

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 18 April 2017.

Present: Ronnie Bowie (in the Chair)
Janice Aitken
Anne Anderson
Richard Bint
Professor Dame Sue Black
Dr William Boyd
Shirley Campbell
Professor Stuart Cross
Jo Elliot
Iain Howie
Professor Tim Kelly
Bernadette Malone
Jane Marshall
Allan Murray
Dr Alison Reeves
Karen Reid
Andrew Richmond
Professor Mairi Scott
Denis Taylor
Indrė Urbanavičiūtė

In Attendance: Wendy Alexander (Vice-Principal (International))
Professor Nic Beech (Vice-Principal (Academic Planning & Performance))
Andrew Hewett (Director of Finance)
Roddy Isles (Head of Corporate Communications)
Dr Neale Laker (Director of Academic & Corporate Governance)
Professor Karl Leydecker (Vice-Principal (Learning & Teaching))
Iain McDonald (Corporate Affairs Officer)
Dr Jim McGeorge (University Secretary)
Dr Christine Milburn (Policy Officer (Corporate Governance))
Pam Milne (Director of Human Resources and Organisational Development)
Professor Tim Newman (Vice-Principal (Research, Knowledge Exchange & Wider Impact))
Wesley Rennison (Director of Strategic Planning)
Thomas Veit (Director of External Relations)

Apologies: Principal Professor Sir Pete Downes
Lord Provost Bob Duncan
Mark Beaumont (Rector)
Sean O'Connor

66. RETIREMENTS

The Chair of Court advised members that the Lord Provost was to retire at the end of April and that he would, as a result, cease to be a member of the Court at that point. Noting that the Lord Provost had given his apologies for the meeting, the Chair confirmed that he would write to Mr Duncan to express the Court's thanks for his service and contributions since he joined in 2012.

The Chair also informed the Court that Iain Howie, a lay member of the Court, had advised him of his intention to step down from the Court at the start of May due to personal commitments. The Court thanked Mr Howie for his service on the Court, and noted his contributions to a number of Committees, including the Finance & Policy Committee, University of Dundee Superannuation Scheme (UoDSS) Board of Trustees, and the Business Transformation Steering Group. Members noted that the Governance & Nominations Committee would discuss arrangements for the appointment of a successor for Mr Howie when it met on 8 May 2017.

The Chair of Court also drew members' attention to the recent announcement of the resignation of the Vice-Principal (Research, Knowledge Exchange & Wider Impact), effective from the end of the calendar year. Noting that this would not be the last meeting for the Vice-Principal, the Court nevertheless expressed its thanks for his leadership of the University's Research Strategy since his appointment in 2015.

- The Court decided:**
- (i) to thank the Lord Provost Duncan and Mr Iain Howie for their valuable contributions to the Court and the University, and to wish them well for the future; and
 - (ii) to note the announcement of the resignation of the Vice-Principal (Research, Knowledge Exchange and Wider Impact) effective from the end of the calendar year.

67. UNIVERSITY STRATEGY TO 2022

In view of his absence, the Principal had prepared a short pre-recorded video introducing the draft University Strategy to 2022. In it he drew members' attention to the process by which the draft had been developed, and in particular the broad engagement with the University community and the Court, with today's meeting representing a further opportunity for Court input before a final version was prepared for approval in June. He advised that the draft Strategy had been developed with the aim of achieving a distinctive, aspirational and inspirational document which could be used to engage with stakeholders. He also drew members' attention to the 'High Performance Community' concept which was embedded throughout the draft, and reminded members of the next steps toward the finalisation of the Strategy, including the development of action plans and Key Performance Indicators (KPIs) which would provide operational detail while ensuring the Strategy itself maintained the flexibility and resilience required to respond to the changing and challenging external landscape. Members also noted that the Strategy remained subject to a copywriting and design phase, which would further develop thinking in terms of user engagement with the document.

Court provided feedback on the draft Strategy, with members responding positively to the approach to the development of the strategy, and the key concepts – in particular the inclusion of a ‘postcard from the future’ element. In providing feedback, the Court agreed that the next iteration of the Strategy should further explore and capture the strategic direction of the University in a way which would provide further guidance/context to those making strategic decisions, such as the Deans, Directors and School Managers. Members also suggested that further consideration be given to including reference to the risk environment in which it would operate and the broader context of the Ministerial Letters of Guidance, the Outcome Agreement, and the budget to ensure that the aspirations were well defined and achievable. Members also made a number of suggestions for minor amendments which would improve the communication of priorities within the document, and noted that the development of the action plans and KPIs would be important in terms of defining objectives and measuring progress.

In response to questions the Vice-Principal (Academic Planning & Performance) outlined the concept behind the term ‘high performance community’, and the process by which the four focal thematic areas had been developed. Members noted that they were intended to be inclusive, to transform the way that individuals and groups operate, to be inspirational and motivational to individuals, and to empower staff to make informed decisions to bring to life the uniqueness of the University and its strategy. Turning to the measurement of performance, members noted that it was intended to further develop this aspect in the next version to give an indication of outcomes, indicators and targets.

With regard to next steps, members noted the importance of maintaining buy-in from the University community which had been heavily engaged in the process of developing the draft in its current form, and confirmed that substantial change was not anticipated. They looked forward to receiving a further iteration for consideration at their June meeting but agreed that (if necessary) final approval could be sought at the Court Retreat in September, at which it was already planned there would be sessions on risk appetite and on action planning.

The Court decided: to thank the UEG and Strategic Planning Team for their hard work in developing the draft strategy, and to await further iterations in due course.

68. MINUTES

The Court decided: to approve the minutes of the meeting on 14 February 2017.

69. MATTERS ARISING

(1) Action Log

The Court considered the action log, and noted the updates provided.

The Court decided: to approve the Court Action Log.

(2) Updates on Changes to the Charter and Statutes (Minute 58)

The Director of Academic & Corporate Governance advised members that the Privy Council had, at its meeting on 12 April 2017, approved the changes to the Charter and Statutes as last submitted to the Court on 14 February 2017 and referenced in the minute for that meeting. The Director reminded members that revisions to Statute 16 would be implemented with immediate effect while the other changes would come into effect from 1 August 2017.

Members also noted that the Senate had, for its part, approved at its meeting on 22 March 2017 the revocation of Ordinance 45 (Election of Member of Court by the Non-Teaching Staff), effective from 1 August 2017.

- The Court decided:**
- (i) to note the Privy Council Orders of 12 April 2017 approving amendments to the Charter and Statutes as summarised in the Court minute of 14 February 2017; and
 - (ii) to ratify the decision taken at the meeting of the Court on 14 February 2017 to revoke Ordinance 45, effective from 1 August 2017.

70. **CHAIRMAN'S REPORT**

The Court received the regular report from the Chair detailing activities undertaken on its behalf since the last meeting. In introducing his report the Chair highlighted his visit to the Medical School and participation in meetings of the DUSA Board of Trustees and Senate. He also updated members on the meeting of the Committee of Scottish Chairs of Courts (CSC) which had been attended by the Deputy Chair of Court, and members noted the CSC position on a number of sectoral matters including the Consultation on the Scottish Code of Good HE Governance and the Scottish Government Consultation on the Draft Gender Representation on Public Boards Bill.

The Chair also informed the Court that he had recently completed the Principal's OSAR, and went on to outline the nature of his regular meetings with the Principal.

The Court decided: to note the update.

71. **PRINCIPAL'S REPORT**

In his absence, the Court noted the regular report from the Principal to the Court (**Appendix 1**). The report highlighted considerations relating to Brexit and the intentions of the Scottish Government to seek a second independence referendum (IndyRef2). In particular it was noted that it would be appropriate for the University to seek to influence policy decisions relating to Brexit now that the referendum had taken place, but that it would be more appropriate for the University to take a neutral stance with respect to the timing and outcome of any second independence referendum. In this respect, the University needed to consider its obligations under charity legislation whilst at the same time ensuring it could act as a place where informed debate was encouraged.

The report also updated members on the development of the budget and the SFC Outcome Agreement, as well as sectoral matters including the review of the Scottish Code of Good HE Governance. Members were also informed of the University's recent strong performance in the Times Higher Education (THE) Student Experience Survey (15th in the UK), and the THE Young University Rankings (top in UK and 16th in the world).

In response to questions, the Vice-Principal (Learning & Teaching) updated members on the response rate to the National Student Survey (NSS) 2017 which remained in line with last year's record response rate, and he went on to highlight the importance placed on this survey in terms enhancing the University's understanding of where to focus its efforts to continue to enhance the student experience.

The Court also noted the report on grants and awards made to the University since the last meeting, and in response to questions the Vice-Principal (Research, Knowledge Exchange & Wider Impact) and the Director of Finance outlined the new partnership model which ensured that the implications of applications for large strategic awards were fully considered prior to their submission, and were also appropriately reflected in budget and planning processes. Members noted the value of strategic awards in terms of reputation, REF performance, prestige and other funding opportunities and were keen to ensure that the process balanced financial planning with reputational gain and academic endeavour. The Court suggested that the Audit Committee may in due course wish to review the Partnership Model to give assurance that it is robust and linked to strategic priorities. The Director also outlined the process by which applications with large financial impacts were reviewed and assurance of cost recovery considered.

The Court decided: to note the report and ask that the Audit Committee review the Partnership Model for grant applications as part of its normal cycle of internal audit.

72. STRATEGIC PRESENTATION BY THE VICE-PRINCIPAL LEARNING & TEACHING: AN UPDATE ON PROGRESS AND FUTURE DEVELOPMENTS

The Vice-Principal (Learning & Teaching) presented an update to the Court which outlined progress and future developments in relation to the Learning & Teaching Strategy. In doing so, he provided an overview of performance relative to the Key Performance Indicators (KPIs) within the Learning & Teaching Enabling Strategy to 2017, and members noted in particular progress in relation to NSS results, improvement in retention rates and the strong performance with regard to widening access targets. The Vice-Principal provided information on the University's approach to the professional development and promotion of learning and teaching staff as outlined in the KPI report. Members were also pleased to note significant improvements in graduate employability.

