University had committed to the Student Hardship Fund.

Ms Mutembwa advised the Court that DUSA had worked in collaboration with the University to produce the Student Partnership Agreement, which was due to be signed the following week with Court members invited to the launch. A Community Action Forum had been created to provide support for student-led campaigns outwith the Student Executive and representation structures with many campaigns in development.

Members welcomed the report and commended the efforts of DUSA in enhancing the Student Voice.

The Court decided: to note the report.

24. **CONVENERS' REPORTS**

The Conveners introduced their reports, highlighting matters of interest. Approvals are formally noted against the relevant Committee Report (minute 30).

The Deputy Chair of Court provided an overview of the Audit & Risk Committee meeting held on 25 October 2022 and advised the Court that the Committee had agreed to postpone the proposed joint meeting with the People & Organisational Development Committee until 2023. The main substantive item on the agenda had been the consideration of the financial statements for the year to 31 July 2022 and associated matters. The Committee had approved the paper on the going concern status of the University but had deferred approval of the financial statements, subject to a revised version being circulated before presentation to the Court.

Members noted that the Committee had received two specific audit reports on: Financial Budgeting & Compliance; and Data Quality in relation to the Higher Education Statistics Agency (HESA). This latter had resulted in one high-level recommendation and it was expected that the Committee would receive an update by May 2023. Members had continued to express concern regarding the high number of overdue recommendations and noted that, in relation to the Internal Audit Annual Report, the opinion of the auditors had changed from significant assurance to partial assurance.

The Court was advised that the Committee had reviewed the Institutional Risk Register and had received and considered the draft Annual Report of the Audit & Risk Committee, which had already been considered as **Paper E1**.

Finally, the Committee had received its regular update on the Business Transformation Programme from the University Secretary and continued to support the efforts of the University to reduce as far as practically possible the inherent risk of non-University devices.

The report from the Finance & Policy Committee on 18 October 2022 being unavailable, the Convener informed the Court that the Committee had been apprised of the availability of student

accommodation in both the short and long term. Members were advised that a team had been established, drawn from different departments working to secure additional accommodation for those students arriving in Semester 2 and noted management's interactions with Dundee City Council to facilitate the availability of family accommodation for overseas mature students. In the longer term, the Committee would receive further reports on the provision of Purpose-Built Student Accommodation places across the city.

The Committee had also received and considered a report on the Financial Review of the year as well as the Draft Financial Statements for the year to 31 July 2022. Finally, the Court was apprised of the Committee's consideration of a review of Year 3 of the current 10-year Estate Strategy noting that, whilst the fundamental principles of the Strategy remained unchanged, specific priorities had shifted in relation to the three major capital projects and net zero, amongst others.

The Convener of the Governance & Nominations Committee apprised the Court of matters considered by the Committee at its meeting on 18 October 2022. Members noted that the Committee had agreed that a process to recruit and select new lay members of the Court, with an Appointment Panel formed to advise the Committee.

The Committee had requested that the Senior Policy Officer (Corporate Governance) and the Deputy University Secretary develop a more forward-looking and less complex approach to the assessment of the balance of skills on Court and its Committees. In terms of the annual review of the effectiveness of the Court and its Committees, the Committee had been advised that members were, on the whole content but that it was important to ensure all voices felt able to contribute. Finally, the Committee had noted that the Annual Public Stakeholder Engagement Event would be held on Wednesday 11 January 2023.

The People & Organisational Development Committee had, at its meeting on 27 October, received and considered an update report on the development of the People & Talent Strategy, intended to support the University Strategy 2022-2027. In relation to the schedule of work for the Committee in 2022/23, the Convener had held meetings with the Principal, the Senior Vice-Principal, the Convener of the Audit & Risk Committee and others. A sense of shared purpose had emerged and the Committee was encouraged by the projects associated with each element of the People & Talent Strategy.

The Committee had also welcomed a renewed emphasis on Equality and Inclusion and would be monitoring actions against proposed timelines. In addition, members had taken assurance from the ongoing work on Athena Swan and the Race Equality Charter. Finally, the Court was advised that the Committee had approved the Researcher Development Concordat Annual Progress Report and the updated Health & Safety Policy.

The Court decided: to note the reports.

25. INSTITUTIONAL RISK REGISTER

The Court received and considered the above Institutional Risk Register and associated paper summarizing changes made since the Court last reviewed the Register on 26 April 2022. Members noted that the Register had been reviewed by the Audit & Risk Committee and by the University Executive Group on 25 October 2022 and 2 November 2022 respectively. In relation to employee relations being categorized as a risk but not included within the risk appetite, members were advised that the Register reflected the current position.

The Court decided: to approve the Institutional Risk Register.

26. OUTCOME AGREEMENT WITH SFC

The Court received the University's Outcome Agreement with the Scottish Funding Council. The Principal & Vice-Chancellor advised members of the challenges faced by the sector and by the University of Dundee, noting the significant decrease in the unit of resource. Members were invited to comment on the narrative voice of the document and requested that management give consideration to the use of more robust language, if appropriate, in order to reflect more explicitly the practical and challenging realities of the funding environment

The Chair of Court thanked Officers for the significant amount of work that had gone into the draft outcome agreement.

The Court decided: delegating to officers the responsibility to finalise the documents for submission in line with the comments made, to approve the report in principle for onward transmission to the Scottish Funding Council, acknowledging that the final submitted version of the documents would be shared with Court in due course.

27. REPORT FROM THE CONVENER OF THE SENATUS ACADEMICUS

The Court reviewed the report from the Chair of Senate to the University Court. The Senate had discussed the National Student Survey (NSS) Action Plans and noted that the meetings held by the Vice-Principal (Education) had been well-attended and constructive. Senate had also received a presentation from the Senior Vice-Principal on the introduction of a new integrated planning process. Members noted that the planning process would seek to identify each School's distinctive areas of excellence in order to optimize plans underpinned by clear targets. Finally, Senate had received an update report from the Senate Effectiveness Review Implementation Group and noted that the recommendations on membership from the Schools had been fully implemented.

The Court decided: to note the report.

28. NARRATIVE FOR THE SENATUS ACADEMICUS

The Chair of Court agreed to highlight to the Senate the Court's discussion of the Financial Statements for the year ending 31 July 2022 and the annual Audit & Risk Committee Report. The Senate would also be apprised of the Court's consideration of the Annual League Table Report, the implementation planning for the University Strategy 2022-27 and the Key Performance Indicators' dashboard. Finally, the Court agreed to bring to Senate's attention the DUSA President's Report and Court's discussion of the language and tone of the Outcome Agreement, prior to approving it for submission to SFC, subject to review to reflect Court's discussions under **paragraph 26**, above.

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

29. REPORT FROM THE SENATUS ACADEMICUS

The Court received and considered the above report of the meeting of the Senate held on 12 October 2022, prepared for the Court's information. Members noted that any actions detailed within the report would be taken forward as indicated in the minutes for the meeting of the Senate.

The Court decided: to note the report.

30. COMMITTEE REPORTS

(1) Audit & Risk Committee Report

(i) Minutes of the Committee's meeting on 16 August

The Court received the minutes of the meeting of the Audit & Risk Committee on 16 August 2022. The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 24).

The Court decided: (i) to note the Committee's consideration of the first Annual Risk and Business Continuity Report; and

(ii) otherwise, to approve the minutes.

(ii) Minutes of the Committee's meeting on 18 October 2022

The Court received the minutes of the meeting of the Audit & Risk Committee on 18 October 2022. The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 24).

The Court decided: (i) to note the Committee's endorsement of the Letter of Representation (**Paper E2**);

(ii) to note that the Committee endorsed the Institutional Risk Register (**Paper J**) to the Court for approval;

(iii) to note the Committee's endorsement of the Audit & Risk Committee Annual Report; and

(iv) otherwise, to approve the minutes.

(2) Governance & Nominations Committee

The Court received the minutes from the Meeting of the Committee of 18 October 2022.

The Court's discussion of matters raised by the Committee is detailed in the Conveners' Report (Minute 24).

The Court decided: (i) to note the Committee's endorsement of the 2022 Modern Slavery Statement for approval and publication;

(ii) to note the Committee's consideration of the Annual Review of Diversity on Court; and

(iii) otherwise, to approve the minutes.

(3) People & Organisational Development Committee

The Court received the minutes of the Committee's meeting on 27 October 2022.

- The Court decided:**
- (i) to approve the Committee Remit and Terms of Reference for 2022/23;
 - (ii) to endorse the updated Statement on Equality, Diversity and Inclusion;
 - (iii) to approve the Researcher Development Concordat; and
 - (iv) otherwise to approve the minutes.

(4) Welfare & Ethical Use of Animals Committee

- (i) The Court received the minutes of the Committee's meeting on 7 July 2022.

The Court decided: to approve the minutes.

- (ii) The Court received the minutes of the Committee's meeting on 13 October 2022.

The Court decided: to approve the minutes.

31. MUSEUM SERVICES POLICIES

(1) Management Plan

The Court received and approved the above Museum Services Management Plan Policy for the purposes of Museum Accreditation.

The Court decided: to approve the policy.

(2) Collections Development Policy

The Court received and approved the above Museum Collections Development Policy for the purposes of Museum Accreditation.

The Court decided: to approve the policy.

In discussion, members commended the work of Museum Services. Additionally, it was requested that the Deputy University Secretary provide an update on the Court's association with, and responsibility to, the Service to the meeting of the Court in April 2023.

32. SENIOR STAFF APPOINTMENTS

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

Name	Title
Colin Dey	Professor in Financial Accounting
Peter Fotheringham	Director of Finance
Shamima Haque	Professor in Financial Accounting
Susie Schofield	Professor in Medicine
Amelia Shoemark	Professor in Medicine

The Court decided: to note the appointments.

33. ANY OTHER BUSINESS

The Chair reminded the Court that the next meeting would be the annual Retreat and requested that members advise the Clerk to Court whether they intended to attend.

Amanda Millar
Chair of Court
University of Dundee

Appendix 1**UEG REPORT TO COURT****A. INTRODUCTION**

1. In the current environment it is easy to overlook positive developments and achievements and to focus only on the challenges that we face. This report takes the opportunity to look at both and to celebrate things like the general upturn in the buzz and vibrancy around the campus following the return of students to the campus for the 2022/23 academic year, and gives examples where we are starting to see our new Strategy to 2027 beginning to shape activity, while also providing an overview of the University Executive Group (UEG)'s insights into the challenging operating environment.

B. OPERATING ENVIRONMENT**Funding**

2. At the time of the last Court meeting, few could have imagined the series of political events which subsequently transpired and which present yet further challenges to the operating environment in the form of economic uncertainty, likely funding cuts, and recruitment markets in increasingly dynamic states of flux. What remains consistent is the importance that the University continues to position itself on a firm and sustainable footing and remain an influential voice in national debate. We must also ensure that we are poised to take advantage of any opportunities which may arise.
3. The Deputy First Minister published the Scottish Government's Emergency Budget Review 2022-23 on 1 November 2022. In his report he called the financial situation facing the Scottish Government 'by far, the most challenging since devolution', and estimated that as a result of inflation, the 2022-23 budget is worth around £1.7 billion less than when it was introduced to Parliament in December 2021. While the Emergency Budget does not include cuts to SFC funding, there are cuts to public sector capital budgets which will not be sustainable.
4. The Scottish Government's 2023/24 budget is not due to be shared until December 2022 and will follow the UK Government's budget announcement on 17 November 2022. However, conversations have focused on the need for the sector to be prepared for actual cuts as opposed to the flat cash (real-terms cuts) previously anticipated. This is on top of 10+ years of broadly flat cash settlements which in real terms could be assessed as an approximate 30% reduction. Those institutions with the highest dependency on SFC funding will of course feel these cuts most acutely, however all will feel the pressure and we need to ensure that the value of Higher Education (HE) is communicated ever more clearly.

Finance

5. The Financial Statements for 2021/22 (Paper E) are presented to Court for approval at this meeting. Whilst the reported performance includes a significant (non-cash) adjustment for the movement in the USS provision, the underlying performance represents a further steady improvement to a relatively small operating deficit.
6. Following the start of the academic year and confirmation of international student intake for semester one, we expect to outperform our budget in the current year, driven largely by significantly increased international tuition fee income. Whilst increased recruitment is welcome, it does present operational challenges and there will be additional costs to be incurred. However, the outlook for 2022/23 is for a positive, with a high likelihood of outperforming budget and of generating an operating surplus for the first time in 10 years, despite the many challenges faced –

a significant and necessary milestone for our University in seeking to achieve longer term financial sustainability. We will continue to monitor this and all other key financial matters, working closely with Finance & Policy Committee over the course of the year.

7. With paragraph 4 (above) in mind, we are pleased to draw members' attention to the newly published report into the economic impact of the University. The report confirms that the University continues to be a major employer and a vital driver of business and innovation, central to Dundee and Scotland's ambitions. Our return on public investment is significant, as it is for our fellow universities, and underlines the need for continued, sustainable support for the higher education sector in Scotland and the UK.
8. The full report is available from the Supplementary Information folder, but below are a few key statistics which underline the enormous contribution the University makes in helping drive our economy locally and nationally:
 - 1 in every 12 jobs in Dundee is supported by the University's activities.
 - For every £1 of Scottish Government funding, the University generates £10 for the Scottish economy
 - £449 million Gross Value Added (GVA) and 6,760 jobs in Dundee City;
 - £507 million GVA and 7,270 jobs in the Tay Cities Region;
 - £975 million GVA and 9,410 jobs in Scotland;
 - £1.5 billion GVA and 15,090 jobs in the UK; and
 - £1.6 billion GVA and 16,070 jobs globally. Student Recruitment and Experience
9. Like many other universities, the positive news around our student recruitment performance (in paragraph 6, above) has been somewhat tempered by challenges relating to the availability of student accommodation. Pressures on local housing have come from many different sources, including emergency HMO legislation, changes in the legal framework for tenancies, and a decrease in private landlord housing stock following the COVID pandemic. It is a problem for the City as a whole and not just the University, and we are working closely with the Council and local MPs and MSPs to try to resolve these issues collectively. It is also a situation replicated across university towns and cities throughout Scotland and beyond as you will have no doubt seen in the media. In the meantime, we have been working hard to secure additional accommodation that meets the diverse needs of our anticipated January student intake to ensure a strong student experience for all our students. We hope to have progress to share with the Court by the time of the meeting.
10. Our Vice-Principal (Education) has been working closely with schools and DUSA to bring the quality of our student experience back up to pre-pandemic levels, and the UEG recently met with the Deans' Group to consider the outputs of a recent pulse survey relative to action plans in place. More is said on this in the Annual League Table Report.
11. We are also acutely aware of the cost-of-living crisis pressures on students and are working together with DUSA to ensure that our response is coordinated and well targeted. With this in mind, we have agreed additional support for the Student Hardship Fund alongside a number of positive actions, including increased visibility of funding available, signposting of available support, finance education stalls, and the part-time jobs fair.
12. The Court will likely recall that we approved additional investment in the year to support core student services for 2022/23. This has been well received and will contribute to the impact of matters raised in paragraphs 10 and 11 (above).