The Vice-Principal highlighted the University's strong and improved performance in UK league tables, and members were particularly pleased to note significant improvement in the University's position in the Times/Sunday Times University Guide and the Guardian University Guide rankings for both UK and Scottish Universities. The Court was reassured to note the focus on the enhancement of subject rankings as well as the overall University rankings, and members were pleased to note progress toward the targets outlined by the Vice-Principal in this respect. Members were also reminded of the University's recent submission to the

Teaching Excellence Framework (TEF), the result of which would be known by the end of May 2017.

The Vice-Principal went on to highlight a number of key future developments, including Graduate Level Apprenticeships, interdisciplinary team-based learning, advancement of the digital agenda for learning and teaching, estates matters, teaching efficiency, and the continued enhancement of the student experience. He went on to draw members' attention to student expectations, and members noted in particular the importance placed on the sense of community, the campus environment, teaching quality, and access to data.

The court expressed particular interest in the measures relating to the percentage of firsts and 2:1 degrees awarded, and in the University's ability to track students through their time at the University, and to identify support or improvements required. In this respect members noted the importance of the Business Transformation Programme in delivering the data solutions required to provide analyses that could advance the learning and teaching agenda. Discussions also focussed on the differing environment, needs, and expectations of students studying within distance learning or blended learning routes relative to campus-based cohorts, and the importance of ensuring staff were supported to enable the delivery of high quality teaching and learning in all modes. Members were interested to hear more about the University's approach to student support, and noted the range of provision through Student Services and other Directorates.

The Court discussed the types of learning spaces required for the future, and noted that the Director of Campus Services was cognisant of these needs, and that they would be reflected in the development of the new estates strategy and the associated campus masterplan which would be considered by an estates working group reporting to the Finance & Policy Committee in due course.

The Court decided: to thank the Vice-Principal for the presentation.

73. **UNIVERSITY STRATEGY TO 2017: LEARNING & TEACHING KEY PERFORMANCE INDICATOR REPORT**

The Court received a report from the Director of Strategic Planning detailing performance against KPIs within the Learning & Teaching Enabling Strategy of the University Strategy to 2017, including benchmarking relative to comparator institutions. Members noted the commentary provided by the Vice-Principal (Learning & Teaching).

The Court decided: to note the report.

74. **OUTCOME AGREEMENT WITH THE SCOTTISH FUNDING COUNCIL (SFC) 2017/18**

The University Secretary and Director of Strategic Planning introduced the proposed Outcome Agreement with the SFC for 2017/18. Members noted the iterative process by which it had been developed, and the University Secretary drew members' attention to the inclusion of statements of key achievements during the period of the previous agreement and the summary of baselines, milestones and targets for the coming period.

In considering the report, members expressed an interest in receiving more information on the gender action plan for subject areas where imbalances in the gender of students was high.

The Vice-Principal (Learning & Teaching) outlined work on-going at the University and in partnership with external agencies in this area. The Court also noted that the University Executive Group and the People & Organisational Development Committee kept under regular review the University's position on becoming a living-wage accredited major employer.

Turning to the section of the report on the University's support for those with caring responsibilities, some members highlighted a number of additional opportunities for collaborative working with groups across Tayside, and suggested that the University Executive Group may wish to look into this further.

The Court decided: to approve the Outcome Agreement 2017/18 for submission to the Scottish Funding Council.

75. COMMITTEES

(1) Finance & Policy Committee

(a) Report of the Committee's Meeting on 20 March 2017

The Court received a report from the meeting of the Finance & Policy Committee on 20 March 2017 (**Appendix 2**). In introducing the report the Chair drew members' attention to the Committee's discussions relating to amendments to its Terms of Reference (TOR) resulting from updates proposed to the Schedule of Delegation and Decision-Making Powers. The Court also noted the Committee's endorsement of proposals for the refurbishment of the first floor of the main library, as outlined in the capital expenditure plan previously approved by the Court on 24 October 2016. The Convener also highlighted the update from the Director of Campus Services on the development of the Estates Strategy and Campus Masterplan, and the Court noted that the Director had been asked to convene an estates group to take forward discussions in this respect.

The Court noted that the Committee had discussed updates on fundraising, growth and savings projects, and Business Transformation, and had approved amendments to the Treasury Policy (**appendix 2 annex**) and the continued use of the Royal Bank of Scotland and Barclays Bank.

The Court decided:

- (i) to approve proposals relating to the refurbishment of the main library and the associated capital expenditure;
- (ii) to approve the revised Terms of Reference for the Committee;
- (iii) to note the revised Treasury Policy; and
- (iv) otherwise to approve the report.

(b) RESERVED BUSINESS: Minute 11 of the Committee's Meeting on 20 March 2017

The University claims the exemptions in Sections 30 and 33(1)(b) of the Freedom of Information (Scotland) Act 2002. The item was considered as reserved business and members were required to treat the discussion and associated papers as strictly confidential and exempt from public disclosure.

At the point at which the exemptions are deemed to no longer apply the Court will be advised and will be asked to note the release of the minute. Minute 11 of the Finance & Policy Committee of 20 March 2017, and the corresponding minute of the Court's discussions on 18 April 2017 will be included as an appendix to the minute of the meeting at which its release is approved.

The Court decided: to approve Minute 11 of the report.

(2) Governance & Nominations Committee

The Court received a report from the meeting of the Governance & Nominations Committee on 24 March 2017 (**Appendix 3**). The Convener drew members' attention to the proposal that Dr Jean Robson be appointed to serve as a lay member of the Court from 1 August 2017, that being when a lay vacancy would become available on the Court as a result of the implementation of changes to the Charter, Statutes and Ordinances previously approved by the Court and the Privy Council and referenced in Minute 69(2) above. Members were reminded that the Court had previously approved the appointment of Dr Robson to the next available lay vacancy, subject to a review of the skills and needs of the Court at that time.

Members also noted the Committee's discussion of a review of the Schedule of Delegation and Decision-Making Powers, proposals for the annual review of Committee effectiveness, and a declaration of interest made by one member of the Court.

The University Secretary advised members of the nomination by the DUSA Executive, under the terms of the new Ordinance 66, of the new Independent Student Member of Court, Ezichi Kerstin Ekpe. Members noted that Ms Ekpe was the DUSA VP Engagement for 2017/18 and agreed that she should be invited to the June meeting of the Court in a shadow capacity, as per established practice.

The Chair drew members' attention to the current review of the effectiveness of the Senate, and in particular the request that a lay member of the Court be identified to support the work of the review group. Noting that Janice Aitken had been appointed as Chair of the review group, the Chair of Court invited lay members to discuss the role further with her, and to intimate their interest in serving in this capacity to the Clerk to Court or University Secretary in the first instance.

The Court decided:

- (i) to unanimously reaffirm its approval of the appointment of Dr Jean Robson as a lay member of the Court, noting that this would be effective from 1 August 2017 for a period of 4 years in the first instance
- (ii) to approve the revised Schedule of Delegation and Decision-Making Powers;

- (iii) to endorse the approach taken by the Chair of Court in relation to a declaration of interest made by a member of the Court;
- (iv) to approve proposals for the annual review of the effectiveness of the Committees of the Court;
- (v) to endorse changes to the Graduates' Association Regulations as approved by the Graduates' Association Business Committee;
- (vi) otherwise to approve the report.

(3) Audit Committee

(a) Report of the Committee's Meeting on 28 February 2017

The Court received a report from the meeting of the Audit Committee on 28 March 2017 (**Appendix 4**). The Convener highlighted the Committee's discussions on the topics of cybersecurity, risk management, and Business Transformation.

Discussions focussed on a statement of risk appetite made by the Director of Legal Services in relation to international collaborations, and the Court agreed that there should be further discussion of risk appetite at the Committee and by the Court at its annual retreat. Members also asked officers to review the minute to clarify the role of the Educational Partnerships Development Unit (EPDU).

The Court decided: to approve the report subject to minor amendment.

(b) RESERVED BUSINESS: Minute 8 of the Committee's Meeting on 28 February 2017

The University claims the exemptions in Sections 30 and 33(1)(b) of the Freedom of Information (Scotland) Act 2002. The item was considered as reserved business and members were required to treat the discussion and associated papers as strictly confidential and exempt from public disclosure.

At the point at which the exemptions are deemed to no longer apply the Court will be advised and will be asked to note the release of the minute. Minute 8 of the Audit Committee of 28 February 2017, and the corresponding minute of the Court's discussions on 18 April 2017 will be included as an appendix to the minute of the meeting at which its release is approved.

The Court decided: to approve Minute 8 of the report.

76. **UNIVERSITY STRATEGY TO 2017: ESTATES KEY PERFORMANCE INDICATORS**

The Court received a report from the Director of Strategic Planning detailing performance against KPIs within the Estates Enabling Strategy of the University Strategy to 2017. Members

noted that the report had been considered in detail by the Finance & Policy Committee at its meeting on 20 March 2017 (Minute 75(1)(i) above).

The Court decided: to note the report.

77. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senatus Academicus on 22 March 2017 (**Appendix 5**). The Court noted the approval by the Senate, for its part, of changes to Ordinance 18, to replace 'Academic Council' with 'Staff Council' throughout and bring the Ordinance in line with the Charter and Statutes following the recent approval of changes by the Privy Council. Members also noted the approval of the Senate of the revocation of Ordinance 45 from 1 August 2017 as referred to in Minute 69(2) above.