People, Pay, Pensions and Industrial Relations

13. With staff representing 56.9% of total expenditure, it is no surprise that rising inflation and the likelihood of UK and Scottish Government spending cuts has brought into sharp focus a number of challenges across a wide-range of 'people' matters. It is notable that the Universities and Colleges Employers Association (UCEA), who negotiate annual pay settlements on a national basis, have brought forward the start of their discussions for the next pay round. The Principal has been appointed as the next Chair of UCEA (Scotland) and to serve on the UCEA (UK) Board, meaning that the University will be well informed on future strategies.
14. The UEG has taken a number of decisions in recent months which aim to relieve some of the financial pressure on staff, including bringing forward the date from which changes to the living wage apply from 1 April 2023 to 1 October 2022, and making a non-consolidated 'COVID-19 working thank you' payment of £500 (Grades 1-6) or £200 (Grades 7-10) in October salaries. We continue to review all measures at our disposal, including the option for a further non-consolidated payment to staff this financial year and we hope to be in a position to provide a further update at the meeting.
15. We have continued to make progress with the implementation of the pensions changes approved by the Court, with the Deed of Amendment to UoDSS currently being finalised between the University's legal team and the Trustee's lawyers. We have also undertaken a procurement exercise to identify and appoint a provider for our new DC scheme and this is on track to be launched in December 2022 for implementation from 1 January 2023. The industrial relations environment and associated media coverage remain challenging, but we continue to actively seek dialogue with both UNISON and Unite on a range of matters with a view to seeking to end the dispute.
16. All three unions are also currently balloting for strike action in relation to pay, with UCU having secured a mandate for action in a UK-wide ballot. They are publicly seeking a settlement of RPI + 2% (around 14.3%). This translates to over £16m for core staff alone, with additional cost for externally funded research staff where it would be unlikely for the cost to be recoverable. It significantly exceeds the University's budget provision and could be terminal for some institutions without wide ranging job reductions and reduction in provision. With the aforementioned spending cuts (paragraph 4) likely to be on the way, we must be prepared for the likelihood of continued industrial action into 2023.

C. UNIVERSITY STRATEGY

Launch and implementation

17. The pack of papers for today's meeting includes the first report of progress against the University Strategy implementation plans. We are delighted with the University community's response to the new strategy and to see its influence on activities, culture and aspirations. Plans are now in place for the local (14 November 2022), national (28 February 2023) and global launch of our University Strategy. These events will create opportunities to engage partners, politicians and stakeholders in our strengths and impact and raise the overall profile of the University and its mission. The national launch will be held in Westminster, and will target national influencers including Wellcome, MRC, UKRI and Government representatives. It will also be an opportunity for the University and Dundee City Council to present a prospectus for the City, which we hope will be influential in securing investment that will support our joint aspirations including the Innovation District and Eden Project Scotland.

18. We are also pleased to report that the associated, and reformed, internal planning and budgeting process is now underway. This has been a matter of much discussion at the Court over the years, and in particular the importance of school and directorate plans developing in complimentary and coherent ways that build toward delivery of our University Strategy. The process is a marked step forward, and is underpinned by newly created management information dashboards, including data on benchmarked metrics relating to academic excellence and financial contributions. Structured planning sessions will run from mid-November 2022 through to mid-January 2023, with submissions to include consideration of human, financial and physical resources alongside alignment to the University Strategy.

Equity & Inclusion

19. The UEG continues to champion a focus on Equality, Diversity & Inclusion, with the Senior Vice-Principal leading the overall agenda. The post of Senior Institutional Lead for EDI, reporting to the SVP, will have been advertised internally by the time of the Court meeting and will bring additional academic leadership to our work in this area. Guidance on our new approach to embedding these commitments in all we do has been received from our external consultants, Leading Kind, and the new Interim Director of Human Resources will bring added impetus to this area.
20. There have been notable developments since the submission of the University's Race Equality Charter Action Plan a year ago, and we are pleased to see that the momentum and commitment has not waned. One example of recent activity was the University's enhanced Black History Month programme, which feedback suggests has been well received by staff and students. We hope that some of you were able to participate in the wide-range of activities, including some notable talks and a walking tour of the City.
21. On 8 November 2022, we published the University Founders Report. This independent study concluded that whilst the University's founders played a leading role in widening access to education by promoting the education of students of both sexes, Mary Ann Baxter and her family's fortune was derived indirectly from slavery. As such, although the University never owned enslaved people or traded in the goods they produced, it is now clear that it received significant financial support from people whose wealth came indirectly from slavery. The report offers an important opportunity to acknowledge an underexposed part of our history. We have developed a number of actions through collective engagement with our community to address such issues. What matters the most is what we choose to do next, and the forthcoming launch of our Africa Initiative (see below) will play a large part in this reparation process.
22. Work on the University's Athena Swan submission to retain our Bronze Award status is in full-flow and on track for submission by the end of November 2022. This has been a significant undertaking and the team were grateful for the input from the Court's People & Organisational Development Committee in October.

Africa Initiative

23. The Principal spoke previously about his visit to Malawi earlier in the year, and the agreement of the 'Blantyre Declaration' with all six public universities in Malawi – defining new ways of working together in true, meaningful and equitable partnership, and this initiative is gaining momentum across the University community. Court members will have noted the email and associated social media announcing the formal launch of the University's new Africa Initiative which was set out in the University Strategy. The first event, a follow-up to the Africa think-in, will take place shortly, having been re-scheduled from 9 November 2022 due to illness.

24. As part of the initiative, we will also be launching an African Leaders Lecture Series, with the inaugural speaker being Dr Sosten Chiotha, the Regional Director of Leadership for Environment & Development Southern and Eastern Africa, who is globally recognised for his leadership in the area of policy and practice on ecosystem services and poverty alleviation in lower income countries, and one of Malawi's Vision 2063 Champions for his work on sustainable development and climate action. Dr Chiotha will be awarded an Honorary Degree by the University at the winter graduation ceremony on Friday 18 November 2022 and we hope that many of you will join us in celebration of this award. We will also launch a new Post-graduate Research Student programme early next year with existing and new African partners, with the first workshops to co-design the framework scheduled for November/December 2022.

Environmental Sustainability

25. Work on the environmental sustainability aspect of the new Strategy is also gaining pace, with the publication of the University's Carbon Management Plan as part of our commitment to the Race to Net Zero and key conversations taking place around the vision and format for the proposed Sustainability Institute. We look forward to picking up this conversation with the Court at its Retreat in February 2023 and discussing our collective ambition and thinking in this space.
26. We will also be hosting Sir Duncan Wingham (Executive Chair for the Natural Environment Research Council) at a Principals' roundtable for the first consultation on proposals for a UKRI Concordat towards Net Zero. We look forward to sharing the outcomes of these discussions.

Digitally Enhanced Campus

27. Our progress towards digital enhancement is also gaining momentum, and the oversight group have recently agreed a strategic plan for the next 15 months to deliver key projects. One of these will deliver an enhanced computation and storage platform for research that will both reduce our CO2 footprint by over 350 tonnes per annum whilst at the same time enabling cutting edge in-silico research. We will also replace our existing research administration system through a phased programme that will eliminate our legacy technical debt and provide much enhanced management information to our researchers.
28. To support student recruitment, we approved the adoption of CRM technology to enhance the enquirer to applicant journey enabling us to target our activities, improve the efficiency of our processes and make the enquirer experience much more responsive. We will also continue our improvement in hybrid learning delivery through a multi-year project to upgrade our audio-visual technology in our Learning Spaces and a complementary, integrated, replacement video service that will underpin our lecture capture, enabling us to continue to blend on-campus learning with the digital domain.
29. During this period, we have also delivered a basic lecture capture process across centrally timetabled rooms, enhanced our Virtual Desktop Service, improved our specialist IT Suite provision and launched OneUniversity HR & Payroll.

Regional Development

30. The Regional Development Strategy Board (RDSB) met again on 24 October 2022, with the Life Sciences Innovation District, the project to replace the Crawford building, and Eden Project Scotland dominating discussion. At the last meeting of Court, we committed to exploring all potential sources of funding to close the financial gap in the Innovation Hub project resulting from exceptional inflation. We have since submitted a £16m bid to UK Research Partnership Investment Fund (UKRPIF) to seek to cover the funding gap in relation to the Innovation Hub,

and also support wider Innovation District infrastructure. Our application is robust, with strong support from the Scottish Government, Dundee City Council and Scottish Enterprise. However, UKRPIF funding remains highly competitive. The assessment panel is scheduled to meet on 22 and 23 February and so we hope to be in a position to share the outcomes with Court at our February meeting.

Growing Student Recruitment (International Focus)

31. The UEG recently held a deep dive session on all key international student intake trends, areas for future growth and implications on areas such as student experience. We expect to be discussing with Court longer term issues relating to size and shape at its February Retreat.
32. Recruitment for our January intake looks very positive, and we expect a healthy above budget growth in those schools that offer January entries. An update on recruitment can be found in Appendix 1. As was highlighted in our previous update and paragraph 6 (above), we are experiencing rapid growth in applications as a result of our ambitions to grow our student body and, whilst positive, this is challenging our processing capacity and turnaround times. Growth has been particularly concentrated in South Asia and Africa, and India now significantly outstrips China as our largest 'sending country'. The new government is still to share its position on post-study work opportunities for international students, and the impact of decisions in this regard could be significant.
33. We were delighted to welcome 25 humanitarian scholars this autumn – our highest ever number. We recently hosted a celebratory lunch to welcome them, at which time, we were presented with our new University of Sanctuary status, which recognises our commitment to being a community of welcome.
34. Our partnerships continue to reap success. International College Dundee is predicted to host over 300 students this session and four of our STEM schools are in the process of launching a pre-PhD programme to help international doctoral students succeed at Dundee. The Dundee International Institute opened its doors in September to its inaugural intake of 300 students and we now have over 15 staff teaching and supporting those new scholars.

Centre Launch

35. We were delighted to formally launch the Centre for Medical Engineering & Technology and its three new state-of-the-art laboratories housed within the Fulton Building. Many of the significant donors who made this possible joined us for the event, as did the Edinburgh Chinese Consul General and his Deputy, who attended to welcome the 111 Chinese students to the University from the North Eastern University (NEU) Joint Education Programme (JEP); the first cohort to come to Dundee. It was a fantastic opportunity to share the University's ambitions around Biomedical Engineering and marks the beginning of a new era of collaboration between the Schools of Science & Engineering and Medicine.

D. UEG PRIORITIES: ACADEMIC EXCELLENCE & SUSTAINABILITY

36. The School of Humanities, Social Sciences and Law (SHSSL) has made great progress in establishing its new leadership team and in developing its new strategy. Cost savings for years 1 and 2 of the strategy have been delivered through the successful conclusion of the Voluntary Severance scheme.
37. The external reviews of the School of Science & Engineering and the School of Business are moving ahead as planned and will take place in the early months of 2023, informed by the imminent engagement with School leadership teams in our planning process.

38. The Biomedical Project has made substantial progress with short term and longer terms research infrastructure needs being addressed alongside new (and appropriately inclusive and streamlined) governance arrangements. Income growth plans have been incorporated fully into the planning and resources process.

E. OTHER MATTERS FOR UPDATE: STAKEHOLDER ENGAGEMENT

39. We continue to evolve our programme of engagements, and sphere of influence. The Principal has been involved in a number of engagements with key stakeholders, spanning several portfolios. Recent meetings include; Government Ministers, EUA Plan B Committee, Universities Scotland RKEC, Tay Cities Regional Collaboration Showcase, Chief Executive of Scottish Enterprise, Professor Sir Geoff Palmer OBE (Professor Emeritus and Human Rights activist), and Professor Sir John Ball (Chair of Royal Society Edinburgh).
40. A particular highlight with regards to media engagement was the Principal's recent interview for an article in Holyrood magazine where, on behalf of the University, he highlighted the chronic underfunding of the Scottish research pipeline. The article was subsequently picked up by The Times, further widening our impact.

Senior Leadership Team

41. Since the last meeting of the Court, Professor John Rowan (VP(Research)) has moved roles within the University and Pam Milne (HR Director) has departed from the University. We are sure that the Court will wish to formally record its thanks for their dedication and hard work during their time as members of the UEG and to wish them both well for the future.
42. We have made a number of key appointments since the last meeting of Court. Members will wish to join us in formally congratulating Peter Fotheringham in his new role as Director of Finance. In addition, we have appointed an Interim Director of Human Resources & Organisational Development, Alex Killick (formerly Director at Glasgow Caledonian) who brings a wealth of experience from working within the HEI sector and has already been working with us on progressing several strategic workstreams relating to the People and Talent Strategy.
43. As members are already aware, we are currently recruiting for Vice-Principal (Research) and Vice-Principal (Enterprise) roles to power the delivery of our enabling strategies and fully succeed in our ambitions in this regard. We are at the early stages in the recruitment process and will update Court in due course. In parallel, we are progressing processes to recruit to the positions of Director of Strategic Change & Delivery and permanent Director of HR.

F. PRINCIPAL'S CLOSING REMARKS

44. This report illustrates the complex, dynamic and often difficult environment in which the HE sector, and the University of Dundee in particular, has to operate. There are further challenges ahead of us, and a significant amount of time has been, and will continue to be, devoted to ensuring that we are fully engaged with both UK and Scottish Governments. Similarly, the University's senior management continues to dedicate itself to harnessing the appropriate insight, experience and talent we need, internally and through external engagement, if we are to keep all the major projects on track.
45. There are however some positive developments which we should note, with the easing of travel restrictions; our performance in international student recruitment; our positive financial performance; the arrival of our NEU partnership students on campus; the launch of the Centre for Medical Engineering & Technology; and the Africa Initiative all strong indicators that we

are on the right route to success. I am convinced that the University will continue to rise to the challenges it faces as we seek to fulfill our social purpose in delivering on our Strategy.

University Executive Group
15 November 2022

Appendix 1, Annex 1

Research 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) **Dr D Ndeh (Doctoral Academy)**

Understanding the Biosynthesis and Function of Rhamnogalacturonan II in Plants
£534,354.03 (including £242,653 overheads) from the Royal Society

This project will investigate the biosynthesis of the complex glycan rhamnogalacturonan-II and its impact on plant and human health. Data from this work will inform strategies to modulate complex glycans for plant and human health benefit.

(ii) **Professor LA Colvin (Medicine)**

Chronic Pain Identification Through Using Electronic Records (C-PICTURE) (Joint with University of St Andrews, University of Aberdeen and NHS Fife)
£281,248 (including £122,011 overheads) from the Chief Scientist Office

We believe 2 in 5 people living in the UK could be living with pain severe enough to limit their daily activities. In Scotland, about 6% of adults have severe chronic pain. But these numbers are based on research estimates and cannot show the true number of people who live with chronic pain. Without knowing how widespread chronic pain is in Scotland, it is difficult to plan for health and social care services. We need to better understand the challenges people with chronic pain face to remain in work or take part in meaningful social activities. We have developed an algorithm that can automatically search GP records to identify people with chronic pain. We will use information from medical records, patient surveys, and in-depth interviews to see how well the algorithm matches with the other information and further improve it, so it better identifies people living with chronic pain. Our enhanced algorithm will revolutionise how we identify, treat, manage, and research chronic pain in Scotland. This information can be used by policy makers and researchers, to quickly identify who needs services and where they are needed.

(iii) **Dr I M Martin (Science and Engineering) PANGU v7**

£169,016 (including £55,667 overheads) from the European Space Agency

PANGU v7 is a project to maintain and extend the functionality of the PANGU (Planet and Asteroid Natural scene Generation Utility) software suite which is used by ESA (and others) to test, develop and calibrate autonomous guidance systems for spacecraft navigation and landing, by generating realistic simulated camera, and other sensor images. In this project we are mainly working on validating the realism of our thermal sensor simulations (infrared images) and enhancing the fidelity of the visual simulations of asteroids and planetary surfaces.

(iv) **Professor J S Rowan**

Enhancing Water Security Under Increasingly Uncertain Climate Futures: Innovative Interdisciplinary Approaches Connecting Practices and Cultures (with Stockholm Environment Institute, Nairobi)

£166,278 from the Scottish Government

Funded through the Scottish Government's Hydro Nation Scholars Programme, this four year fully funded project will examine the strengths and limitations of traditional and current adaptation approaches to climate change in dryland environments in central Kenya. A socio-hydrological interdisciplinary framework will be adopted to enhance adaptive capacity and promote greater resilience of stakeholders from rural pastoralists to government policies in the region.

(v) **Dr M D Newlands (Science and Engineering)**

Rock Solid Processing (Eary Logging)

£142,885 (including £61,278 overheads) from Innovate UK

The 28-month KTP Innovate UK funded project working with Rock Solid Processing Ltd is examining the potential for using Incinerator Bottom Ash from sites in Aberdeen and Dundee to be used as a low carbon aggregate alternative in concrete production. The project will use existing expertise in civil engineering and concrete technology from the University of Dundee to help develop the Incinerator Bottom Ash Aggregate (IBAA) for the Scottish and UK supply chains.

(vi) **Professor A M McFadden (Health Sciences)**

Midwifery Research and Education Development (MIDRED) in Palestine and Ghana

£75,891 (including £54,891 overheads) from Norad

The MIDRED study (Midwifery Research and Educational Development), funded by the Norwegian Development Agency (NORAD) aims to strengthen the quality and relevance of midwifery education and research in Palestine and Ghana. Professor Alison McFadden and Andrew Symon (both SHS) are involved. Dr Symon has just returned from a teaching and supervision visit to Birzeit University in the West Bank.

(vii) **Mr D P Robertson (Humanities, Social Sciences and Law)**

Developing New Approaches in Teacher Education to Tackle Scotland's Poverty Related Attainment Gap (Joint with Universities of Glasgow, Aberdeen, Highlands and Islands, Stirling, Strathclyde and West of Scotland)

£47,760 (including £47,760 overheads) from the Scottish Government

The Scottish Attainment Challenge (SAC) is one of the key educational initiatives currently being implemented in Scotland. It was announced by the First Minister at the launch of the national SAC Project in Dundee in February 2015. The Scottish Government website indicates that the Scottish Attainment Challenge (SAC) is "about achieving equity in educational outcomes" (Scottish Government, 2015) and proposes that: "equity can be achieved by ensuring every child has the same opportunity to succeed, with a particular focus on closing the poverty-related attainment gap" (ibid.). The University of Dundee's research report was part of an eight-university project jointly funded and promoted by the Scottish Government (SG) and the Committee of Deans of Education (CoDE) in Scotland to research how, and how well, the teacher education programmes in our universities are developing pedagogies to support pre-service and early career teachers in respect of the focus on social justice, equity of educational provision, and attainment.

(viii) **Dr A Gavine (Health Sciences)**

Breastfeeding Support for Women with Multiple Long-Term Conditions

£43,901.20 (including £27,408 overheads) from the NHS National Institute for Health Research

Women with multiple long-term conditions face additional challenges to breastfeeding and effective support is often lacking. There is therefore a need for breastfeeding support interventions to be tailored to the needs of women with long-term conditions. This project seeks to search the evidence for such interventions and work with stakeholders to consider how they could be implemented in an NHS setting.

Appendix 1, Annex 2**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.

Converge Awards

2. Professor Emanuele Trucco was named runner-up of the Converge Challenge 2022, receiving a total of £29,000 for 'Eye to the Future', a spin-out company developing innovative software for the early detection of eye diseases. Nick Fitzpatrick, who graduated from the University in 2021, received a prize of £5,000 under the Converge KickStart Wellbeing award to develop his business 'Inclu', creating inclusively designed kitchen products. Both were among 15 of Scotland's top academic entrepreneurs who were recognised at the awards ceremony in Edinburgh on 3 November 2022.

Board Appointment at Science Journal

3. Professor Chris Barratt, from the University's School of Medicine, has been appointed to the Board of Reviewing Editors of the journal Science, in recognition of his contribution to fertility research. Science is one of the world's most prestigious academic journals and the papers it publishes have a significant impact in determining the future direction of research. As a member of the Board of Reviewing Editors, Professor Barratt will help the in-house editors select submissions that are most appropriate for in-depth review and potential publication. Professor Barratt will advise on submitted papers relating to fertility, reproduction, assisted conception and contraception, in recognition of the importance of these topics in biomedicine.

Royal Society Edinburgh Public Engagement Prize

4. Nicola Stanley-Wall, Professor of Microbiology at the University's School of Life Sciences, has been awarded the Royal Society of Edinburgh Senior Prize for Public Engagement. Professor Stanley-Wall has been awarded the prize for her long-standing and sustained track-record of outstanding contribution to public engagement in the field of microbiology.

Appendix 1, Annex 3**UEG Meetings**

1. The University Executive Group has met formally on 7 September, 21 September, 5 October, 19 October, and 2 November 2022. It has also formally met jointly with the Deans' Group on 19 October 2022.

A summary of each meeting is published in a 'UEG in 3' recording which is emailed to staff and associate staff shortly after each fortnightly formal meeting.

The following items were considered:

A. HUMAN RESOURCES MATTERS

- Staff survey
- ED&I updates
- Founders Report
- Industrial action
- Merit awards report
- Concordat for researchers career development

B. FINANCE MATTERS

- 23/24 tuition fees
- Financial year updates
- Financial Statements and associated documents
- WOFE China

C. STRATEGIC MATTERS

- Accommodation risks and mitigations
- Africa Initiative including PGR scheme
- Strategy launch timetable
- Cyber security
- Climate Action & Environmental Sustainability
- Race to net zero: interim plan
- Planning data
- Institutional risk register

D. ACADEMIC MATTERS

- NSS report and action plan
- Interim leadership arrangements
- Cost of living crisis: student support
- Vice-Principal roles

E. RECRUITMENT/INTERNATIONAL MATTERS

- Admissions Updates

Appendix 2

AUDIT & RISK COMMITTEE MINUTES

A meeting of the Committee was held on 16 August 2022 in the Executive Meeting Room, 5th Floor, Tower Building.

Present: Keith Winter (Convener);
Tricia Bey;
Susan Walker;
Irene Wilson.

In Attendance: Peter Fotheringham	Interim Director of Finance;
Dr Neale Laker	Deputy University Secretary;
Dr Jim McGeorge	University Secretary;
Dr Liz Rogers	Risk and Business Continuity Manager;
Kenny Stewart	Policy Officer (Corporate Governance);
James Lucas	KPMG;
Stephen Reid	EY.

Apologies: Richard Bint;
Andrew Lothian; and
Professor Wendy Alexander.

1. MINUTES

Resolved: to approve the minutes of the meeting of 17 May 2022.

2. MATTERS ARISING

The Convener welcomed new members Susan Walker and Irene Wilson to their first meeting of the Committee.

1. Action Log

The Committee received and considered the action log on progress made to date in relation to outstanding actions from previous meetings. The Convener noted that while the initial discussion with the Convener of the People & Organisational Development Committee (PODCo) on staffing culture and IT security had taken place, the action to set up a joint- Committee deep dive session on the issue would be added to the action log, and the session would be planned in due course.

The Committee also heard from the University's External Auditor on the subject of the UK Government Department of Business, Energy and Industrial Strategy (BEIS) report 'Restoring trust in audit and corporate governance'. At present it was not clear how outcomes would be taken forward by UK Government or how future monitoring of actions developed as a result of the review would take place. A paper would subsequently be developed for consideration by the Committee at the appropriate time.

Resolved: to note the Action Log.

2. Update on the preparation of Financial Statements (minute 4 (1))

The Committee received a verbal update from the Interim Director of Finance on the preparation of the Financial Statements. Mr Fotheringham confirmed that preparations for the 2021/22 statements were on schedule and would be presented to the October meeting of the Committee.

Resolved: to note the update.

3. **CONVENER'S UPDATE**

The Convener apprised members of his activities and interactions at a sectoral level of relevance to the Committee. The Convener had discussed audit matters with EY and a further meeting had been held with KPMG on the progress of internal audit matters. Introductory meetings with new members of the Committee were also underway.

Members also noted the successful return of Graduation ceremonies in person during June which had been warmly welcomed and commended the efforts of Registry and Student Services staff in delivering them. It was also confirmed that Autumn graduations would take place on 17/18 November 2022, with members encouraged to attend.

Resolved: to note the update.

4. **ANNUAL RISK AND BUSINESS CONTINUITY REPORT**

The Committee received and considered the first Annual Risk and Business Continuity Report, which supplied members with a summary of risk and business continuity management in 2021/22. The report aimed to reassure members that the University had robust risk and business continuity processes in place.

The report was structured into four strands: Business Continuity Management Framework Elements; Incident Management; Horizon Scanning and Planning; and Engagement with External Networks. Members noted that work would continue to embed risk and business continuity management, which would include the development of training, updates to Business Impact Analysis and Business Continuity Plan templates. Continued support for Schools and Directorates on risk and business continuity planning issues would be provided. The focus of the report was to work towards a risk-aware, resilient culture at the University of Dundee.

Members were encouraged to provide their feedback on the format, structure and usefulness of the report as an audit tool. In discussion, members were keen to emphasise the link between risk and business continuity and operational planning across the organisation. The Committee considered whether future versions of the report should include a link to risk contagion considerations, following the recent consideration of the paper at the May meeting. Other feedback indicated more detailed information on training programme uptake and measurement of other outputs of risk activity could be included in future reports.

Members agreed that the report provided a forward, proactive look at risk and business continuity issues and was timely ahead of the updated Institutional Risk Register which would be considered at the October meeting of the Committee. It was further agreed that the annual report provided sufficient reassurance that risk and business continuity planning processes were well-advanced and agile in response to change. The Committee agreed to schedule the risk and business continuity report for 2022/23 within its annual cycle.

- Resolved:**
- (i) To welcome the Annual Risk and Business Continuity Report 2021/22; and
 - (ii) to schedule the report as an annual agenda item.

5. INTERNAL AUDIT

(1) Core Financial Controls: General Ledger and Capital Planning: Update on Staff Role Profiles

The Committee received a verbal update from the Interim Director of Finance on outcomes from the Core Financial Controls audit which had been considered at its last meeting. The update concerned the degree of self-approval of journals which had required urgent review to ensure appropriate controls were in place to prevent fraudulent entries. The audit had uncovered a number of people able to self-approve, and whilst the Head of Financial Accounting had reviewed self-approvals and found no inappropriate activity, this was clearly a risk.

The Interim Director of Finance provided an update to the Committee to provide assurance that work to regulate self-approval further was complete. Work to remove discrepancies in staff role profiles had been undertaken and was ongoing. Members heard that the number of staff members with the affected role profiles had been reduced, and would continue to be reduced over time. A further update would be provided on progress at the meeting of the Committee in March 2023.

- Resolved:**
- (i) To note the update; and
 - (ii) to note that the issue would be reviewed as normal as part of the routine audit follow up at its meeting in March 2023.

(2) Internal Audit Progress Report

The Committee received and considered the Internal Audit Progress Report, which provided a summary of progress against the internal audit plan 2021/22, the forthcoming audit plan for 2022/23 and an updated version of the management action tracker. The report was intended to provide the Committee with assurance that management actions previously agreed in internal audit reviews had been implemented satisfactorily.

Of the seven reviews agreed for 2021/22, five had been completed. A further two were at draft report stage, both of which would be presented to the October meeting of the Committee. The report outlined 34 outstanding actions, two more than in the previous report. Three new medium priority findings had been identified from the IT Procurement audit. It was noted that the rating for Severance Phase One Progress Report would be amended to reflect its actual assurance rating of Green.

Members considered progress towards achieving audit actions in cybersecurity which had again highlighted that improvements had been affected by ongoing recruitment challenges. It was acknowledged that University of Dundee Information Technology (UoDIT) would begin to absorb personnel from the Business Transformation team over time into the new Digital Services directorate and this might address some of the challenges.

- Resolved:**
- (i) To note the report;
 - (ii) to amend the rating on the Severance Arrangement Phase One audit within the Progress Report; and

- (iii) to ensure outstanding issues on cybersecurity were included in the Institutional Risk Register.

(3) Project Management

The Committee received and considered the internal audit report on Project Management. The review undertook a follow up of a prior Project Methodology Review internal audit conducted in May 2019. The follow up approach had focused on UoDIT and Estates & Campus Services (ECS), and had provided a rating of “significant assurance with minor improvement opportunities” (Green-Amber). The report highlighted that UODIT had developed a Project

Management Methodology Site (PMMS) portal, with templates to support the governance and risk management of IT projects. Members noted that, due to the lack of major IT projects since its development, no testing of the approach had been possible to date.

Within ECS, the review found that the project methodology had not fully matured but showed evidence of governance processes operating effectively. Findings were consolidated into one medium risk which cited that the formal adoption of a new ECS project management methodology had yet to occur. Members noted that implementation had been affected by COVID-19 and lack of staff availability.

The Committee considered the number of major Estates projects due to commence in the medium term, which increased the level of interdependency and risk contagion in project management. Action had been taken to recruit project managers with the expertise necessary for the full implementation of project management methodology. The Committee also heard that ECS would provide a development update within a six- to nine-month timeframe. An invitation would be extended to the Director of ECS at the appropriate time to provide a view on progress. Members also noted that the Finance & Policy Committee would be the primary Committee responsible for the scrutiny and support of capital project management.

- Resolved:**
- (i) To note the internal audit report on Project Management, and
 - (ii) to receive an update on the deployment of project management reporting at a future date.

(4) IT Procurement

The Committee received and considered the internal audit report on IT procurement. The report provided an overall assessment of ‘Significant assurance with minor improvement opportunities’ (Green-Amber). The report concluded that controls in place for the procurement of IT were robust. Fieldwork had raised two medium findings for further improvement: that a review of the Procurement policy and the Procurement Risk Register were overdue; and that the latter had not included consideration of the impact of COVID-19 or recent supply chain issues. The second medium finding highlighted the lack of a complete and accurate listing of all managed University devices.