The Court was particularly interested in the Senate discussion of a national review by HEFCE of grade inflation and, noting that the matter would be discussed further by the Learning & Teaching Committee of the Senate once the review was complete, the Vice-Principal undertook to share internal benchmarking work with the Court through the Finance & Policy Committee at that time.

The Court decided:

- (i) to approve the recommendations concerning the conferment of the title of Professor Emeritus upon Professors Colin Watts and Nicholas Davey effective from 30 June and 1 August 2017 respectively;
- (ii) to approve amendments to Ordinance 18 as outlined, subject to ratification at a further meeting of the Court;
- (iii) to note the Senate's approval of the revocation of Ordinance 45 effective from 1 August 2017;
- (iv) to approve the draft Academic Calendar for 2017/18; and
- (v) otherwise, to note the report.

78. STAFF COUNCIL

The Court received the report from the meeting of the Staff Council on 1 March 2017. Members were interested to note the Council's discussions of the University Strategy to 2022.

The Court decided: to note the report, and await further reports on an annual basis.

79. ACADEMIC HEALTH SCIENCE PARTNERSHIP IN TAYSIDE BOARD

The Court received the minutes of the meeting of the Academic Health Science Partnership in Tayside Board on 28 February 2017.

The Court decided: to note the report.

80. **STAFF**Professorial and Grade 10 Appointments

The Court noted the appointment of the following:

Judith Sixsmith	Chair in Evidence Based Improvement/Health Related Research	15 May 2017
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The Court decided: to note the appointments.

Mr Ronald Bowie
Chair of Court
University of Dundee

APPENDIX 1

PRINCIPAL'S REPORT (Minute 71)

Introduction

1. While the agenda for the April meeting of the Court is shorter than has been the case for recent meetings during the current academic year, the period since the last meeting has been particularly busy as work on the draft University Strategy to 2022 draws to a conclusion. It is also a crucial period in the budget and planning cycle, and for the final preparations as the 50th Anniversary weekends of celebration (20/21 and 27/28 May) draw near. Furthermore, while the external environment remains challenging and changeable, the response of the University, and in particular its staff, to these challenges has been one of innovation, creativity, and ambition, and I hope that discussions on the University Strategy, and the presentation from the Vice-Principal (Learning & Teaching), Professor Karl Leydecker, will give members of the Court an insight in this respect.

Brexit and Scottish Independence Referendum 2

2. Members will have noted that, on 29 March 2017, Prime Minister Theresa May officially notified the European Union (EU) that the UK was leaving the EU, triggering Article 50. The Court has previously discussed the implications of the outcome of the UK referendum on EU membership (Brexit) for the Higher Education Sector, and I do not intend to repeat the points raised during those discussions here. I would however like to reiterate that we will continue to focus our efforts on ensuring that the University is in the best possible position to respond to these changes, while looking to positively influence decisions which would impact upon our vision and operations. With this in mind, I have continued to engage with Universities Scotland and Universities UK in terms of lobbying UK and Scottish governments to seek clarification on the key issues for universities and to support policies which would: continue to enable us to attract highly talented EU staff and students to Scottish universities post-Brexit, ensure the continued contribution from those who are currently here, and secure the future of research and teaching programmes which involve collaboration across Europe. Members may be interested to note the priorities outlined by Universities Scotland in this respect <http://www.universities-scotland.ac.uk/publications/brexit-priorities/>. Of course, a significant challenge for the sector is the level of uncertainty, and in this respect the announcement from Scotland's Deputy First Minister John Swinney during his visit to the University on 24 March, that the Scottish Government was to extend its guarantee of continued access to free tuition for EU nationals choosing to study in Scotland to cover those who will be enrolling in 2018-19, is a welcome step.
3. It is difficult to discuss the Brexit environment without making reference to the recent vote by the Scottish Parliament to seek a second referendum on Scottish Independence, 'IndyRef2', within an 18 month to 2 year timeframe. As an institution it is important that we do not conflate these two issues. While it is entirely appropriate that we seek to influence policy decisions relating to Brexit, due to the referendum having taken place, as a charitable body in receipt of public funds, it is important that we do not overstep Charity Commission rules in terms of participation in politically biased commentary before any referendum (as was the agreed position before the UK Referendum on membership of the EU and the 2014 Scottish Referendum on membership of the UK). As with the last independence referendum I suggest that it would be appropriate for the University to remain neutral with respect to the timing and outcome of IndyRef2, but that (within the provisions of the Charity Commission rules) we participate in discussions which relate to our charitable objectives, and position ourselves as a place where informed debate is encouraged. Should a referendum occur, once the outcome of the vote is known it would then be appropriate for the Court to discuss how the University may influence policies relating to whatever outcome emerges in the best interests of the University and the sector.

Strategy

4. Irrespective of the timeframe, and outcome of discussions around IndyRef2, a core concern for the Sector is the impact of the continued, and increasing level of uncertainty which it faces. Indeed, the Court and its Committees have already commented on the difficulty of working with single year budget settlements from the Scottish Government and relatively late notifications of final funding settlements from the SFC. The Court has also previously discussed the importance of scenario planning, and in particular ensuring that risks and opportunities are identified and managed in an appropriate manner. In drafting the new University Strategy we propose that the high-level strategy should maintain a focus on its overarching vision, while building in the flexibility and resilience necessary to respond to the changing and challenging external landscape through the operational details within action plans. I believe that in this manner our strategic plans will have the flexibility to respond to the potentially turbulent external fiscal environment in the coming 5 years, and I look forward to a healthy discussion at Court on this approach.

Outcome Agreement

5. Members will also note elsewhere on the agenda the University's Outcome Agreement with the Scottish Funding Council, which will be submitted shortly, following its formal consideration by the Court. Outcome Agreements incorporate, and take precedence over the conditions of the main grant funding allocation, however, they are also intended to complement and support the University's strategic ambitions within the context of its independent status and are an important communication tool for the University to highlight activity aligned to key policies, funding priorities and strengths. In this respect, I look forward to hearing the views of the Court in relation to this item.

Scottish Code of Good HE Governance

6. Members will recall that a Review Group had been established to review the Scottish Code of Good HE Governance (2013) in light of the Implementation of the Higher Education Governance Scotland (Act) (2016). Consultation on proposals from the Group is expected shortly, at which point the Court will be consulted further, however at present it remains to be seen if the Code will offer clarification of areas of the Act, remain a set of idealistic principles, or will go beyond the provisions in the Act and the existing code to provide guidance on the issues raised by some stakeholders.

Budget and Financial Outlook

7. At the time of writing, indications are that the Main Grant Letter from the Scottish Funding Council (SFC) will be published during the first week in May, and as such it is not included on the agenda for the meeting. The Scottish Government's Ministerial Letter of Guidance to the SFC, which are in line with the initial allocations within the Indicative Funding Letter previously discussed (this is available at: http://www.sfc.ac.uk/web/FILES/AboutUs/SFC_Letter_of_Guidance_2017-18.pdf).

Enterprise and Skills Agencies Review

8. I have updated members on a number of occasions in relation to the Enterprise and Skills Agencies review carried out by the Scottish Government. Phase 2 of that review is ongoing, and ministers are expected to set out in more detail what is expected of each agency in due course, however further to the Letter of Guidance referenced above, members may be interested to note the Ministerial Letter of Guidance issued to the Enterprise and Skills Bodies, including the SFC, for 2017/18, where the government set out their expectations for the way ahead. http://www.sfc.ac.uk/web/FILES/AboutUs/Letter_of_Guidance_to_Enterprise_and_Skills_bodies.pdf

Student Metrics

9. It is typical for my April report to make reference to recent league table results. On this occasion I would like to draw members attention to the results of the latest Times Higher Education (THE) Student Experience Survey, where the University had been ranked 15th in the UK, a rise of six places.

Furthermore, DUSA was ranked top in Scotland (6th overall), and the University was ranked 5th equal for facilities. The University performed well across the eight areas of the survey, - academic experience, university facilities, societal experience, student welfare, accommodation, industry connections, security and students' union, and how likely students were to recommend their university to a friend. We have also been ranked as the top young university in the UK, and one of the best young higher education institutions in the world (16th) in this year's Times Higher Education Young University Rankings. Overall this means that the University has improved its position in every major league table this year. Full details are available on the University website at <https://www.dundee.ac.uk/news/2017/dundeestudentexperienceclimbsinrankings.php>.

10. Members may also be interested to note that our response rate to the National Student Survey (NSS) is currently 74.5%. This is an improvement on the response rate of 72% at the same point last year, which itself led to a record final response rate for the University of 82%. The survey closes on 30th April 2017, and remains key to understanding where we need to focus our efforts to improve.