The Committee discussed the lack of inventory of managed devices, with the acknowledgement that the recent cybersecurity audit had also identified a lack of appropriate safeguards to track non-managed devices. Members acknowledged that some devices cannot be managed but were necessary for staff to continue their work. The Committee agreed that its role was to assist the creation of a culture and understanding for acceptance of device management and that the planned joint committee deep dive on staff culture and IT security with PODCo, would provide a forum to give advice on cultural aspects of device security and management. Members further

indicated their support for UoDIT to raise non-compliance issues with the University Executive Group on an ongoing basis.

The Committee agreed that the 31 July 2023 target date was an appropriate timeframe for the completion of these areas of compliance.

- Resolved:**
- (i) To note the internal audit report on IT Procurement; and
 - (ii) to invite the Director of UoDIT to the October meeting of the Group.

(5) Severance Arrangements: Phase One

The Committee received and considered the internal audit report on Severance Arrangements: Phase One. The report formed part of a two-phase review, which had first considered the processes and procedures in place for the University's severance arrangements against the requirements of the Financial Memorandum with Higher Education Institutions. Phase one examined severance policy, procedures and documentation. Phase Two would test the calculation and scheduling of severance payments. Fieldwork for Phase Two would be undertaken during the third quarter of 2022/23 with the report to be considered by the Committee at its May 2023 meeting.

The audit provided a rating of significant assurance (Green), with one low priority recommendation. This related to an inconsistency between the severance policy and the agreed severance scheme in place. Members were advised that an updated Severance Policy which corrected the change had been approved by the Remuneration Committee, and would be noted by Court.

- Resolved:** (i) to note the internal audit report on Severance Arrangements: Phase One.

(6) Future audit report coverage

Members considered a proposal to receive future internal audit reports in executive summary form rather than full reports. It was agreed that, in future, executive summaries of audit reports would be included within the meeting papers. Full reports would be provided as supplementary materials for members via secure link to a separate Audit Reports folder. The Committee also reserved the right to consider full reports on a case-by-case basis depending on the ratings or level of recommendations.

- Resolved:** To receive executive summary reports of internal audit reviews in future Committee papers.

6. BUSINESS TRANSFORMATION UPDATE

The University Secretary & Chief Operating Officer provided an update on the Business Transformation project. Members were informed that the new HR Payroll system went live on 1 August 2022. The Payroll module was implemented first. A small number of issues had arisen, with contingency plans in place. The roll out of additional functionality of the Human Resources module would take place between August to January 2023.

Members noted that the benefits realisation paper from the Business Transformation process was scheduled to be considered at the October 2022 meeting. Members agreed that the Committee would continue to receive Business Transformation updates during the 2022/23 academic year as the project came to its conclusion following full functionality of the HRP module. At this point the project would revert to business as usual and transition into the Digital Services Directorate.

- Resolved:**
- (i) To note the Business Transformation update.
 - (ii) To receive the outline Business Transformation plan for the return to 'Business as Usual' at its October meeting.

7. **LEGAL RISK REPORT**

The Committee received and considered the Legal Risk Report, intended to promote understanding of material legal risk faced by the University and actions identified in mitigation. Legal activity during the period arose from the launch of the HR Payroll system and the potential impact on industrial relations of the worsening economic outlook.

The Committee discussed resource issues noting that in common with other areas of the labour market, the recruitment of legal professionals was challenging. Members noted that the University would continue to procure external legal advice as appropriate dependent on areas of specialty. It was further noted that due to increasing workload in the employment sphere consideration was being given to the appointment of a new solicitor.

The Committee also noted the likelihood of heightened demand for internal legal services due to the University's objectives of increasing commercial activity, international student recruitment, and also from organisational change and its associated mechanisms such as voluntary severance.

Members agreed that the format and content of the report continued to provide a comprehensive legal risk summary which allowed it to take a wider view on such risks which faced the University.

Resolved: To note the Legal Risk Report.

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

It was agreed that the Convener's report to Court on 25 August 2022 would include: the Update on financial role profiles, consideration of the Annual Risk and Business Continuity report, the internal audit review on project management which indicated good progress and which now awaited roll out, the IT Procurement audit and the requirement to update procurement policy and risk register, and the progress made on the first phase of Severance Arrangements, with Phase Two expected in May 2023. The update would also include the progress on Business Transformation through the implementation of the HR Payroll system and the scheduling of a joint deep dive session with PODCo.

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

9. **ANY OTHER BUSINESS**

The Committee considered the future frequency of meetings held in person or remotely. Members agreed that meetings should be held remotely wherever possible for practical reasons. A minimum of one meeting in person would be retained in the annual cycle, as members agreed that there was continued value in colleagues meeting face to face. It was also agreed that the next meeting of the Committee in October 2022 and the planned joint Committee deep dive session with PODCo on staffing culture and IT security would take place in person, if possible. Meetings in March and May 2023 would be held via Microsoft Teams.

10. **DATE OF NEXT MEETING**

Resolved: To note that the next meeting would be held on Tuesday 25 October 2022, in River Room 1, 9th floor, Tower Building.

Keith Winter
Convener

Appendix 3**AUDIT & RISK COMMITTEE MINUTES**

A meeting of the Committee was held on Tuesday 25 October 2022 in River Room 1 and on Teams.

Present: Keith Winter (Convener);
Tricia Bey;
Irene Wilson.

Via Teams: Richard Bint;
Andrew Lothian;
Susan Walker.

In Attendance: Peter Fotheringham Director of Finance;
Dr Neale Laker Deputy University Secretary and Director of Academic & Corporate Governance;
Dr Jim McGeorge University Secretary;
Dr Jonathan Monk Director of UoD IT;
Dr Liz Rogers Risk and Business Continuity Manager;
Kenny Stewart Policy Officer (Corporate Governance);
James Lucas KPMG;
Stephen Reid EY.

Apologies: Professor Wendy Alexander.

1. MINUTESMinutes of the meeting of the Audit & Risk Committee on 16 August 2022

The Committee received and considered the minutes of the previous meeting.

Resolved: to approve the minutes of the meeting on 16 August 2022.

2. MATTERS ARISINGAction Log

The Committee received and considered the action log of progress made to date in relation to outstanding actions from previous meetings.

Resolved: to note the Action Log.

3. CONVENER'S UPDATE

The Convener apprised members of his activities and interactions at a sectoral level of relevance to the Committee.

The Convener attended the meeting of the Finance & Policy Committee on 18 October 2022. One of the items discussed was Transparent Approach to Costing (TRAC), a methodology developed with the higher education sector to help the costing of activities, and for which submissions are required

annually. It was confirmed that the University's TRAC approach would be presented to a future meeting of the Audit & Risk Committee as a governance item.

The Convener held pre-Committee update meetings with KPMG and EY to discuss internal and external audit matters respectively.

The Convener confirmed that annual meetings with members of the Committee had been undertaken, and that outstanding meetings would be finalised in due course. Meetings were viewed as a beneficial exercise in the delivery of an effective Audit & Risk Committee, and had been introduced following feedback from annual committee effectiveness reviews.

It had been agreed with the Convener of the People & Organisational Development Committee (PODCo) that the prospective joint committee deep dive session on staffing-related risk would be deferred at least until a permanent appointment to the post of Director of Human Resources & Organisational Development (HR&OD) had been made.

Resolved: to note the update.

4. **FINANCIAL STATEMENTS FOR YEAR ENDED JULY 2022**

(i) Review of the Year

The Committee considered the Financial Review of the Year 21/22, which provided an overview of the financial performance of the University for the year ended 31 July 2022. The review reflected on the University's cash position, income and expenditure, the financial position by School and a review of the University as a going concern.

The Director of Finance drew members' attention to ongoing processes which would influence the finalisation of the financial statements, and the Committee noted that amendments 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 2021/22 budget, in particular the steady progression shown following significant disruption from the Covid-19 pandemic. International student numbers had shown substantial growth and the University had demonstrated responsible cost control, resulting in a small deficit being reported and improvement in most underlying performance measures. The 21/22 results had been affected by a large USS pension adjustment.

Resolved: for its part, to approve the financial review of the year.

(ii) Going Concern Report

The Committee received the 2021/22 Going Concern Review. The paper presented the management's justification for the preparation of the financial statements on a going-concern basis. The Audit & Risk Committee was invited to approve the application of a going-concern basis in line with the auditors' requirements.

Management had assessed a number of factors set out in the paper and had concluded that it was reasonable to maintain that the University had adequate financial resources to continue to operate for the foreseeable future, and therefore preparation of the financial statements for 2021/22 on the basis of going concern was appropriate.

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

(iii) External Audit Report & Letter to those charged with Governance

The external auditors, EY, presented their annual report to the Committee in draft form. The paper provided an update on the status of the external audit procedures for 2021/22. The report contained the opinion that the draft financial statements gave a true and fair view of the University's affairs as at 31 July 2022 and of the group and parent institution's income and expenditure, recognised gains and losses, and statement of cash flows for the year.

The Committee noted that the timetable had advanced significantly in the preparation of the 21/22 statements which had been a considerable undertaking for the Finance Directorate.

The Committee noted that the financial statements would be updated and submitted to members for endorsement ahead of their submission to Court.

- 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; and
 - (ii) to approve the letter of representation for signature by the Chair of Court.

(iv) Draft Financial Statements & note from the Director of Finance providing assurance to the University Court

The Committee reviewed the draft 2021/22 consolidated financial statements for the University. The note from the Director of Finance explained that the majority of audit testing was complete, with final testing expected to conclude over the coming weeks. It further noted that the 2021/22 Dundee Student Villages accounts were not consolidated at the time, and that accounting adjustments for the University of Dundee Superannuation Scheme (UoDSS) were based on a draft actuarial report, with some change to the draft position anticipated in the finalised statements.

- Resolved:**
- (i) to accept the draft financial statements 2021/22 as presented; and
 - (ii) to request the circulation the final version of the financial statements and parallel statement from external auditors to members by 8 November 2022 for consideration and, if so minded, endorsement; and
 - (iii) to receive a summary of changes made to the final draft.

5. INTERNAL AUDIT 2021/22

(i) Internal Audit Annual Report

The Committee considered KPMG's Internal Audit Annual Report 2021/22. The report summarised internal audit activity during the 2021/22 academic year, designed to provide the University Court, through the Audit & Risk Committee, with assurance on the system of internal controls.

The report set out the internal auditors' opinion of partial assurance with improvements required on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.

The auditors noted that management continued to implement actions raised and that the status of these actions was reported to the Audit & Risk Committee at each meeting with focus given to any actions where deadlines for implementation had been extended.

Resolved:

- (i) to note the draft Internal Audit Report 2021/22, and
- (ii) to review the outstanding actions in the Internal Audit Report, and those overdue in particular by December 2022.

(ii) Internal Audit 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 2021/22. The report summarised key points to be drawn to the Committee's attention, noting 35 outstanding actions at the end of the period of which 16 were not due and a further 19 had revised due dates.

Resolved: to note the report.

(iii) Financial Budgeting Process

The internal auditors introduced an audit report on the Financial Budgeting process. The report provided an overall assessment of significant assurance with minor improvement opportunities. The review delivered one medium priority finding which identified some weaknesses in the monitoring and recognition of financial budgeting control, and highlighted a need for further training.

The Committee acknowledged that training for staff involved in the financial budgeting process in Schools and Directorates would be formalised in due course.

Resolved: to note the report.

(iv) Compliance: Data Quality

The Committee received and considered the above audit report which reviewed the processes and controls in place for the Higher Education Statistics Agency (HESA) Student Return 2020/21. The report reached an assessment of partial assurance with improvements required (Amber-Red).

It identified that roles and responsibilities for the returns process and maintenance of data within the student record system 'SITS' were not always clearly defined. The report's high priority finding identified a lack of appropriately documented Standard Operating Procedure (SOP) with defined roles and responsibilities for the annual return process. There were five medium priority findings which identified risks of single points of failure in uploading data.

The audit raised further findings in relation to the scheduled introduction of HESA's Data Futures Transformation Programme in 2023/24. The changes initiated by this would transform the statutory student returns process, with data returns to be submitted three times annually. The audit identified the implementation of the SOP and data entry procedures as key actions to prepare for the coming changes.

The Committee acknowledged current resourcing challenges in the Strategic Intelligence Unit and Registry functions responsible for the delivery of the student return, and were encouraged by management's responses in how these were being addressed.

It further considered the August 2023 target date for delivery of the SOP high priority finding, and agreed to receive updates on the development of the SOP and further risk mitigations ahead of the target date.

- Resolved:**
- (i) to note the report of the internal audit review Data Quality: HESA Student Return; and
 - (ii) to receive a progress update at the May meeting of the Committee on delivery of high and medium priority findings.

6. INSTITUTIONAL RISK REGISTER

The Committee considered a paper which contained the newly developed Institutional Risk Register (IRR). It summarised changes made since the Committee's last review at its meeting on 1 March 2022. The main changes were the introduction of risk owners and re-ordering of risks to prioritise those considered to be outwith the University's risk appetite statement. For example, 'Cybersecurity' risk was now listed as Risk 1 due to its significant risk assessment and classification as a threat outwith the University's current risk appetite statement.

The report identified an increase in 'Research' risk due to volatility around access to European funding, a lowering of 'Finance' risk and the introduction of a new 'Energy' risk, due to UK Government guidance to ensure security of electricity supplies for winter 2022 to 2023.

Members heard that an internal impact assessment had been conducted with Estates to determine the status of buildings to be open or shut in the event of outages.

The Committee also discussed risks related to student accommodation in the local area, previously discussed at Finance & Policy Committee as a major risk factor to achieving financial objectives. Members considered whether accommodation should be elevated within the IRR.

The Committee further discussed the economic outlook, the current high inflation rate and funding uncertainty, in conjunction with the potential impact on the University's proposed capital plan. Members noted the potential need to refine risk in the capital plan in light of these factors. The Committee encouraged the Risk & Business Continuity Manager to discuss the future approach to finance risk with the Director of Finance.

- Resolved:**
- (i) to endorse the Institutional Risk Register to the Court,
 - (ii) to ask the Risk & Business Continuity Manager to discuss finance risk with the Director of Finance.

7. 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 (SFC). The report summarised Committee activity for the 2021/22 year and for 2022/2023 to date. This included its considerations of financial statements, and matters of external and internal audit. The Committee requested a series of amendments and clarifications, with updates to reflect Committee business undertaken in the 2022/23 year to date.

- Resolved:** to endorse the Annual Report 2021/22 subject to requested changes being agreed with the Convener.

8. ANNUAL COMMITTEE BUSINESS

(i) 2022/23 Schedule of Business

The Committee reviewed a draft schedule of Committee business for the 2022/23 academic year.

Resolved: to endorse the workplan subject to minor changes.

(ii) Annual Review of Remit and Terms of Reference

The Committee reviewed its Remit and Terms of Reference which was unchanged from previous year.

Resolved: to endorse the Remit and Terms of Reference.

(iii) Review of Committee Effectiveness

The Committee reviewed data relating to the effectiveness of the Committee from the annual Court effectiveness questionnaire. Members noted that survey feedback showed that the Committee scored highly across all questions which ranged from effective governance and focus on the right issues to effective operations and communication with Court.

Members again noted that one to one reviews between the Convener and members had continued during 2021/22 and were considered effective in preparation for meetings of the Committee.

Resolved: to note the review of effectiveness.

9. BUSINESS TRANSFORMATION UPDATE

(i) Outline plan for return to Business as Usual

The Committee received a paper on Business Transformation (BT) Governance Recommendations presented by the Director of Digital Technology Services for its consideration and, if so minded, approval. The main proposal was the adoption of a draft process for the governance of new projects and a migration plan for existing projects into a consistent framework.

The report outlined the adoption of a new approach for Digital and Technology projects which incorporated a high-level Digital Governance Charter, overseen by the Digital Committee which reported directly to the University Executive Group (UEG).

The paper recommended that the Committee approve the adoption of the Digital Governance Charter for all projects; stand down the BT Steering Committee; hold individual project boards accountable for project delivery, and reporting into a consolidated single Digital Committee, with further reporting as appropriate to UEG and Court.

The Committee discussed the impact of the proposed changes on the timescale for considering a paper to evaluate the benefits of the BT project. It was confirmed that this work would now form part of the Digital Committee's remit. Members agreed that programme governance for digital projects should be considered by the Committee, where appropriate.

Resolved:

- (i) to approve the Digital Governance Charter,
- (ii) to consider the digital project portfolio in October 2023.
- (ii) Digital Governance Charter

In consideration of the outline plan for the BT project to return to business as usual, the Committee considered a Digital Governance Charter, which set out the terms of reference for the Digital Committee.

Resolved: to note the Digital Governance Charter.

10. **LEGAL RISK REPORT**

The Committee considered the Legal Risk Report for the period August to October 2022.

Resolved: to note the report.

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

The Committee agreed to highlight to the Court its discussions relating to the financial statements for 2021/22, the Institutional Risk Register, the internal audits undertaken during the period with particular emphasis on the HESA Student Return, the recommended governance model for the re-integration of Business Transformation as business as usual, the deferral of a joint deep dive session with PODCO until at least 2023/24, and the Committee's Annual Report.

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

12. **ANY OTHER BUSINESS**

It was noted that a private meeting between auditors and members of the Committee would be arranged for the February 2023 meeting.

The Convener confirmed that he would not attend the meeting of Court on 15 November 2022 and that therefore the Deputy Chair of Court had agreed to introduce the Convener's Report on his behalf.

Resolved: to ensure that private meetings with auditors and with officers were built into the meeting of the Committee in February 2023.

13. **FINANCIAL STATEMENTS OF SUBSIDIARY AND ASSOCIATED COMPANIES**

The draft financial statements of the subsidiary companies for the year ended 31 July 2022 were presented to the Committee. The companies included in the statements were the Dundee University Utility Supply Company Limited and University of Dundee Nursery Limited.

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

14. **RISK MANAGEMENT OVERSIGHT GROUP**

The Committee noted the minutes from the meeting of the Risk Management Oversight Group on 31 August 2022.

Resolved: to note the minutes of the Risk Management Oversight Group.

15. **DATE OF NEXT MEETING**

Resolved: to note that the next meeting would be held on Tuesday 28 February 2023.

Keith Winter
Convener

Appendix 3, Annex 1

**UNIVERSITY OF DUNDEE
UNIVERSITY COURT
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 3, Annex 2, Appendix 1**Membership 2022/23**

Members Name	Category
Keith Winter (Convener)	Lay Member of Court
Tricia Bey	Lay Audit & Risk Committee Member
Andy Lothian	Lay Audit & Risk Committee Member
Irene Wilson	Lay Audit & Risk Committee Member
Susan Walker	
In attendance	Category
Richard Bint	Convener of the Finance & Policy Committee
Prof. Wendy Alexander	(Vice-Principal (Internationalisation))
Peter Fotheringham	(Director of Finance)
Dr Neale Laker	(Director of Academic & Corporate Governance)
Peter Fotheringham	(Deputy Director of Finance)
Dr Jim McGeorge	(University Secretary)
Liz Rogers	(Risk & Business Continuity Manager)
Kenny Stewart	(Policy Officer (Corporate Governance))

Appendix 3, Annex 2, 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 4**GOVERNANCE & NOMINATIONS COMMITTEE MINUTES**

A meeting of the Committee was held on 18 October 2022 in the Executive Meeting Room, Level 5, Tower Building, and via MS Teams.

Present: Amanda Millar (Convener);
Tricia Bey (online);
Jane Marshall (online);
Dr Anna Notaro (online);
and Sharon Sweeney

In Attendance: Professor Blair Grubb (Vice-Principal (Education));
Dr Neale Laker (Deputy University Secretary); and
Dr Alison Ramsay (Senior Policy Officer (Corporate Governance) & Clerk to Court).

Apologies: Professor Iain Gillespie, Adam Robertson

1. MINUTES

Resolved: to approve the minutes of the meeting of 24 May 2022.

2. MATTERS ARISING**(i) Action Log**

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

Resolved: to note the Action Log.

(ii) Annual Review: Remuneration of the Chair of Court

In accordance with the authority delegated by the Committee at its last meeting, the Deputy University Secretary confirmed that he had considered and approved the submission from the Chair of Court detailing time spent on University business during the 2021/22 academic session. Members were advised that the sum of

£22,646 had been paid to the Robertson Fund to support student scholarships.

Resolved: to homologate the decision to approve the payment as set out above.

3. CONVENER'S UPDATE

The Convener updated the Committee on activities and interactions undertaken at a sectoral level since its last meeting which would be of relevance to the Committee. Members were advised that the Convener had attended the most recent meeting of the Committee of

Scottish University Chairs (CSC) at Queen Margaret University. The Chair of the Scottish Funding Council had apprised those in attendance of likely developments in the future of funding for the sector and a presentation on aspirations for Net Zero had been the focus for discussion. CSC members had also considered collective messaging for use in dialogue with the Scottish Government and other key stakeholders.

The Convener advised members that she had now held meetings with Conveners of all Committees of Court and also with individual members of Court. These conversations were noted as having been very productive and had generated ideas on how to take forward issues of inclusion. The Committee was further advised that the Convener had met individually with members of the University Executive and that she intended to meet other senior colleagues in order to obtain as broad an understanding of the University as possible.

Resolved: to note the update.

4. PUBLIC STAKEHOLDER MEETING OF COURT

The Deputy University Secretary advised the Committee that, whilst the proposals for the format and timing of the event were still under discussion, the event had been scheduled for Wednesday 11 January 2023, prior to the Discovery Days programme.

Resolved: to note the update.

5. MEMBERSHIP OF THE COURT

(i) Membership of the Court and its Committees

The Committee received and considered the above report on matters relating to the membership of Court and its committees. Members were advised that two independent members of Court would reach the end of their maximum term of office on 31 July 2023 and that, of the two members of Senate elected to the Court, one would be eligible to stand for re-election.

The Committee noted that it would be desirable to commence a process to recruit and select new lay members of the Court as soon as possible and agreed to form an Appointment Panel as a sub-group of the Committee to progress this. Expressions of interest in joining the Appointment Panel would be sought from members of the Court. In discussion, members noted the value of a prolonged transition period for new Conveners. The Deputy University Secretary advised the Committee that individuals would be sought for the vacancies with the relevant qualities and a willingness to serve.

With regard to the vacancy arising from the resignation of the member nominated by the Campus trade unions, the Committee was advised that the unions had been reminded of the process as set out in Ordinance 66 and invited to nominate a new member. It was unclear when the nomination would be made, given ongoing industrial action.

Resolved: to commence the recruitment and selection process for new independent members of Court.

(ii) Skills Matrix

The Committee received and considered an update Skills Matrix, which it reviewed annually in order to consider the balance of skills over time for the Court and its committees. Members were invited to consider whether the format of the report remained fit-for-purpose and whether the summary charts presented were suitable for publication.

Members considered the diversity of skills required for a high-functioning governing body, including the contribution of academic members and it was noted that not all attributes were captured by the current method. Following discussion, it was agreed that a less complex and more forward-looking document would be developed to aid planning for the future composition of the Court.

- Resolved:** (i) to approve the summary charts for publication, ensuring they would contain no identifying information and
- (ii) to approve the redevelopment of the Skills Matrix in a new format.

(iii) Equality, Diversity & Inclusion Monitoring Report

This item is considered strictly confidential. The University claims the exemptions in Sections 30b and 30c and 33(1)(b) of the Freedom of Information (Scotland) Act 2002. The minute has been redacted and is provided under separate cover. It will be published as an appendix to the minute of the Court meeting at which its release is approved.

(iv) Register of Interests 2022/2023: Court Members

The Committee reviewed the Register of Interest returns for Court 2022/2023, which summarised declarations of interests made by Court members. Members noted that these were intended for publication on the Court website.

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

6. **REPORT ON THE ANNUAL MEETINGS BETWEEN CHAIR/DEPUTY CHAIR AND MEMBERS OF THE COURT**

The Committee received and considered the report from the previous Chair of Court and the Deputy Chair of Court, summarising the one-to-one conversations held with members of the Court in early summer 2022. Members noted that, in the main, feedback from members had been positive, reflecting continued progress in a number of areas. The Convener thanked Mr Bowie and Ms Bey and individual members of the Court for their participation in this valuable exercise.

- Resolved:** to note the update.

7. **ANNUAL COURT QUESTIONNAIRE**

The Deputy University Secretary introduced the above report, summarising the responses from members to the annual questionnaire regarding the effectiveness of the Court and its committees. Dr Laker reminded members that the Committee had agreed to remove the qualitative elements of the questionnaire on the basis that these had been addressed as part of the one-to-one meetings, above, and that the report could not therefore be directly compared with previous years.

The Committee took assurance that Court members were, on the whole, content with the effectiveness of the Court and its committees but noted that at least one member had expressed

dissatisfaction. In discussion, the Committee noted that the Convener would take as inclusive an approach as possible in inviting criticism from members and were advised that the embedding of the principles of equity and inclusion would be a focus of Court's efforts and likely for some time to come.

Resolved: (i) to note the report.

8. **EARLY-STAGE COURT BUSINESS**

The Committee received a report on Early-Stage Court business for the meeting on 15 November 2022 for discussion and comment. Members were advised that it remained the intention to hold the meeting in person and that the pre-Court briefing would take the form of a tour of the Leverhulme Research Centre for Forensic Science facilities.

The Committee noted that the key business of the meeting would be the annual Financial Statements and requested that the papers be circulated as early as possible to allow members sufficient time for scrutiny ahead of the meeting. In response to a question about the consideration of the University's Outcome Agreement with the Scottish Funding Council (SFC), it was confirmed that a draft document would be shared with the Students' Association and the campus unions before its submission to the SFC.

Resolved: to note the proposed Early-Stage Court business paper.

9. **ANNUAL REVIEW: REMIT AND TERMS OF REFERENCE**

The Committee reviewed and approved its terms of reference, noting the updated membership. It was noted that in cases where Court members were observers, and not full members, of Court committees, this needed to be made clear.

Resolved: to approve the Committee's terms of reference.

10. **ANNUAL REVIEW OF DIVERSITY ON COURT STATEMENT**

The Committee received and considered the Statement on Diversity on Court. On the issue of disability, it was noted that greater emphasis was required, particularly in relation to the financial statements.

Resolved: to approve the statement.

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

The Committee recommended that the Convener highlight the following items to the Court: Recommendations regarding the appointment of new lay members of Court, feedback from one-to-one meetings with lay members, the review of the Skills Matrix and the annual report on Diversity.

12. **COMMITTEE BUSINESS 2022/2023**

The Committee agreed not to meet in January 2023, given an expectation of insufficient business, and noting that time would be required by an appointing panel in the recruitment of new members to Court.

Resolved: to approve the programme of committee business, subject to reordering of business following the decision to cancel the meeting on 17 January 2023.

13. **CORPORATE GOVERNANCE STATEMENT**

The Committee reviewed the annual Corporate Governance Statement for inclusion in the annual financial statements 2021/22.

Resolved: for its part, to approve the statement, subject to minor amendment to the table of attendance.

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

The Committee received and considered the 2022 update of the University's Modern Slavery Act (2015): Slavery and Human Trafficking Statement.

Resolved: to endorse the 2022 statement to the Court for approval and publication.

15. **UPDATE ON THE REVIEW OF THE EFFECTIVENESS OF THE SENATE**

The Committee noted the progress made on the implementation of the recommendations emanating from the review of Senate effectiveness.

Resolved: to note the report.

16. **DATE OF NEXT MEETING**

Resolved: to note that the next meeting would be held on Tuesday 21 March 2023.

Amanda Millar
Convener



Appendix 4, Annex 1

Modern Slavery Act 2015: Slavery and human trafficking statement

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

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

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

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

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

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

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

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

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

For and on behalf of the University of Dundee

October 2022

Modern Slavery Act 2015: Slavery and human trafficking statement 2022 Update

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

- (a) a statement of the steps the organisation has taken during the financial year to ensure that slavery and human trafficking is not taking place—*
(i) in any of its supply chains, and
(ii) in any part of its own business”.

Completed Activity

Progress on planned activity from the 2021 Modern Slavery Statement was limited due to several staff changes within the Procurement Team and a focus on Procurement activities related to the Climate Emergency. However, the Head and Deputy Head of Procurement attended a presentation by [Electronics Watch](#) in August 2022 which was organised by APUC. Electronics Watch coordinate independent monitoring and remediation to help public sector organisations protect the rights of workers in their electronics supply chains. Their main activity involves identifying and remedying breaches of labour rights, safety standards and other issues related to workers rights by undertaking in-depth monitoring of companies throughout the electronics supply chain.

Efforts to ensure contracted suppliers to the University adhere to the [Sustain Supply Chain Code of Conduct](#) continued with all suppliers to new contracts in excess of £50,000 undertaken by the Procurement Team being asked to sign-up to the code as part of the tendering process. This activity is in addition to all new suppliers to the University being required to abide by the code of conduct as part of the University’s New Supplier process. Since go-live in 2019, c2,000 external organisations have been added to the 1U system with all suppliers agreeing to abide by the Sustain Supply Chain Code of Conduct.

Future Activity

Category Managers will be required to complete the HEPA ‘A Guide to Modern Slavery’ and the CIPS ‘Ethical Procurement and Supply’ e-learning modules as part of their 2022/23 objectives.

Category Managers plan to undertake analysis of ‘at risk’ supply chains as part of their Category Analysis and Plan development. One or more of these Category supply chains will be prioritised and evaluated in detail to ensure procedures exist at all levels of the supply chain to mitigate the risk of modern slavery-related activities being in place.