Strategic Updates

11. I have recently used this section of my report to highlight strategic matters, activities, and initiatives which align to matters within the portfolios of the Vice-Principals. I would like to start by updating members on the Graduate Level Apprenticeship Scheme in which members had previously expressed particular interest. Work is well underway to deliver year one of the Scheme, and feedback during a recent visit from the Director of Service Design and Innovation at Skills Development Scotland, was very positive. As such, the University is considered to be in a strong position for year two of the scheme, where an additional 520 places are expected to be made available across the sector.
12. Along similar lines, and following on from topics highlighted in the recent presentation from the DUSA President and Independent Student Member on Court, I would like to draw members attention to a recent article in the THE which highlighted research by Ms Ruth O'Riordan of the University's Careers Service into the impact of career planning modules on employability of graduates. Members can read the article from the following link, <https://www.timeshighereducation.com/news/careers-modules-and-work-placements-should-be-compulsory>, which is an excellent illustration of what the University is doing to develop our students.
13. I would also like to highlight to members the visit by a delegation from the University, including myself, the Vice-Principal (Research, Knowledge Exchange and Wider Impact), and Professor Amin Abdolvand, a leading academic in the School of Science and Engineering, to CERN, the European Organization for Nuclear Research, and one of the world's largest and most respected centres for scientific research. This visit highlighted a number of strategic partnership opportunities beyond existing research links, and is a potentially important future European connection for the University which is independent of the EU.
14. As has been the case in recent reports, there is a great deal of activity to update members on in relation to our international agenda, and I am pleased to start by confirming that there has been a positive increase in international student numbers in the January 2017 taught postgraduate intake. There are also very encouraging signs in the level of applications and acceptances from international students for entry in next academic year. This reflects the coordinated efforts of academic and professional support staff, improved relationships with agents and enhanced academic leadership to support international collaborations, as well as the investments in marketing, web-development and admissions which were approved previously by the Court. We also continue to make very good progress towards welcoming the first students into International College Dundee and more generally to identify ways to enhance the overall experience of our international students.
15. The Court had previously asked to be kept up to date on the Internationalisation Policy Environment. The UK Government has delayed the publication of the consultation on further regulating international students. This is reflective of the complexities of creating a post Brexit immigration regime for 27 EU nations, which is prompting a rethink on further major changes in other parts of the current rest of the world migration regime. There is also ongoing pressure from many parliamentarians for a rethink. As part of deliberations on the Higher Education Bill, on 13 March 2017 the House of Lords passed an

amendment based on strong cross party support to prevent international students from being counted as long-term migrants.

50th Anniversary Events and Activities

16. I mentioned earlier in my report the 50th Anniversary Alumni weekend activities, more information on these events is available from <https://www.dundee.ac.uk/50>, and I hope many members of the Court will be able to join us in these celebrations. On a more personal note, my training with my wife Elizabeth for the Principal's challenge has now reached week 9 of the bespoke programme devised for us by staff at the Institute for Sport and Exercise. We are publicising this to promote amongst staff and students a healthy and energetic lifestyle and to raise funds for bursaries and student mental health. We will shortly be publicising further details and I will update members in due course.

Retirements

17. Finally, members may have noted my recent email announcing the retirement of Professor Margaret Smith, the Dean of the School of Nursing & Health Sciences, and former Deputy Principal Internationalisation. Work is underway to identify a successor for Professor Smith in this key role, however I am also pleased to confirm that she has agreed to continue to work at the University for a period following her retirement as Co-Director of the Academic & Health Sciences Partnership (AHSP). I am sure that Margaret will bring to this role the same drive and determination with which she has approached her previous roles, and that the AHSP and University will benefit greatly from this association.

Professor Sir Pete Downes
Principal and Vice-Chancellor

University Executive Group Meetings

Since the last report to the Court, the University Executive Group have met formally on 15 February, 1 March, 15 March, 31 March, and 12 April when the following matters were considered:

Corporate Issues

- Tay Cities Deal: update
- University Strategy to 2017: KPI Reports
- Travel Policy
- Mobile Device Security
- University Strategy to 2022
- Dundee City Council - Corporate Self Assessment - Partnership Working Focus Group
- Development & Alumni: Update
- Schedule of Delegation
- Business Transformation update and baseline savings
- USS consultation
- Draft Outcome Agreement

Financial Issues

- Understanding Results and Setting Targets post FRS102
- Approach to Costing (TRAC)
- Growth and savings project updates
- Management Accounts
- Recognition of Financial Performance of Schools

Academic Management Issues

- Student Experience Oversight Group: updates
- Deans' Group Agendas
- International Conversion Update
- Role of Academic Lead in International Collaboration

Human Resources Issues

- Long Service Award
- Protected conversations

People and Prizes

Professor Dame Sue Black was named as one of the Saltire Society's 'Outstanding Women of Scotland' for 2017.

Professor David Horn, Professor of Parasite Molecular Biology (School of Life Sciences), **Professor John Rouse**, Professor of Chromosome Biology (School of Life Sciences), and **Professor Robert Steele**, Professor of Surgery (School of Medicine) were elected as Fellows of the Royal Society of Edinburgh.

Dental student **Clare Ratcliff** will compete in the final of a national dental skills competition. The Royal College of Surgeons Edinburgh (RCSEd) - Dentsply Sirona Dental Skills Competition saw final-year School of Dentistry students given the task of constructing a high-quality complex mouth mould in one hour.

Textile student **Eva Jack** has won the 2016 KCA Alumni Award. She was one of 11 entrants this year with her entry based around sustainability and recycling existing materials to make new fabric and products. The KCA Alumni Award (with a £3k prize) was set-up in 2012 in association with DJCAD graduate Kevin Li who now runs Keass Creative.

A group of Social Work students have been nominated and shortlisted for Scottish Social Work Student(s) of the Year as part of the SASW Social Work Awards. **Marco Notarangelo**, **Catherine Harris**, **Tom Adamson** and **Rachel Natanson** are the core members of the university's Student SWAN (Social Work Action Network) society.

Two Intercalated BSc medical students have been presented with national awards recognising their academic achievements. **Zofia Tuharska**, a BSc Cardiovascular & Diabetes Medicine student, received the Jean Shanks Foundation Award and **Axel Laurell**, a BSc Neuropharmacology and Behaviour student, received the Wolfson Foundation Award.

Kerry Perri, a student in Nursing, Kerry Perri, has won the Student Partnership in Quality Scotland (SPARQS) Course Rep of the Year award. SPARQS is a sector agency which is funded by the Scottish Funding Council to advance education, by promoting students role in making positive and rewarding differences to their own educational experience, with the awards focusing on students, Associations and projects which enhance the student experience.

Two young researchers from the University of Dundee have been selected to present their work at the House of Commons. **Mohapradeep Mohan** from the School of Medicine will discuss how to treat cardiovascular diseases with the world's most common diabetes drug metformin, while PhD student **Vasiliki Bitsouni** will present her findings on mathematical modelling of cancer invasion. The pair are among young researchers from across the UK who will share their work with a range of politicians and a panel of expert judges at the Science Technology Engineering and Mathematics (STEM) for Britain event on Monday, 13th March.

Major Grants and Awards

The following represents a selection of the grants and awards that have been awarded by funders in open competition since my last report. The awards have been selected to illustrate the range of strategic themes, interdisciplinary collaborations, funding sources, and alignment to the University's vision. There have been a significant number of major awards confirmed since the last meeting. The following examples highlight cancer research into lifestyle factors, significant BBSRC and MRC awards, an important fellowship renewal, an EPSRC first grant scheme award, and other strategic awards.

Professor Annie Anderson (School of Medicine)

A Randomised Control Trial to Assess the Impact of a Lifestyle Intervention (ActWELL) in Women Attending Breast Screening Clinics

£775,097 (including £127,792 overhead) from the Scottish Government.

The ActWELL trial aims to assess the benefits, costs and acceptability of a community delivered, lifestyle programme offered to women attending routine breast cancer screening clinics. The Act Well work was highlighted in the Scottish Government Cancer Strategy (<http://www.gov.scot/Resource/0049/00496709.pdf>)

Professor John Brown (School of Life Sciences)

Dynamic Re-programming of the Cold Transcriptome in Arabidopsis (Joint with University of Glasgow and University of York)

£412,936.00 (including £181,622.00 overhead) from the BBSRC

Plants respond to changes in environmental conditions by drastically reprogramming their gene expression. We have shown that a process called alternative splicing increases diversity of expression and plays a major role in the cold response. This discovery has been made possible by developing new methods to analyse genome-wide high throughput RNA-sequencing data. The new 3-year BBSRC grant will examine the underlying molecular mechanisms which control the dynamic changes in alternative splicing and identify major regulators which may be useful in crop improvement.

Professor Doreen Cantrell (School of Life Sciences)

Signalling Pathways that Control T Cell Metabolism and T Cell Fate (Principal Research Fellowship Renewal) £3,954,769 from the Wellcome Trust (including the full costs and on-costs of Professor Cantrell's salary).

This grant aims to explore the mechanisms that control the behavior and function of cytotoxic T lymphocytes. These white blood cells have an essential job to kill virus infected cells and cancer cells. The program of work will explore how the T cell nutrient and oxygen environment controls signaling pathways of communication inside lymphocytes. This work will generate the information about the mechanisms that control T cell function that is required to identify new drug targets for therapeutic intervention in the immune system.

Professor Irwin McLean (School of Life Sciences)

MICA: Delivering Gene Silencing Therapy to the Epidermis and Ocular Surface

£1,860,861.00, (including £671,560.00 overhead) from the Medical Research Council

In many inherited diseases, therapy could be achieved if a faulty gene could be potentially and specifically deactivated. The purpose of this 5-year programme is to deliver a revolutionary new form of gene silencing molecule developed by industrial partner Wave Life Sciences, Cambridge, Massachusetts, into the epidermis using new systems developed in Dundee. The aim is to treat incurable and highly debilitating skin diseases and related disorders affecting the eye.

Dr Alison Pease (School of Science and Engineering)

Example- Driven Machine- Human Collaboration in Mathematics

£99,932.00 (including £60,874.00 overhead) from the Engineering and Physical Sciences Research Council

The overarching goal of the project is to take a first step towards a new mixed-initiative mathematics in which multiple parties, both human and machine, collaborate in order to produce novel research mathematics. The main objective towards this goal is to build a new and broad network of potential research users, a road map of future research questions, a focused facilitated workshop and team of future partners. The specific goal here is to show that an autonomous machine can contribute to mathematical discussion by proposing appropriate examples in an appropriate way at an appropriate time during online mathematics conversations.