Where appropriate, we will supplement our own efforts with activities already being progressed by APUC. See the [APUC Modern Slavery and Human Trafficking Statement](#) and [Electronics Watch](#) for reference.

For further information visit www.dundee.ac.uk/procurement

or email procurement@dundee.ac.uk

Appendix 5

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES

A meeting of the People & Organisational Development Committee was held on 27 October 2022, via Microsoft Teams.

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

<p><u>In Attendance:</u> Professor Iain Gillespie Neale Laker</p> <p>Dr Jim McGeorge Dr Christine Milburn Professor Shane O'Neill George Simmonds Kenny Stewart Julie Strachan</p>	<p>Principal & Vice-Chancellor (from Item 8 onwards); Dr Deputy Secretary and Director of Academic and Corporate Governance; University Secretary; Head of Principal's Office; Senior Vice-Principal; Equality & Diversity Officer (for Item 6a); Policy Officer (Corporate Governance); Deputy Director of Human Resources and Organisational Development (HR&OD);</p>
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1. MINUTES

Resolved: The Committee approved the minutes of the meeting on 18 May 2022.

2. MATTERS ARISING

(1) 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. Preparatory meetings had been held with senior staff towards the end of the 2021/22 academic year to develop a coherent and focused Committee agenda for 2022/23. In discussions with the Senior Vice-Principal (SVP) it was agreed that forthcoming Committee business for the session would be structured around oversight of strategic projects in support of People & Talent Strategy implementation and actions in support of equality, diversity and inclusion (EDI).

The Convener had discussed issues of risk as they related to staff with the Convener of the Audit & Risk Committee. It was agreed that a proposed joint session of the Committees to consider these matters in further detail would be deferred until the next academic year at the earliest. This was in light of senior staffing changes in HR&OD and other appointments in support of the delivery of the University's Equality, Diversity & Inclusion (EDI) Strategy.

The Convener had held a further meeting with the Director of HR&OD on issues related to

Committee business, ahead of her retirement on 30 September 2022. Members wished to place on record their sincere gratitude for the Director's leadership and guidance to the Committee and for her distinguished service to the University over a considerable period of time, and wished her well in her retirement.

The Convener also noted that 2022/23 would be her final year as a member of the University Court, and as Convener of PODCO. One of her stated aims was to ensure an effective handover to her successor in the role.

4. PEOPLE AND TALENT STRATEGY

The Committee considered a paper from the Senior Vice-Principal (SVP) on the People & Talent (P&T) strategy. The paper outlined year one project commitments and relevant progress updates for the strategy, and set out priorities for the implementation plan in the current year.

Priority projects for year one had been reaffirmed at a meeting of the University Executive Group (UEG), based on a range of criteria including scale of impact, availability of resources or expertise, and risk appetite. A Strategy Implementation Planning Board for People & Talent, chaired by the SVP, would ensure the plan delivery, and manage identified risks.

The seven priority areas in the current year were: EDI action plan delivery; academic appraisal; reward & recognition; academic workload; staff engagement survey; induction & integration; and workload & wellbeing. The first five of these projects were already underway. The Committee heard that to assist the process of advancing some specific aspects of the P&T strategy, the University had engaged the services of Leading Kind HR consultancy.

The Committee discussed the range of projects outlined in the strategy overview. Members agreed that the plan provided a suitable starting point to measure progress throughout the year. With regard to staff engagement, members were supportive of diversifying the approach through the adoption of different elements, such as social media. It was confirmed that the survey strategy would come before the Committee during 2022/23.

Further discussion focused around several of the projects outlined in the report. A paper on a new academic appraisal process had been submitted to Deans, and management awaited further discussions with the University and College Union (UCU).

A proposed approach to reward and recognition was in development by Leading Kind, to be submitted to UEG in November 2022, with outcomes from preliminary decisions taken in that forum to be considered by the Committee at its meeting in January 2023.

With regard to induction processes, a key output in development was a handbook and range of online resources of good practice. Material would be based on a wide range of practices collected from reviewing good practice at other institutions. Members agreed that a mixed media approach with quick feedback loops was essential to the successful implementation of this key project. Delivery of this process was due in March or April 2023, with a paper prepared for UEG to be followed by consideration by the Committee.

- Resolved:**
- (i) to note the People & Talent Strategy paper; and
 - (ii) to consider the outcome of the reward and recognition process following UEG consideration of Leading Kind paper.

5. **EQUALITY AND DIVERSITY ACTION IN SUPPORT OF THE PEOPLE & TALENT STRATEGY**

The Committee considered a paper which provided an update on the current progress with regard to EDI actions and associated work being undertaken in support of the People and Talent Strategy. The paper had been developed by the Leading Kind consultancy, with further input provided by the Deputy Director (HR&OD), and by the SVP and University Secretary, as co-Chairs of the EDI Committee.

The paper outlined progress towards the appointment of a 0.7FTE Academic EDI Lead. The role would provide academic leadership and direction, and a coherent approach to EDI activity across the institution, with the postholder responsible for the effective progress of actions taken on behalf of UEG. Interviews for the role were scheduled for November 2022. The Committee noted that UEG would nominate an Equality Champions from among its number.

The paper noted that Leading Kind had been commissioned to undertake a series of related workstreams. Specifically this related to the development of an EDI Strategy and a review of the EDI architecture currently in place with the work to be concluded by December 2022. The report would provide the evidence base for areas of practice that should be celebrated and replicated as well as priority areas to mitigate risk.

The Committee welcomed the report and strongly encouraged the introduction of EDI champions. Further details on the role would follow the appointment of the Academic EDI Lead.

The Committee welcomed the development of a more consistent institutional approach in this area. It considered how actions identified in the report would be measured and how success measures would be defined. It considered initiatives to nominate examples of excellent EDI work by staff through awards processes as a potential measure which could raise visibility and encourage engagement on institutional EDI activity.

Two priorities had been identified for 2022/23; to establish the process and architecture of strategy implementation, and to bring forward the newly integrated EDI strategy later in the year.

Resolved: to note the report and commend its proposed approach.

6. **UNIVERSITY CHARTERS**

a) Athena Swan application

The Committee considered a paper which provided members with an update on progress towards the submission of the University's Athena Swan Bronze Award application due in November 2022. The paper also contained the draft application as of October 2022. The progress update highlighted the composition of the Self-Assessment Team (SAT), including members of staff and students from most Academic Schools and Directorates.

The Committee acknowledged that a small number of outstanding actions were required to complete the application ahead of the application deadline. Members acknowledged the substantial body of work undertaken in the preparation of the application and commended the SAT for its work.

The Committee briefly discussed the pathway towards achieving future awards at Silver level, in the event of a successful submission for the institutional Bronze award. Members noted that Silver awards tended to be conferred at School or discipline level, and noted

the requirement to demonstrate impact and change through the implementation of the accompanying Action Plan. It was acknowledged that the number of UK institutions with Silver awards remained relatively low.

- Resolved:**
- (i) to commend and note the work achieved in support of the application; and
 - (ii) to consider the outcome of the application process at its May meeting.

b) Race Equality Charter implementation

The Committee considered an update paper from the Race Equality Charter Implementation Team (RECIT). The paper provided an update on the delivery status of the 81 institutional actions in the University's REC programme to be delivered over the five year tenure of the award, with specific emphasis on the actions successfully delivered in the first year.

The Committee noted that the ability to support and promote further roll out of the action plan was dependent upon liaising with action owners and leads at School and Directorate level. It noted the capacity issues arising from servicing multiple priorities simultaneously, and acknowledged that these would filter through the annual planning and budgeting process.

The Committee wished to acknowledge the success of RECIT's work during Black History Month and agreed that outcomes of this work were evident around the campus.

Resolved: to note progress on REC action plan.

7. **DIRECTOR'S REPORT/ SECTORAL UPDATE**

The Committee considered the Deputy Director's Strategic Report and Sectoral Update which provided an overview of strategic activity and operational activity of relevance to the Committee's remit.

The paper noted that the new School of Humanities, Social Sciences and Law had been successfully implemented ahead of the 2022/23 academic year, following a period of consultation.

The Payroll and Core HR OneUniversity system was launched during August 2022, and all staff had been paid via the new system from August 2022. The current project focus was delivery of the recruitment processes to replace the current iGrasp system by December 2022.

The paper further noted current developments on pensions, the 2022/23 pay award and implementation of the Real Living Wage in August 2022, which was welcomed by the Committee.

The Committee noted that one of the positions for trade union members on Court and PODCO was currently vacant, and that a process was underway with trade unions to fill the position after the November 2022 Court.

Members further discussed ongoing industrial action by the Unite union. The Committee noted the outcome of the recent UCU ballot in favour of strike action.

The Committee agreed to request that a paper be developed to provide the staffing profile of the University. This would assist the Committee to fulfil its remit to consider and evaluate the implications of significant workforce trends within the University. The Committee hoped to review the staffing profile paper at its January 2023 meeting.

The Committee noted the appointment of a new Interim Director of HR&OD, who would shortly take up post. The Committee heard that the appointee, Alex Killick, had formerly been Director of People at Glasgow Caledonian University. The appointee was also Director of the Leading Kind consultancy with whom the University had engaged on specific areas of EDI activity and had as a result already developed good working relationships with senior staff.

The Committee further heard that the recruitment of a permanent HR Director of permanent position would start in early November 2022.

Resolved: to consider a staffing profile report

8. COMMITTEE OPERATIONS

a) 2022/23 Schedule of Business

The Committee noted its draft Remit, Terms of Reference and Schedule of Business for 2022/23. It was noted that the projected order of strategy implementation items scheduled across the Committee's meetings throughout the year was subject to change. Members were otherwise encouraged by the forward workplan as devised.

Members also agreed to a change of the quorum to three members

- Resolved:**
- (i) to change the quorum in the Remit and Terms of Reference and note the change to the University Court; and
 - (ii) to update the workplan for an additional paper on the staffing profile at the January meeting of the Group; and
 - (iii) to approve the Committee Remit, Terms of Reference and Schedule of Business for the 2022/23 academic year (appendix 1).

b) 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 that the results indicated that the Committee had made progress in the largely positive feedback on the committee's effectiveness. Members acknowledged that more progress was required to provide more strategic leverage in its work.

Resolved: to note the Review on Committee Effectiveness.

9. NARRATIVE FOR COURT

It was agreed that the Convener's report to Court on 15 November 2022 would highlight the Committee's encouragement at the update on the P&T Strategy implementation process and its

ability to track and review activity across the year. The Convener would further note EDI action in support of the P&T strategy; the progress on the Athena Swan application and progress towards implementation of the Race Equality Charter action plan.

Finally, the update would also note the approval of the Researcher Development Concordat report and the Health and Safety Policy, and that the Committee had proposed a change to its quorum.

10. ANY OTHER BUSINESS

Members agreed that meetings of the Committee would continue to be held online unless there was an express need to do otherwise.

Resolved: to agree to hold meetings of the Committee online during the 2022/23 session.

11. 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) and approved minor changes agreed at the meeting of the Governance & Nominations Committee on 18 October 2022.

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

12. RESEARCHER DEVELOPMENT CONCORDAT

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

Resolved: to approve the Researcher Development Concordat progress report.

13. HEALTH AND SAFETY POLICY

The Committee noted the revised Health and Safety Policy received from the Health, Safety & Welfare Sub-Committee for approval. It suggested that the policy would benefit from cross-referring to other related policies in order to better support staff.

Resolved:

- (i) to suggest amendments to the policy to signpost other relevant policies within the text of the document; and
- (ii) to otherwise endorse the revised University Health & Safety policy to the Court.

14. EQUALITY, DIVERSITY & INCLUSION COMMITTEE MINUTES

The Committee noted the Equality, Diversity & Inclusion Committee minutes from the meeting on 4 October 2022.

Resolved: to note the minutes.

15. **DATES OF NEXT MEETING**

Resolved: Thursday 19 January 2023

Jane Marshall
Convener

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

Membership

1. The membership for any given year is set out in the attached schedule. It shall comprise a mix of lay members and staff members.
2. The quorum for any meeting is three of the total membership. 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 Policy Officer (Corporate Governance).

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;
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;

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.

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)
Dr David Martin	(Elected Member)
Trade Union representative (tbc)	(Elected Member)
Jay Surti	(Lay Member)
Karthik Subramanya	(Lay Member)
Karen Thomson	(Lay Member)

2) Officers and others in regular attendance:

Name	Role
Professor Iain Gillespie	(Principal & Vice-Chancellor)
Dr Neale Laker	(Deputy University Secretary)
Dr Jim McGeorge	(University Secretary and Chief Operating Officer)
Professor Shane O'Neill	(Senior Vice-Principal)
Kenny Stewart	(Policy Officer (Corporate Governance))
Julie Strachan	(Deputy Director of Human Resources & Organisational Development)
Tbc	(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 three 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 currently 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 Annual Progress Report 2021-2022****Introduction**

The following report provides an overview of the University of Dundee's progress against its current action plan for implementing the obligations set out for institutions, managers of researchers and researchers within the revised Concordat to support the Career Development of Researchers, hereafter referred to simply as "the Concordat".

In the University's inaugural progress report, in accordance with the reporting standards included in the Concordat itself, we set out the key strategic objectives of our plan, a summary overview of the plan itself, and its key success measures.

Since the publication of that report, we have had the opportunity to implement the bulk of the specific actions set out in the plan. As such, this report shall focus primarily on the success – or otherwise – of these actions, measured where possible against their success measures. We shall conclude by looking forward to the next planning cycle and lessons learned which can feed into this.

Strategic Objectives

In the previous progress report, we noted three key strategic objectives which guide our approach. These are:

- 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.

These objectives remain currently unchanged.

Implementation Plan

The University continues to work with the implementation plan set out in the previous Progress Report. Work is scheduled to commence on a new plan in September 2022.

Measures of Success

Quantitative measures of success set out in the University's action plan are in the main dependent either on CEDARS data which will not be available until the survey runs again in the summer of 2023 or otherwise have a target to be reached in this year. Progress against these will be reported on in next year's report.

In 2021-2022 the University met its objective of sending five researchers to attend Advance HR training in research team leadership.

Progress to Date

The majority of the specific actions set out in the action plan have now been implemented or are on track to be implemented on time. In particular:

- A School level induction has been piloted at the School of Medicine and lessons learned have fed into relevant institutional workstreams, in particular...
- An Inductions Working Group has reviewed and set out good practice recommendations for a comprehensive reform of University induction practices. This work will be handed over to a new working group for implementation over the coming year.
- Information on the Concordat has been added to relevant induction materials
- The University's probation policy has been revised to include a twelve-month probation period for researchers with reviews at three and eight months. This policy has been approved by the relevant trade unions and work is in process on standardised templates for these reviews. Roll out of the new policy is scheduled for
- A consultation has been completed looking at training needs of managers of researchers across the University
- Completion rates for mandatory training for PGR supervisors in the area of research integrity have improved in line with success measures
- Management training workshops have been promoted by both newsletters and bespoke OPD communications
- A new Managers' Resource SharePoint has been built and is shortly to be launched including a dedicated section for managers of researchers
- A Statement of Expectation for managers of researchers promoting better understanding of what the Concordat requires has been drafted. This will be developed in further consultation with managers of researchers within individual Schools
- A new guidance document has been created and an accompanying bespoke video resource is in the process of being created with the aim of supporting managers of researchers in holding careers conversations with research staff

Conclusion and next steps

The obligations set out in the Concordat to Support the Career Development of Researchers are fully aligned with the HR Excellence in Research Award, which recently moved from a two year to a three year application cycle. As a result, the University will be obliged to submit a new three-year Concordat action plan by 22nd September 2023 in the context of its application for renewal of this award. Creation of this action plan will be a key focus over the coming academic year. To this end, the Concordat Implementation Group has been recreated under the new name of the Researcher Career Development working group.

The overall approach to planning will be informed by two key considerations:

First, the working group will seek to coordinate its activity with the university's ongoing internal review of concordats and agreements, currently being led by the research policy manager. As such, planning will strive as far as possible to be synergistic with other action plans and avoid redundancy.

Second, guidance from Vitae (who oversee the UK HR Excellence in Research Award process) clearly indicates that universities are not obliged to demonstrate action in all areas of the Concordat in a single action plan. As such, the intention will be to focus on meaningful, long term actions in a limited number of areas.

Determining and delineating these actions will be a function of the planning process. However, it is anticipated that areas of focus will include:

- Creation of a new management and leadership training solution for PIs and managers of researchers

- Creation of coordinated and potentially accredited packages of learning and development to help address the “ten working days” expectation in relation to engagement in professional development
- More help for research staff to forge links with industry and other partners outside academia, both for knowledge exchange and career development purposes.

Appendix 5, Annex 4**Health and Safety Policy****Table of Contents**

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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 MMM 2022.

Professor Iain Gillespie
(Principal)

Amanda Millar
(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

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

- Accident Reporting and Investigation
- Clinical/Biological Waste
- COSHH

- Ergonomics and Repetitive Strain Injury (RSI)
- Fieldwork
- Good Laboratory Practice
- Personal Protective Equipment
- Public events management
- Safe Use of Microbiological Safety Cabinets
- Safe Working with Display Screen Equipment
- Staff Health and Safety
- Staff Quick Health and Safety Guide
- Staff Travel
- Storage and Handling of Cryogenic Materials Guidance
- 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

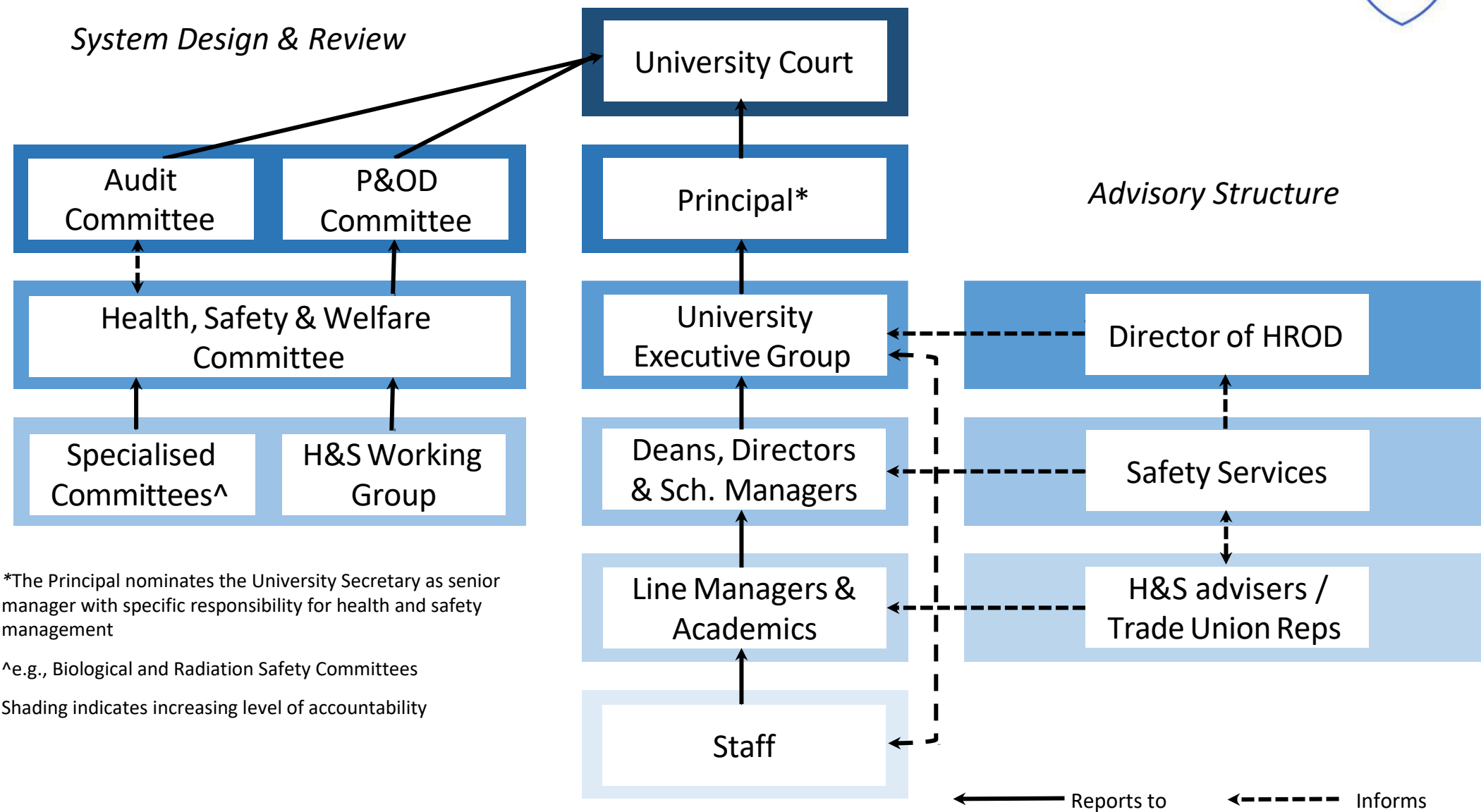
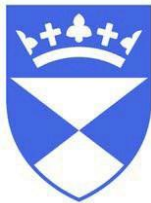
This policy has been assessed for equality impact and no adverse consequences identified. Indeed, the policy aims to be supportive of people with relevant protected characteristics. The full equality impact assessment can be downloaded from: https://dmail-my.sharepoint.com/:f:/g/personal/nrhelps_dundee_ac_uk/ErP2SdA5j9tGm0Hc9z7uGmkBoejiA00qXdwHYt9n0-nl6w?e=US3aub

4.2 Approvals & Renewals

Document Name	University of Dundee Health and Safety
Status	Policy Approved
Responsible officer/department/school	Safety Services
Policy owner	People & Organisational Development Committee
Date last approved	NNth MMM 2022
Due for review	NNth MMM 2023
Authorised and approved for publication	Yes
Date authorised for publication information	NNth MMM 2022
Classification: public/internal location in repository	Public
Approval route and history code	POD (the folder on OneDrive)
	HSW Committee, P&OD Committee

Health and Safety Organisation

Implementation



*The Principal nominates the University Secretary as senior manager with specific responsibility for health and safety management

^e.g., Biological and Radiation Safety Committees

Shading indicates increasing level of accountability

Committees

The following bodies within the University exercise management control of health and safety.

1. **University Court**

The roles and responsibilities of the Court are defined within the University's Statutes.

2. **People and Organisational Development Committee**

The roles and responsibilities of the People and Organisational Development Committee are defined within the University's governance structure.

3. **Audit Committee**

The roles and responsibilities of the Audit Committee are defined within the University's governance structure.

4. **University Health, Safety and Welfare Committee**

The Health, Safety and Welfare Committee is a sub-committee of the People and Organisational Development Committee.

4.1 *Membership*

Management members

- University Secretary
- Vice Principal (Research, Knowledge Exchange & Wider Impact)
- Director/Deputy Director of Estates and Campus Services
- Director/Deputy Director of Human Resources and Organisational Development
- Director of Academic and Corporate Governance
- Director/Deputy Director of Student Services

Trade Union Representative members

- DUCU Representatives x 2
- Unison Representatives x 2
- Unite Representatives x 2

Non-management ex-officio members

- Head of Safety Services

In attendance

- Deputy Head of Safety Services
- Fire Safety Adviser
- Safety Services Administrator (minutes)
- School Dean when required for relevant agenda items

The chair for Committee meetings alternates between the University Secretary and the Trade Union Representatives.

4.2 *Quorum*

A quorum for the committee has been set as at least three members of management and three union members to be present, with the head of health and safety or his deputy being in attendance.

4.3 *Remit*

- Report to People and Organisational Development Committee on the management of Health, Safety and Welfare
- Inform People and Organisational Development Committee and University Executive Group of the University's obligations to the management of health and safety
- Consult Trade Union health and safety Representatives on the management of Health, Safety and Welfare
- Approve plan to promote compliance
- Approve policy and procedures
- Approve training programme
- Approve inspection programme
- Review inspection reports
- Review incident and ill health reports
- Review reports from Auditors and Enforcing Authorities
- Review reports from School/Professional Service Health & Safety Management Committees
- Consider report from Head of Safety Services
- Consider report from University Fire Safety Adviser
- Consider report from University Radiation Protection Adviser
- Consider report from University Biological Agents Committee
- Consider report from University Radiation Protection Committee
- Consider report from Trade Union health and safety Representatives

4.4 *Frequency of Meetings*

The committee will meet no less than three times a year.

5. **University Biological Agents Committee**

5.1 *Membership*

- Vice Principal (Research, Knowledge Exchange & Wider Impact) (Convener)
- Parasitologist (Academic)
- Microbiologist (Academic)
- Virologist (Academic)
- Immunologist (Academic)
- University Biological Safety Adviser (UBSA)
- Life Sciences H&S Adviser
- Medical School H&S Adviser
- Medical School GM Safety Adviser
- Dental School Representative
- Director Biological Services

The Committee may co-opt other people as appropriate to discuss particular aspects of biological safety.

5.2 *Quorum*

The quorum for this committee is the Convener, UBSA, one representative from the School of Life Sciences and one representative from the School of Medicine.

5.3 *Remit*

- Report to University Health, Safety and Welfare Committee on risks posed to people and the environment by work with biological agents and the measures implemented to control these risks to an acceptable level.
- Give authorisation for work involving biological agents to proceed after consideration of:
 - Risk Assessment
 - Laboratory facilities
 - Staff and student training and supervision
 - Procedures, including storage and disposal of biological materials under all circumstances
- Statutory Notification, License and Consent requirements
- Assess the training needs to work with pathogens and Class 2 and 3 genetically modified micro-organisms and monitor the effectiveness of training programmes
- Review inspection reports of Containment Level 2 and 3 facilities and to ensure issues are resolved
- Review incident and ill health reports involving work with biological agents and ensure issues are resolved

5.4 *Frequency of Meetings*

The committee will meet no less than twice a year.

6. **University Radiation Protection Committee**

6.1 *Membership*

- Vice Principal (Research, Knowledge Exchange & Wider Impact) (Convener)
- University RPA
- University RPO and RWA
- NHS Tayside RPA
- NHS Tayside RPO
- Medical School health and safety Adviser
- Life Science health and safety Adviser
- Science & Engineering health and safety Adviser
- Super Users
- Staff representative
- Research post-graduate representative

6.2 *Remit*

- Report to University Health, safety and Welfare Committee on risks posed to people and the environment by ionising and non-ionising radiation created by the undertakings of the University and the safety measures adopted to control these risks to an acceptable level.
- Give authorisation for work involving ionising and non-ionising radiation to proceed after consideration of:
 - Risk Assessment
 - Laboratory Facilities
 - Staff and Student Training and Supervision
 - Local Rules
 - Statutory Notification and Consent Requirements
- Formulate, develop and revise radiation safety policy and procedures
- Assess the training needs to work with ionising and non-ionising radiation and monitor the effectiveness of training programmes
- Review incident reports involving ionising and non-ionising radiation and to ensure issues are resolved
- Review inspection reports of laboratories using ionising and non-ionising radiation and to ensure

issues are resolved

6.3 *Frequency of Meetings*

The committee will meet no less than twice a year.

7. **Health & Safety Advisers Working Group**

7.1 *Membership*

- Head of Safety Services (convener)
- Director or Deputy Director HROD
- Deputy Head of Safety Services
- University Fire Safety Adviser
- University Hazardous Waste Manager
- University Health and Safety Technician
- School and Professional Services H&S Advisers
- Trade Union health and safety Representatives
- Head of Campus Security or Deputy

7.2 *Remit*

- Report to University Health, Safety and Welfare Committee on the management of health, safety and welfare within Schools and Professional Services
- Draft policy and procedures
- Develop, implement and monitor effectiveness of risk assessment and other safety-related databases
- Develop, implement and monitor effectiveness of training plans
- Develop, implement and monitor effectiveness of workplace inspection programme
- Review incident and ill health reports
- Share best practice
- Organise health and safety campaigns

8. **School/Directorate H&S Management Committees**

8.1 *Structure*

Schools and Directorates must have a health and safety committee that acts independently of other committees. It is not appropriate for health and safety to be a standing item on another management committee. However, efficient use of time can be made by arranging meetings that run consecutively. For example, members of the health and safety committee meet first, then that meeting ends and members of management remain and are joined for a subsequent management meeting. One advantage of this arrangement is that serious issues that come from the health and safety committee can be discussed immediately at the management meeting.

8.2 **Membership**

The committee should be balanced, with a range of employee types from across the School/Directorate and student representation (for Schools). It is important that the committee is not biased towards management staff and ideally should have less management roles present so that management show a commitment to employee input to the committee. Representation from the recognised campus unions on committees is strongly encouraged and all three campus unions should be made aware of committee meetings and invited to send a representative. The unions will consult each other and send appropriate representation. The intention is not that all unions need to be represented at each committee meeting.

- A suggested structure is:
- Dean/Director (chair)
- School Manager / Directorate Senior Administrator
- Clerical staff representative
- Manual staff representative
- Technical staff representative
- Student representative (Schools)
- Union representation*
- External representation (from a different School or Directorate)*
- School/Directorate health and safety adviser
- Biological Safety Adviser (if appointed)
- Radiation Protection Supervisor (if appointed)
- Minute taker**

*This may be the same person/people

**The person taking the minutes should not be required to participate actively in the meeting. Hence, the clerical representative should not also take the minutes.

The committee should meet at least once a semester, with minutes uploaded to the dedicated OneDrive directory maintained by Safety Services. Minutes will be available via this shared resource to members of the Safety Advisers Working Group and the Health, Safety and Welfare Committee. Matters that require discussion at meetings of the Group and Committee should be alerted to the Head of Safety Services. The minutes should also be reported at School/Directorate management committees.