Professor Bob Steele (School of Medicine)

Personalised Risk Information and Its Impact on Informed Choice and intention to Undergo Colonoscopy in the Scottish Bowel Screening Programme (Joint with University of Stirling)

£195,606.00 (Including £78,659.00 overhead) from the Chief Scientist Office

In November 2017, the Scottish Bowel Screening programme will introduce a quantitative test for blood in faeces that will provide a more accurate estimation of risk than the current test. However, it is not clear to what extent the target population understand the implications of a positive screening test. In collaboration with Health Psychologists at the University of Stirling, the Screening and Prevention Research Group will be developing materials for explaining risk and, using a randomised approach, will test the effectiveness of these materials in conveying accurate information to potential users of the screening programme.

Professor Paul Wyatt (School of Life Sciences)

Wellcome Centre for Anti-Infectives Research

£13,611,794.00 from the Wellcome Trust

The Wellcome Centre for Anti-Infectives Research (CAIR) will play a key role in accelerating discovery and development of urgently needed drugs for the diseases of the developing world, by being an international hub, and collaborator of choice for academics, Pharma and Product Development Partnerships (PDPs) in the translation of discovery science into drug candidates. In addition, CAIR will deliver training opportunities in drug discovery and increased public awareness of these devastating diseases.

*Any joint awards with other institutions state the University of Dundee value only. Where an award is overhead bearing the level of overhead is indicated.

APPENDIX 2

FINANCE & POLICY COMMITTEE (Minute 75(1)(a))

A meeting of the Committee was held on 20 March 2017.

Present: Andrew Richmond (Convener)
Professor Dame Sue Black
Ronald Bowie (via SKYPE)
Principal Professor Sir Pete Downes
Iain Howie
Jane Marshall
Professor Mairi Scott
Indrė Urbanavičiūtė

In Attendance: Professor Nic Beech (Vice-Principal (Academic Planning & Performance));
Jo Elliot (Chair, Audit Committee);
Andrew Hewett (Director of Finance);
Ellenore Hobkirk (Head of Alumni & Development) (Items 5 and 6(1))
Dr Neale Laker (Director of Academic & Corporate Governance);
Professor Karl Leydecker (Vice-Principal (Learning & Teaching));
Dr Jim McGeorge (University Secretary);
Colin McNally (Director of Campus Services);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Wesley Rennison (Director of Strategic Planning).
Kevin Mallett (Deputy Director of Finance)
Thomas Veit (Director of External Relations) (Items 5 and 6(1))

Apologies: Bernadette Malone

1. MINUTES

Resolved: to approve the minutes of the meeting of 23 January 2017.

2. MATTERS ARISING

(1) Action Log

The Committee received the action log for Committee business. Members noted progress updates where provided.

In response to a question the University Secretary updated members on progress in relation to the previously noted need to secure additional bed-spaces for the 2017/18 academic year, advising that 150 spaces had been provisionally secured with a private provider subject to the finalisation of contractual arrangements.

Resolved: to note the log.

(2) CURE (Minute 2(1))

The University Secretary updated the Committee on the current position. He confirmed that the IPO had achieved the required threshold but that the figure raised was below the overall target. Discussions were therefore planned with the project partner, Arix Biosciences, and the outcomes of which would be reported in due course.

Resolved: to note the update.

3. PERIOD 6 MANAGEMENT ACCOUNTS

The Committee received the management accounts for the period to the end of January 2017 (Period 6 Accounts). Discussions focussed on further improvements to the outturn, with members noting the revised end of year forecast was a deficit of £3.3m on operational activities, a positive variance of £2.3m relative to the budget. In particular, the Deputy Director drew members' attention to the favourable performance of both Schools and Directorates to which an improvement of £2.3m and £0.6m was attributed respectively, offset by adverse performance in other areas. Members noted that, following the application of the FRS102 accounting standards, this translated to an outturn forecast deficit of £15.7m relative to the deficit of £20m predicted within the budget. The Deputy Director also highlighted the potential for further improvement within this forecast, and discussions focussed on the accuracy of budgeting, with members noting that in each of the last four years the end of year result had been materially ahead of that budgeted for. Members also noted the expectation that the accuracy of both budgeting and forecasting would be enhanced by the new systems being implemented as part of the Business Transformation Programme.

The Deputy Director also highlighted the financial performance of the growth and savings projects reported elsewhere on the agenda (Minute 7(2)), with discussions focussing on the impact on the budget of revisions to the timing of savings relating to the Biomedical Science project, and the net position of the STEM-X and Liberal Arts projects in the overall context of the respective School budgets.

The Committee also discussed the University's cash position, contingencies within the budget, and highlighted the positive trends in income growth associated with student recruitment over the last four years.

Resolved: to note the accounts.

4. SFC INDICATIVE FUNDING LETTER

The Committee received a paper from the Director of Strategic Planning which outlined the impact of funding decisions outlined within the Indicative Funding Letter from the Scottish Funding Council (SFC) on the budget projections for 2017/18 approved in June 2016. Members noted that overall funding for 2017/18 was now anticipated to be £400k lower than previously indicated, and the Director highlighted in his report the key components of the funding award which had contributed to this position. Members also noted that several large components of funding had not yet been announced but might lead to some improvement on the overall position, and the Director undertook to advise the Committee when this information was received.

Discussions focussed on the difficulties presented by continued single year budget settlements from the Scottish Government, in particular in terms of planning given the added levels of uncertainty within which the sector was operating. Members also noted that budget projections were now based on assumptions of flat-cash settlements over the coming 2-3 years.

Resolved: to note the update and await receipt of the Main Grant Letter from the SFC in due course.

5. FUNDRAISING UPDATE

The Committee received a report from the Director of External Relations and the Head of Alumni & Development which focussed on the vision for the Development & Alumni Relations Team, the revised strategy in this area, and progress made since the last report to the Committee. Through discussion members noted the goal to increase fundraising from an annual average of £3m to an annual average of £5m within the next five years, and the Head of Alumni & Development outlined a number of activities relating to this goal including specific fundraising plans for strategically important projects, reputation building campaigns, and 50th Anniversary events.

The Committee was pleased to note the step-change in activity already achieved and the foundations being laid across the breadth of External Relations activity in support of long-term growth in this area. Members also noted future challenges with respect to achieving the fundraising target, including local competition and changes to regulations. In response to questions the Head of Alumni & Development highlighted a number of proposed budget investments intended to ensure that the team were well placed to address these challenges and to maximise the potential of this funding stream.

Turning to the Small's Wynd capital project considered at the last meeting, members noted both work undertaken to date by the fundraising team, and important considerations which would be further explored once the feasibility study was complete.

Resolved: to thank the Director of External Relations and Head of Alumni & Development for their report and await further updates in due course.

6. **CAMPUS SERVICES**

(1) Estates Strategy and Campus Masterplan

The Director of Campus Services updated the Committee on progress in relation to the development of the Estates Strategy and Campus Masterplan and members noted that this would be further informed by a needs analysis arising from the new University Strategy to 2022 when complete. Members noted that the Director would present aspects of his early thinking around the Estates Strategy to the University Executive Group in early May, and that further proposals would be presented to the Court in due course.

The Director went on to highlight the permissions obtained from the City Council to demolish a number of buildings on the main campus, including the Microcentre, Estates & Buildings block, and Biological Science Institute, as well as activities being undertaken to assess the University's changing estates needs. In response to questions the Director outlined approaches being pursued across the sector, and opportunities within the University's emerging Estates Masterplan, with regard to the provision of flexible learning space.

Following discussion it was agreed that the Director should establish an internal Estates Strategy Group with appropriate representation to support debate in this area and bring forward proposals in due course to the Committee and Court. It was noted that the composition of the Group would be finalised in due course, and members proposed that it should include School and student representatives, a member of the Finance & Policy Committee, and an additional member of the Court. Noting previous discussions at Court, it was proposed that Allan Murray be asked, as a lay member of the Court with relevant experience, to serve on this Group, and the Convener asked that members of the Finance & Policy Committee indicate their interest/willingness to serve on the Group to the Clerk to the Committee.

Resolved: (i) to Convene an Estates Group, and confirm the membership of the Group in due course; and

(ii) otherwise to note the update.

(2) University Strategy to 2017: Estates Key Performance Indicator Report

The Committee received the annual Key Performance Indicator (KPI) report on Estates, which highlighted and analysed performance in this area over the previous five year period relative to target and, where possible, benchmarked against sector averages and comparator institutions. In introducing the report the Director of Campus Services highlighted performance in relation to: carbon footprint, energy consumption, space utilisation, and condition of the estate. Discussions focussed on the approach to address the declining condition of the Estate, and the development of future performance indicators linked to the new University Strategy to 2022. Through

discussion members were also interested to note the impact of student recruitment decisions on overall space utilisation measures, which were calculated in terms of m² per student FTE.

Resolved: to thank the Director and note that the report would be provided to the Court at its meeting on 18 April 2017.

(3) Estates Business

The Director of Campus Services introduced his regular report on progress in relation to on-going capital projects, including the Leverhulme Research Centre for Forensic Science, the refurbishment of level 3 of the Discovery Centre, the development of design briefs for the University of Dundee School of Business, and the discussion of works to the Crawford and Matthew Buildings. With regard to the Leverhulme Research Centre, members noted that Estates were working with the School of Science & Engineering to minimise associated relocation costs. Members also noted that expenditure relating to the Discovery Centre project remained within budget and within the strict time parameters for expenditure.

The Director went on to highlight plans for Scottish Funding Council (SFC) funding ring-fenced for backlog maintenance to be allocated to take forward the Tower Building window replacement and cladding project previously approved by the Committee.

Resolved: to thank the Director and note the report.

(4) Capital Expenditure: Main Library – First Floor Refurbishment

The Director of Campus Services introduced a paper detailing proposals for the refurbishment of level 1 of the Library & Learning Centre on the City Campus. Members noted that the project had been included in the capital plan previously approved and that work was valued at £1.3m, with the majority of this spend scheduled over Summer 2017 (spanning the 2016/17 and 2017/18 financial years). Noting the importance of the Library & Learning Centre in maintaining high levels of student satisfaction, members were pleased to note the involvement of students in the design specification stage of the development. Members also noted the details of the proposed works. In response to questions the Director confirmed that tenders had been issued, with the intention of commencing works on 29 May, subject to the endorsement of the Committee and approval of the Court.

Resolved: to endorse to the Court the proposed refurbishment of level 1 of the Main Library as described, and the associated capital expenditure of £1.3m.

7. UPDATES

(1) Reporting of Progress in Recruitment

The Director of Strategic Planning introduced a paper which highlighted the proposed new approach to the reporting of student intakes. Members noted that the reports focussed on providing the Committee with oversight of levels of demand, offer-making, acceptances, and the projected budget impact. Members also noted plans for the inclusion of data relating to open recruitment, partnerships and Distance Learning in future reports, and the proposed timing of these reports. The Director highlighted the intended approach to the provision of narrative and verbal commentary to supplement the data within the report. Members welcomed the new reports and provided feedback on areas where further clarification or additional information would be valued.

Turning to the 2016/17 student intake report, members noted the Period 6 forecasts for home, RUK and overseas undergraduate admissions and home/overseas taught postgraduate admissions relative to the budget, and discussions focussed on application trends. Overall members noted that, while the spread of income differed from that included in the budget,

overall the portfolio had delivered the growth targeted to underpin the University's financial recovery. In particular, members noted that the 2016 Home/EU caps were met, as were MD40 and articulation targets. The Committee also noted a 7% increase in UG RUK uncontrolled matriculations, a 6% increase in uncontrolled UG overseas matriculations, and increases to taught postgraduate admissions relative to the previous year.

Turning to the 2017/18 update, members noted that it was too early in the cycle to provide an update on distance learning and partnership applications, and that the report therefore focussed on open recruitment, and in particular recruitment from unregulated markets rather than against controlled numbers. Members noted that applications, offers and acceptances were ahead of the same point last year, possibly as a result of increased marketing activity and a faster turnaround of applications to offers by the admissions team as a result of recent investments. Members also noted that at this point in the cycle the forecast range for UG recruitment was below the levels assumed within the budget, but that the forecast had been developed on a cautious basis, and that the admissions team would also focus on the clearing process to improve the position. Members were particularly interested in the relationship between admissions rates and tariffs, and the Vice-Principal (Learning & Teaching) confirmed that the annual Learning & Teaching KPI report, which would be submitted to the Court at its meeting on 18 April 2017, would address this topic.

Resolved: to note the update.

(2) Progress report for Growth and Savings Projects

The Committee received the regular progress update in relation to the growth and savings projects approved by the Court. Discussions largely focussed on the Humanities & Liberal Arts; Biomedical Science; and Science, Engineering & Maths project updates.

Resolved: to note the update.

(3) Business Transformation Update

The Committee received the minutes from the Business Transformation Programme Steering Group meeting on 3 March 2017 and had access through BOX to the slide-pack considered by the Steering Group at that meeting. The University Secretary highlighted the agreement to stagger the 'go-live' phase of the research element of the solution into two parts (post-award and enhanced research) following a review on its dependencies on the HR and Finance modules, and the revised timings for implementation of these solutions.

Resolved: to note the update.

8. **ANNUAL REVIEW OF TREASURY POLICY**

The Director of Finance introduced the annual review of the Treasury Policy and in doing so highlighted the summary provided in relation to the counterparty risks and limits, liquidity risks, currency risks, currency swaps and inflation risks.

With regard to Counterparty risk, members noted that the short-term credit ratings for Barclays Bank and the Royal Bank of Scotland had been reduced, such that they no longer met the credit ratings required by the Treasury Policy. Members noted that the Committee had the authority to approve the continued use of banks which fell below this policy requirement, and approved the continued use of these banks subject to future monitoring and review. The Director also highlighted one change to the Treasury Policy (annex a) to reflect the new borrowing facility which was put in place during 2016. Members noted the University's exposure to interest rate movements in relation to pension scheme liabilities, and considered the management of this exposure would require careful examination if the University were to undertake any long-term borrowings.

- Resolved:**
- (i) to approve the continued use of the Royal Bank of Scotland and Barclays Bank;
 - (ii) to approve amendments to the Treasury Policy; and
 - (iii) otherwise to note the report.

9. **EXTRACT OF TERMS OF REFERENCE IN RELATION TO DELEGATED POWERS**

The Director of Academic & Corporate Governance introduced proposed amendments to the Schedule of Delegation which were, at the time of the meeting, subject to consideration by the Governance & Nominations Committee and the Court. Following discussion of the need for the document to be dynamic and regularly updated, members provided feedback to the Director on additional areas for inclusion and further review, including those currently delegated solely to the Director of Research and Innovation Services, and also approved the associated changes to the terms of reference and remit of the Committee (annex b).

- Resolved:** to endorse to the Court changes to the Schedule of Delegation and associated changes to the terms of reference and remit of the Committee.

10. **USE OF DELEGATED AUTHORITY**

The Committee noted two instances of the use of delegated authority by the University Secretary and Director of Finance since the last meeting.

- Resolved:** to note the update.

11. **RESERVED BUSINESS: DUNDEE STUDENT VILLAGES**

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

At the point at which the exemptions are deemed to no longer apply the Court will be advised and will be asked to note the release of the minute. Minute 11 of the Finance & Policy Committee of 20 March 2017, and the corresponding minute of the Court's discussions on 18 April 2017 will be included as an appendix to the minute of the meeting at which its release is approved.

12. **PENSION SUB-GROUP**

Members noted that the Pension Sub-Group would meet immediately following the meeting of the Finance & Policy Committee to consider the consultation circulated by the Universities Superannuation Scheme (USS).

- Resolved:** to note the update.

13. **DATE OF NEXT MEETING**

The Committee noted the next meeting of the Finance & Policy Committee was scheduled for 8 May 2017.

- Resolved:** to note the date.

Annex A

Extract of Treasury Management Policy

[.....

1.2 LIQUIDITY

The University maintains an effective cash and cash flow forecasting and monitoring system which identifies the extent to which the University is exposed to the effects of potential cash flow variations and shortfalls on a daily basis.

The University currently has access to the following borrowing facilities.

Notice Period	Source	Funding Type	Facility Limit	Interest Rate	Review Date
2-Day Access <u>1 business day</u>	Barclays <u>Bank of Scotland</u>	Revolving Credit Facility	£34.40 million	Libor + 1.25 <u>0.6</u> %	Mar-May 2016 <u>2021</u>

As the Universities main facility is a rolling credit facility the policy is to minimise this facility whilst maintaining sufficient funds are always available to meet any short term liquidity needs. This is need is met through holding funds within the current/overnight account with the University's main banker (Royal Bank of Scotland) and through the following Instant Access deposit facility.

.....]

The full policy is available from: [Treasury Management Policy](#)

APPENDIX 3

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 3)

A meeting of the Committee was held on 24 March 2017.

Present: Ronald Bowie (Convener)
Janice Aitken
Richard Bint
Jane Marshall (by SKYPE)
Professor Mairi Scott

In Attendance: Dr Neale Laker (Director of Academic & Corporate Governance);
Dr Jim McGeorge (University Secretary);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Professor Tim Newman (Vice-Principal (Research, Knowledge Exchange & Wider Impact)).

Apologies: Principal Professor Sir Pete Downes, Bernadette Malone and Sean O'Connor

1. MINUTES

Resolved: to approve the minutes of the meeting of 23 January 2017.

2. MATTERS ARISING

(1) Action Log (Minute 2(1))

The Committee received the action log for Committee business and noted progress updates where provided.

Resolved: to note the log.

(2) Statement on Modern Slavery (Minute 7)

In response to questions raised at the previous meeting, the Director of Academic & Corporate Governance clarified practice should any supplier fail to accept the APUC Supply Chain Code of Conduct as requested within the Statement on Modern Slavery. Members were content with approach outlined and noted that the Statement would be reviewed on an annual basis.

Resolved: to note the update.

3. CONVENER'S UPDATE

The Convener provided his regular update on matters highlighted in his discussions with Court members out with meetings. He also highlighted a number of events he had attended in his capacity as Chair of Court including meetings of the Senate, the DUSA Board of Trustees, and a tour of the School of Medicine. Members noted that he had found these meetings informative and valuable in terms of providing additional context to discussions and decisions of the Court. The Convener also confirmed that he held regular meetings with the Principal, and that he considered these meetings to be an important aspect of his role in ensuring that the relationship between the University Executive Group and the Court was based on understanding and challenge. Members also noted that the Convener had recently completed the Principal's OSAR and that he would report on this to the next meeting of the Court.

Turning to sectoral matters the Convener updated members on matters considered at recent meetings of the Committee of Scottish Chairs (CSC). Discussions largely focussed on the CSC response to the Scottish Government Consultation on the Draft Gender Representation on Public Boards (Scotland) Bill. Members noted that the CSC were particularly concerned at the inclusion of universities in legislation for Public Boards, the focus of legislation on one aspect of diversity to the potential detriment of other protected characteristics, and the use of legislation where policies/Codes were seen to be more appropriate. The Convener also highlighted discussions of Universities Scotland priorities post-Brexit, and members noted that these were aligned to those discussed at the last meeting of the Court. Finally, the Convener updated members on the review of the Scottish Code of Good HE Governance (2013), and members noted that it was expected that a consultation phase would begin in April, with a revised Code expected to be published in early summer 2017.

Resolved: to note the update.