8.3 Remit

- The items below are considered a minimum remit for the committee and should form the basis of standing items of business. The School/Directorate can add to these items as necessary to cover important items of business, either as standing items or as stand-alone items.
- Report to University Health, Safety and Welfare Committee on the management of health, safety and welfare within the School/Directorate
- To monitor implementation of University Safety Policy Arrangements through formal inspections, day to day checks, concerns raised and accident/incident investigations
- To review and give advice on local rules to implement University Safety Policy Arrangements
- To liaise and form working relationships with the campus unions via their representatives
- To review training needs and compliance with mandatory training requirements
- To review emergency procedures
- To review outstanding actions relating to fire safety arrangements (as highlighted in the building fire risk assessment or via other means)
- To review contents of the buildings Fire Logbook (fire alarm testing, building evacuation, means of escape check, staff training etc.)
- To review changes in the workplace or working practices that could affect the health, safety or welfare of staff, students or others

8.4 Making Decisions

When discussing issues, the committee should:

1. Discuss if action is needed
2. Recommend agreed actions
3. Record the discussion in the minutes of the meeting and prepare a separate action plan, both of which should be accessible to everyone in the School/Directorate
4. Follow up the actions; then
5. Review them at a later date

Appendix 5, Annex 4, Appendix 2**Supporting Policies**

The following policies support the main policy and provide detail in relation to specific aspects of health and safety management. All policies are available via University of Dundee – Safety Services Policies

These policies are updated and consolidated versions

Ref	Title
1	School and Directorate Health and Safety Management

These policies are awaiting consolidation (where appropriate) but may also have been updated recently as noted.

Ref	Title
1	Accident/Incident Reporting and Investigation (revoked – see 1 above)
2	Asbestos
3	Electricity
4	Emergency Procedures (revoked – see 1 above)
5	Fire
6	First Aid (updated 2022)
7	Induction
8	Lone Working (updated 2021)
9	Manual Handling
10	H&S Concerns Reporting
11	Risk Assessment
12	Slips, Trips and Falls
13	Visitors
14	Display Screen Equipment (updated 2021)
16	Latex Allergy
18	Gas Safety
19	Control of Substances Hazardous to Health (COSHH)
20	Smoking Policy (updated 2022)
21	Autoclaves
22	School/Directorate Health and Safety Policy (revoked – see 1 above)
23	Health and Safety Information for New Staff
25	Construction Work
26	Personal Protective Equipment (PPE) (updated 2021)
27	Traffic
28	Annual Health and Safety Reporting (revoked – see 1 above)
29	Occupational Health
30	Stress Management at Work
32	Children Visiting University Premises
33	Equipment Used at Work
35	Catering at Organised Events within the University
36	Refurbishments
37	Hepatitis B Vaccination Policy
38	Pregnancy and New Birth Parents (updated 2021)
39	Health Surveillance
40	Travelling on University Work in the UK

42	Fire Safety Induction Training
43	Noise
44	Travelling on University Work Overseas
45	Student Work Experience
46	Cryogenic Materials
47	Compressed Gas Safety
48	Fieldwork
49	Home Working (updated 2021)
50	Inspection of Workplaces (revoked – see 1 above)
51	Biological Safety Management
53	Biological Material Transportation
54	Ionising Radiation Management
54	Good Laboratory Practice
55	Artificial Optical Radiation
56	Pressure Systems
57	Legionella and Water Hygiene
58	Public Events
59	Fire Evacuation Procedures
60	Laser Safety Management
61	Unmanned Aerial Vehicle (Drone) Safety Management
62	Working and Assistance Animals

Appendix 6**WELFARE & ETHICAL USE OF ANIMALS COMMITTEE MINUTES**

A meeting of the Committee was held on 7 July 2022.

Present: The Convener
The Director of Biological Services (DBS) The University Veterinary Surgeon (UVS) four other members.

1 MINUTES OF LAST MEETING

These were approved.

2 MATTERS ARISING

- a. There was further discussion about the difficulties in obtaining early warning about intended research collaborations / contracts with overseas institutions;
- b. Applications for project licences WEC2022-06 and WEC2022-09. These are now in the final stages before formal submission to the Home Office. See agenda item 4;
- c. Application for project licence WEC2022-08. This has been amended following the Committee's suggestions, has been approved and is now with the Home Office;
- d. CPD for personal licence-holders: See agenda item 8;
- e. NC3Rs self-assessment. Meeting with NC3Rs to be arranged (DBS).

3 MERGER OF THE RESOURCE UNITS

The DBS and UVS reported that the programme is still on schedule. The precise timing and cost will not be known until a contractor has been appointed (expected August 2022).

4 PROJECT LICENCE APPLICATIONS WEC2022-06 AND WEC2022-09

The applicants were invited in turn to give non-technical overviews of their intended projects, the expected benefits and the possible harms to animal welfare. In both cases, the Committee found the presentations to be very useful and informative. It was noted that, if anything, applicants tend to under-sell the benefits of their programmes of work in the written licence applications.

5 USE OF ANIMALS IN 2021

The Committee noted the slight up-turn in the local statistics, as compared with 2020, the year of pandemic lockdowns. This was mirrored in the national statistics, published by the Home Office at the end of June 2022, to very little media interest. The UVS reported that the "severe" actual events reported in the breeding and maintenance of established mouse lines were largely confined to one genetically altered line, breeding of which has since been stopped. The proportion with respect to the total number of animals used in these procedures was still lower than the national average.

6 STANDARD CONDITION 18 REPORTS

[Standing agenda item]

The UVS reported on three events that had resulted in the submission of SC18 reports since the Committee's previous meeting:

- An unexpected immediate toxicity of a novel chemical entity (NCE). The animal was immediately euthanised and further work with the compound stopped. The Home Office confirmed that no further action was required.
- A wild-type animal being used as a control in an ageing study was found dead at 15 months. While technically it had had no regulated procedures performed on it, an SC18 report was prepared. There were no obvious clues as to the cause of death in the post-mortem examination. The Home Office agreed that it was difficult to assign an actual severity to this case;
- Some very sudden deaths were noted in a genetically altered mouse line to which experimental substances were administered in a study of hypertension. On post-mortem examination the cause of death was determined to be the rupture of an aortic aneurysm. The Home Office agreed that, given the very sudden deaths from a state of normal outward welfare, these events should be classed as “moderate”.

7 REPORT FROM THE UVS ON ANIMAL WELFARE

[Standing agenda item]

The UVS reported that there had been no significant animal welfare events, additional to the SC18 reports, since the Committee’s last meeting.

The UVS further reported that concerns about the use of hormones in the superovulation of mice for embryo harvest had been raised by a personal licence-holder. The work had been carried out by Biological Services staff under the authority of a project licence held by the DBS. The UVS and the Establishment Licence-Holder therefore decided to appoint an expert independent member of the Committee (who could not be present at this meeting but sent a short report) to investigate whether there was a systematic cause of the recent problems:

The report concluded that:

- In 2012, the last year in which embryo harvest had been the predominant method of cryopreserving and rederiving genetically altered mouse lines, there had been excellent results, using veterinary-grade hormones and mostly wild-type female mice;
- Of seven recent projects to cryopreserve or rederive GA mouse lines via this route, four had had issues of one form or another. In some cases, hormones of highly purified grade, but not veterinary products, had been used, largely because there are frequent global shortages of the veterinary materials and projects were required to be completed in a fixed timeframe so there was no option to wait for the veterinary grade hormones;
- As the same staff performed the procedures in 2012, the sporadic embryo harvests since and the recent procedures that had given rise to the concern, there was no evidence of any competence issue. No animal appeared to have suffered from adverse welfare, but poor embryo yields (sometimes zero) had resulted in there being no output from animals that had been bred for this purpose;
- As the female mice had been GA, it was impossible to dissect out the contributions of the hormones from the genetic status of the lines;
- Nevertheless, the report recommended a return to veterinary-grade hormones as soon as this should become possible. If superovulation of GA female mice for embryo harvest is to become a regular procedure, then the hormone preparations should be validated in wild- type animals.

8 REPORT FROM THE TRAINING COORDINATOR

[standing agenda item]

The TC could not be present at the meeting, but sent a report that the DBS presented.

Six personal licence-holders had still not completed the online CPD that the Committee had mandated to be completed by 31 March 2022 (subsequently extended to the date of this meeting, 7 July 2022).

The DBS noted that the CPD in experimental design was relevant to all study directors, whether or not they held personal licences. One study director had been identified, who held a project licence but for whom the regulated procedures were performed by members of Biological Services staff. This individual has agreed to complete the same CPD and, because they were identified so late, will be given until the date of the next meeting of the Committee, 13 October 2022, to comply.

Since the last meeting, 55 DOPS assessments have been carried out and 56 online training modules have been completed. Two new personal licences have been granted. One person has attended the mouse genetics course run by the Mary Lyon Centre. Two people will be attending an up-coming course on anaesthesia and one a course on pain assessment and management.

Resolved: The DBS to recommend to the Establishment Licence-Holder that the personal licences of the six people who have not completed the online training should be revoked. The DBS will then write to all six individuals, warning them that this will happen by 7 August 2022, unless they have completed the training by then.

9 **REPORT FROM THE DBS ON LICENSING MATTERS**

[standing agenda item] This was noted.

10 **AOCB**

- The UVS reported on the recent preparation of an amendment to a project licence which would involve the re-use of mice for blood sampling. Re-use for this purpose is very common in larger species and, in principle it can reduce the number of animals without increasing the (very slight) expected harms. The amendment also requests the use of antibiotics as experimental substances, instead of them being prescribed by the veterinary surgeon. The Committee agreed that it can be reviewed by the standard email route;
- The Committee discussed whether future meetings should be face-to-face by default and agreed that this is likely to be the most productive format.

11 **DATE OF NEXT MEETING**

13 October 2022 (provisional)

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

A meeting of the Committee was held on 13th October 2022.

Present: The Convener
The Director of Biological Services (DBS)
The University Veterinary Surgeon (UVS)
A NACWO
The Establishment Licence-Holder
Four other members.

Apologies: Four members had sent apologies.

1 MINUTES OF LAST MEETING

These were approved.

2 MATTERS ARISING

- a. Embryo harvest: The Committee thanked the independent member for his investigation and recommendation. The matter is now closed.
- b. CPD for personal licence-holders: The DBS confirmed that all personal licence-holders completed this by the final deadline.

3 MERGER OF THE RESOURCE UNITS

The DBS reported that the building programme had begun, with a schedule expected to be completed in mid-December 2022.

4 APPLICATION FOR AMENDMENT TO A PROJECT LICENCE WEC2022-20

The convenor noted that email activity had fallen off in recent times and that the DBS had had difficulty in eliciting quorate responses to request for review via this medium. The Committee agreed that the current project licence form was far too long and a review that might once have been expected to take an hour might now take much longer than that. The necessary level of technical detail in the applications also made their review difficult, particularly for the non-scientific members of the Committee.

Resolved:

- To approve this application for amendment to a project licence;
- To nominate sub-groups of the Committee to meet with applicants for new project licences and substantive amendments to existing licences;
- To review these applications by considering the reports from the sub-groups and the non-technical summaries attached to the applications and, where appropriate, by inviting the applicant to address the Committee in person;
- To commend recently-issued EU advice on writing good non-technical summaries to existing project licence holders and applicants for new ones;
- The DBS to maintain a table of current review processes on the Committee's SharePoint site,

with a note of the required completion date in each case.

5 RETROSPECTIVE REVIEWS WEC2022-17, WEC2022-19, WEC2022-21

The Committee approved these reviews and noted their potential usefulness to the licence- holders in drafting their applications for new ones.

Resolved:

- With their authors' permission, to circulate the reviews to members of Biological Services staff who had contributed to the support of animal welfare and, in some cases, had helped with the procedures in the studies described.

6 ESTABLISHMENT SYSTEMS

The Committee considered the recent discovery of an over-shoot in the numbers of animals used in breeding and maintenance under a project licence's authority. The Committee agreed that the maintenance of contemporary records was quite clearly the responsibility of the project licence-holders but that a mandatory process for doing so should be implemented. The DBS-designate outlined a trial currently being carried with a major group of investigators.

Resolved:

- On completion of the trial, the counting of animals per licence protocol in LabTracks will be instituted for all new project licences as they are granted;
- Holders of existing licences will be strongly encouraged to move to the system as soon as they can.
- The Committee is to receive regular summary reports of the numbers of animals used to date in licence protocols, in comparison with the maxima currently set in the licences.

7 NON-TECHNICAL SUMMARIES

The importance of these being complete and genuinely non-technical was discussed under item 4, together with the availability of comprehensive guidance on writing high-quality summaries.

8 STANDARD CONDITION 18 REPORTS

[Standing agenda item]

The UVS reported on three events that had resulted in the submission of SC18 reports since the Committee's previous meeting:

- An unexpected animal death immediately after the administration of a novel chemical entity (NCE). Another animal which had received the same compound exhibited a brief absence seizure from which it appeared to recover completely. Further work with the compound was stopped. The Home Office confirmed that no further action was required.
- An irradiated animal died unexpectedly nine days after reconstitution. Further investigation suggested that reconstitution might not have been complete. The Home Office confirmed that, in future, any animal in which reconstitution is thought to have been incomplete should be euthanised immediately.
- Two animals were found dead in an infection study, despite the existing monitoring and scoring systems having been used. The particular bacterial strain was a new one, so the most likely explanation is one of an unexpected enhanced virulence. The Home Office confirmed that more frequent monitoring should be carried out in these cases.

9 REPORT FROM THE UVS ON ANIMAL WELFARE

[Standing agenda item]

The UVS reported as follows:

- There were ongoing issues with infrequent and late-onset skin irritation, cataract and sore eyes in a mouse irradiation / reconstitution system. These were within the allowed effects in the project licence and were being treated symptomatically;
- One mouse colony was experiencing particular breeding problems. It was derived from a newly-imported cohort but an extensive micro-biological screen had not detected any likely causative pathogens. There was some literature evidence to support a susceptibility to pre-term births and poor lactation in the line. Breeding has been moved to discontinuous trios to allow for more pre-weaning support;
- One mouse had suffered tail damage while on study (almost certainly as a result of it becoming caught in the cage lid). Monitoring practices in the area concerned are being reviewed.

10 REPORT FROM THE TRAINING COORDINATOR

[standing agenda item]

The TC could not be present at the meeting and a report was not available.

11 ANNUAL REPORT TO THE RESEARCH GOVERNANCE AND POLICY SUB-COMMITTEE

The draft report was approved.

12 REPORT FROM THE DBS ON LICENSING MATTERS

[standing agenda item] This was noted.

13 AOCB

- The Committee considered a statement by a commercial organisation on their culture of care. There was general agreement as to having a position statement on this subject displayed prominently on the University's website;
- The Committee noted that the previous Establishment Licence-holder had been retired and welcomed the current holder. The Committee also noted that the convenor and DBS will both stand down at the end of the year and thanked them both for their service;

14 DATE OF NEXT MEETING

12 January 2023. Subsequent meetings in the current academic session will be on 20th April and 6th July 2023.