4. **SECTOR UPDATE**

The Director of Academic & Corporate Governance updated members on sectoral matters relating to the governance of Higher Education Institutions (HEIs). In doing so he drew members' attention to the announcement by the Financial Reporting Council that it was to undertake a fundamental review of the UK Corporate Governance Code, and members noted that the review was expected to commence in late 2017. The Director confirmed that he would repeat the mapping process for governance arrangements at the University relative to the Code following the publication of any revisions.

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

5. **HIGHER EDUCATION GOVERNANCE (SCOTLAND) ACT 2016**

The Director of Academic & Corporate Governance updated members on progress in relation to the approval by the Privy Council of changes to the University Charter and Statutes previously approved by the Court to implement the requirements of the Higher Education Governance (Scotland) Act 2016. The Committee noted that the Privy Council was to consider the draft orders at its meeting on 12 April 2017. Members also noted that Universities Scotland had organised a meeting to share good practice across the sector in relation to the implementation of the requirements of the Higher Education Governance (Scotland) Act 2016, and that the Director was to attend.

Resolved: to note the update.

6. **MEMBERSHIP OF THE COURT AND ITS COMMITTEES**

(1) Convenership of Audit and Finance & Policy Committees

[Secretary's note: Richard Bint declared a potential interest in the item and left the room for the duration of the discussion.]

The Convener informed the Committee that the vacancies arising from 1 August 2018 in the positions of Convener of the Audit and Finance & Policy Committees had been highlighted to Court members at the meeting of Court on 14 February. The Committee noted that four members had subsequently expressed an interest in serving in these roles and the Committee were asked to consider the process for selection and appointment from this pool of interested individuals. Following discussion the Committee resolved that the candidates should be interviewed by a panel representative of the Governance & Nominations Committee, including at least one lay member, one staff member, and one student member of the Court, to explore the candidates' vision for the Committee. Members also asked that officers, with support from Jane Marshall, develop a description of the skills and attributes required of Conveners of the Committees of the Court for circulation to candidates along with the terms of reference for the Committees ahead of the interviews. Noting the potential for decisions regarding Convenership of these Committees to influence the considerations relating to the membership of the

Committees for the 2017/18 academic year, members asked that interviews be scheduled to take place before the next meeting of the Committee when Committee memberships were due to be reviewed.

- Resolved:**
- (i) to note that Jane Marshall and the Director of Academic & Corporate Governance would develop and circulate to members a description of skills and attributes required of Conveners of Committees of the Court; and
 - (ii) to note that interviews would be scheduled to take place before the next meeting of the Committee.

(2) Lay (External) Membership of the Audit Committee

The Director of Academic & Corporate Governance updated members on arrangements for the advertisement, interview and selection process for the lay (external) vacancy arising on the Audit Committee from 1 August 2017. Members noted that the advertisement was due to be published on 31 March 2017, and that arrangements had also been made for its distribution via mailing lists and websites as previously discussed. Members also noted provisional arrangements relating to the shortlisting and interview panel for this position as previously delegated to the selection panel.

The Convener also highlighted a number of potentially interested individuals identified by members of the Court, and agreed that a further reminder should be issued to Court members asking them to highlight the vacancy to suitable individuals within their networks.

- Resolved:** to note arrangements for the shortlisting and interview process relating to the lay vacancy arising on the Audit Committee on 1 August 2017.

(3) Lay Membership of the Court

Members were reminded that, when approved by the Privy Council, the changes to the Charter, Statutes and Ordinances of the University discussed elsewhere on the agenda (minute 5 above) would see the creation of an additional lay member position on the Court from 1 August 2017. Members also noted the previous decision by the Court on 26 October 2016 to appoint Dr Jean Robson to the next available lay vacancy arising on the Court, subject to a review of the needs and skills requirements of the Court at that time. Following review of the current skills matrix for the Court, the equality and diversity return for Court members, and the application previously submitted by Dr Robson, the Committee unanimously agreed to reaffirm its recommendation to the Court that Dr Robson be appointed as a lay member. Members were also supportive of the proposal that, if appointed by the Court, Dr Robson be invited to attend the June meeting of the Court in a shadow capacity prior to the start of her period of office.

- Resolved:**
- (i) to reaffirm its recommendation to the Court that Dr Jean Robson be appointed as a lay member of the Court from 1 August 2017; and
 - (ii) to recommend to the Court that, subject to the recommendation above being approved by the Court, Dr Robson be invited to attend the meeting of Court on 5 June 2017.

7. SCHEDULE OF DELEGATION

The Director of Academic & Corporate Governance outlined proposed changes to the Schedule of Delegation and Decision-Making Powers (annex a) following a detailed review relative to legislative/regulatory requirements, sector-wide best practice, and consultation with members of the University Executive Group (UEG). Through discussion members noted that the Finance & Policy Committee had been consulted on aspects relating to powers delegated to it, and the Director highlighted areas where further review and/or change was planned. Members suggested a number of

further amendments, including the introduction of ranges for the approval of capital expenditure by the Finance & Policy Committee without the requirement for the approval of the Court. Members were also keen that the document be made as accessible as possible, and noted the intention that the Schedule be provided in an Excel format to enable sorting by area, category, authority and signatory. The Committee also agreed that the UEG and Committees of the Court should be asked to review the areas delegated to them on an annual basis in a manner which would enable the Governance & Nominations Committee to be confident that the delegations were appropriate and that there were no gaps or conflicts. Members went on to suggest that the job descriptions of signatories, and the terms of reference for Committees should also be reviewed to ensure that they reflected the responsibilities detailed within the Schedule, and in the case of the Committees also reflected the need for annual review. Lastly, members highlighted a number of additional areas for inclusion in the Schedule.

- Resolved:**
- (i) to endorse the revised Schedule to the Court for approval, noting the recommendation that the delegated powers detailed in the Schedule be reviewed annually by the Committees and the UEG; and
 - (ii) to note that the Director of Academic & Corporate Governance would update members on further amendments as and when appropriate.

8. ANNUAL REPORT ON REGISTERS OF INTEREST

(1) Officers

The Director of Academic & Corporate Governance summarised register of interest declarations by Officers received as part of the 2017 review of the register. Members noted that 99 forms had been issued to senior officers/officers considered to be in a position to significantly influence the strategy, and financial/reputational well-being of the University, and that at the time of the meeting 86 forms had been returned. The Director told members that he and the University Secretary had reviewed the returns and that they were content that the conflicts declared did not present an issue for the University. Members also noted that responses from the 13 outstanding individuals would continue to be sought.

Resolved: to note the update.

(2) Court Members

The University Secretary highlighted to members a declaration made by a lay member of Court since the last meeting. Members noted that the member had been offered a contract by the School of Medicine to deliver a module on a consultancy basis, similar to that noted by the Committee at its meeting on 9 May 2016. Members heard that due to the pressing timeframe, the University Secretary had consulted with the Chair of Court on this matter, and that the Chair had agreed that it was acceptable for the individual to undertake the work on the understanding that they would cease to be a member of the University's Internationalisation Committee due to perceptions of interest in this area, and that they would also declare an interest in discussions relating to the Medical School.

Resolved: to endorse to the Court the approach taken by the Chair of Court in respect of this matter, including the suggestion that the approval would also apply to any future repetition of this activity, noting however that the Court would wish to reserve its position in the event that the level of work being undertaken were to grow beyond the current level.

9. SUBSIDIARY COMPANY DIRECTORS

The Committee received a paper providing the details of the directors of the University's subsidiary companies. Discussions focussed on the nature of the University's relationship with the Dundee

University Students' Association, which members noted was not a subsidiary company of the University, and arrangements in place for the governance of the University Nursery.

Resolved: to note the update.

10. ANNUAL REVIEWS OF EFFECTIVENESS

Members received a paper outlining proposals for annual reviews of the effectiveness of the Committees of the Court, in the context of the annual review of the performance and effectiveness of the Court and the Chair of Court. Following discussion and noting the importance of the timing of the reviews, members recommended that the Committees be asked to review their effectiveness at their last meeting of the academic year, relative to their work-plan and focal questions used previously in reviews of the Court. Members however agreed that as the Audit Committee was currently undertaking its comprehensive quinquennial review of effectiveness, it was not necessary for it to repeat the review process through participation in the Committee reviews outlined. Turning to the proposed process for the reviews, the Committee endorsed the use of questionnaires for each Committee to inform discussions, and noted that the outcomes of the subsequent discussions by the Committee would be communicated to the Court as part of its annual review of the effectiveness.

In terms of process members agreed that the reviews of the Court and of the Chair of Court should take place at the last meeting of the Court of the current academic year, with a view to the outputs of these reviews being considered over the summer and action plans brought to the Court Retreat for discussion. Members noted that proposals for these reviews would be refined and brought to the next meeting of the Committee, noting the initial comments made in relation to previously used questionnaires.

Resolved:

- (i) to endorse to the Court proposals for the review of the effectiveness of the Committees of Court; and
- (ii) to await further proposals regarding the review of the effectiveness of the Court and the Chair of Court at the next meeting.

11. REVIEW OF THE EFFECTIVENESS OF THE SENATUS ACADEMICUS

The Committee received a paper from the Policy Officer (Academic Governance) outlining proposals for the Review of the Effectiveness of the Senatus Academicus, which was to be carried out in line with the requirements of the Scottish Code of Good HE Governance. Members noted that the proposals had been considered and approved by the Senate at its meeting on 22 March, and discussions focussed on the proposal that a lay member of the Court be invited to participate in the review. The Committee concluded that while it may not be useful for a lay member to be involved in the early stages of the review, it would be beneficial for a lay member to provide comment and external critique for the process, potentially via receipt of minutes of the review group, and meetings with the Convener of the review group.

Resolved:

- (i) to endorse to the Court the proposal that the Court be asked to identify a lay member to serve on the Senate Review Group; and
- (ii) otherwise to thank the Policy Officer (Academic Governance) for the report.

12. GRADUATES' ASSOCIATION

The Committee received a paper outlining proposed changes to the regulations of the Graduates' Association (annex b), which members noted had been approved by the Graduates' Association Business Committee subject to consultation with the Governance & Nominations Committee in terms of ensuring good practice. The Committee heard that the proposed changes were designed to enable the Business Committee to change the format of the Graduates' Association Annual General Meeting with the aim of addressing the consistently low level of engagement with this meeting, and to amend the format for the election of the Business Committee to make it more inclusive and representative of the

graduate body. Members also noted that the Convener and Vice-Convener of the Business Committee, and the two Graduates' Association Assessors on the Court had strongly endorsed the changes.

The Committee was strongly supportive of the approach outlined to improve engagement with and the inclusivity of the Association, and members endorsed the changes, noting that they would be approved by the Business Committee in accordance with regulation 17 of the Graduates' Association Regulations.

Resolved: to endorse the proposed changes to regulations of the Graduates' Association.

13. DUNDEE UNIVERSITY STUDENTS' ASSOCIATION ELECTIONS

The Committee received a report highlighting the outcome of the DUSA elections. Members noted that Sean O'Connor had been elected as the DUSA President from 1 July 2017, but were disappointed to note that no-one had stood for the position of Independent Student Member on Court. In response to questions the Director of Academic & Corporate Governance confirmed that in accordance with the relevant Ordinance, in the absence of a candidate for this role, the DUSA Executive would now be asked to nominate one of its members to serve in this capacity from 1 August 2017.

Noting that engagement continued to fall in relation to these elections, members expressed an interest in receiving information on the levels of engagement with distance learning students. Members also noted changes being introduced to reinvigorate the Student Representative Council (SRC).

Resolved: to note the outcome of the 2017 DUSA elections.

14. DATE OF NEXT MEETING

Resolved: to note that the next meeting would be held on 8 May at 10am.

Annex A

Area	Sub-category	Delegated Matter	Authority	Signatory/Implementing Authority
Academic Governance	Degrees	Approve degree regulations	Quality and Academic Standards Committee	Vice-Principal (Learning & Teaching), Director of Academic & Corporate Governance, Director of Quality & Academic Standards
Academic Governance	Degrees	Approve the conferment of degrees and qualifications including honorary degrees	Senate	Principal & Vice-Chancellor
Academic Governance	Degrees	Approve degree programme specifications and assessment methods	Quality and Academic Standards Committee	Vice-Principal (Learning & Teaching), Director of Academic & Corporate Governance, Director of Quality & Academic Standards
Audit	Accounting Policies	Approve changes to accounting policies	University Court on the recommendation of the Audit Committee	Director of Finance
Audit	Audit plan	Approve internal audit needs assessment and internal audit strategic and operational plans	Audit Committee	University Secretary
Audit	Audit reports	Approve annual report of internal auditors for submission to SFC	University Court on the recommendation of the Audit Committee	Director of Finance
Audit	Auditors	Approve process for appointment of internal/external auditors	Audit Committee	Director of Finance
Audit	Auditors	Approve appointment of Internal/External auditors	University Court on the recommendation of the Audit Committee	Director of Finance
Elections	Chairperson of Court	Elect Chairperson of Court	Court, Staff and students	Returning officer: Secretary
Elections	Chairperson of Court	Determine candidacy for election as Chairperson of Court	Appointing Committee established by Court	Returning Officer: Secretary
Elections	Court	Elect Senate Assessors to Court	Senate	Returning Officer: Secretary
Elections	Court	Elect Staff Council Assessors to Court	Staff Council	Returning Officer: Secretary
Elections	Rector	Elect Rector	DUSA (in consultation with Court and Senate)	Returning Officer: Secretary
Elections	Senate	Elect Staff Council Assessors to Senate	Staff Council	Returning Officer: Secretary
Elections	Senate	Elect School representatives to Senate	School Boards	Returning Officer: School Manager
Finance	Accounts	Approve annual consolidated accounts for the University and Group (financial statements)	University Court on the recommendation of the Audit Committee and the Finance & Policy Committee	Chairperson of Court AND Principal AND Director of Finance
Finance	Bank Accounts	Approve administrative and security arrangements relating to University investments and bank accounts	Director of Finance with an annual report to the Finance & Policy Committee	Director of Finance
Finance	Borrowing	Enter into borrowing arrangements up to £5m, and renew as necessary, in accordance with the financial strategy approved by Court	Director of Finance with a report to the next Finance & Policy Committee	Director of Finance AND University Secretary
Finance	Borrowing	Enter into borrowing arrangements over £5m, and renew as necessary, in accordance with the financial strategy approved by Court	Finance & Policy Committee	Director of Finance AND University Secretary
Finance	Budget	Approve financial strategy, including annual capital programme and annual budgets for Schools and Professional Services	University Court on the recommendation of the Finance & Policy Committee	Director of Finance AND University Secretary
Finance	Business Plans	Approve business plans for projects involving non-capital spend with an annual value of less than £100k	Deans of Schools/Directors of Professional Services with the countersignature of the University Secretary OR the Director of Finance	Deans of Schools/Directors of Professional Services
Finance	Business Plans	Approve business plans for projects involving non-capital spend with an annual value of more than £100k and up to £1m	University Executive Group	Director of Finance
Finance	Business Plans	Approve business plans for projects involving non-capital spend with an annual value of more than £1m	Finance & Policy Committee	Director of Finance
Finance	Capital Expenditure	Approve specific capital projects and/or variations to the approved capital programme for the budget year with a total gross anticipated value of up to £1m	University Secretary AND the Director of Finance	Director of Campus Services

Finance	Capital Expenditure	Approve specific capital projects and/or variations to the approved capital programme for the budget year with a total gross anticipated value of up to between £1m and £3m	Finance & Policy Committee	Director of Campus Services
Finance	Capital Expenditure	Approve specific capital projects and/or variations to the approved capital programme for the budget year with a total gross anticipated value of more than £1m	University Court on the recommendation of the Finance & Policy Committee	Director of Campus Services
Finance	Car Parking charges	Approve charges for the use of University car parks	University Secretary	University Secretary
Finance	Contracts for services or goods	Approve non-research related contracts or amendments to contracts with a value of up to £100k per annum	Head of Procurement	Head of Procurement
Finance	Contracts for services or goods	Approve non-research related contracts or amendments to contracts with a value of between £100k and £1m per annum (except where the total value over the life of the contract is or is expected to be more than £5m)	University Secretary AND the Director of Finance	Director of Finance
Finance	Contracts for services or goods	Approve non-research related contracts or amendments to contracts with a value of more than £1m per annum, including all such contracts where the total value over the life of the contract is or is expected to be more than £5m.	Finance & Policy Committee	Director of Finance
Finance	Disposals	Approve disposal of assets (except where agreement has been reached between the Director of Finance to further delegate this responsibility to Directors or Deans for specific assets or categories of asset).	University Secretary AND the Director of Finance (subject to appropriate required approval on disposal of publicly funded assets)	Director of Finance
Finance	External Funding Bids	Approve applications to external funding bodies for capital projects where a commitment to a financial contribution on the part of the University of more than £1m is included	Finance & Policy Committee	Director of Finance
Finance	Financial Regulations	Approve Financial Regulations	Finance & Policy Committee	Director of Finance
Finance	Financial Regulations	Approve changes to the Financial Procedures Manual and Procurement manual	Director of Finance	Director of Finance
Finance	Investments	Approve guidelines for University investments	Finance & Policy Committee on the advice of the Endowments Sub-Committee	Director of Finance
Finance	Loans	Approve loans, loan guarantees and grants to subsidiary, spin-out and associated companies up to £100k	University Secretary AND Director of Finance	Director of Finance
Finance	Loans	Approve loans, loan guarantees and grants to subsidiary, spin-out and associated companies of more than £100k	Finance & Policy Committee	Director of Finance
Finance	Purchases	Approval of the most appropriate mechanism for acquiring assets and services (e.g. purchase or lease)	Director of Finance	Director of Finance
Finance	Purchases	Approve purchases within budget valued at up to £100k	Deans of Schools/Directors of Professional Services	Deans of Schools/Directors of Professional Services
Finance	Purchases	Approve purchases valued at between £100k and £1m, as well as those outwith the budget up to £100k	University Secretary AND the Director of Finance	Director of Finance
Finance	Purchases	Approve purchases valued at more than £1m	Finance & Policy Committee	Director of Finance
Finance	Schools and Directorates	Approve allocation of resources within Schools and Directorates	Deans of Schools/Directors of Professional Services	Deans of Schools/School Managers/Directors of Professional Services
Finance	Schools and Directorates	Approve expenditure within agreed budgets in accordance with the Financial Procedures Manual	Deans of Schools/Directors of Professional Services	Deans of Schools/School Managers/Directors of Professional Services
Finance	Student Fees	Approve student fee rates	University Executive Group	Director of Finance
Finance	Treasury	Oversee treasury management policies and procedures required to ensure that cash resources are managed securely and efficiently	Director of Finance with an annual report to the Finance & Policy Committee	Director of Finance
Governance	Appointments to Court	Approve appointment of co-opted members of Court	University Court on the recommendation of the relevant appointing committee	University Secretary

Governance	Chancellor	Approve appointment of the Chancellor	University Court in consultation with the Senate	University Secretary
Governance	Committees	Approve membership of Court Committees	University Court on the recommendation of the Governance & Nominations Committee	University Secretary
Governance	Committees	Approve membership of Senate Committees	Senate	University Secretary
Governance	Governing Instruments	Approve changes to Charter and Statutes and new Statutes	University Court in consultation with the Senate (Subject to Privy Council approval)	University Secretary
Governance	Governing Instruments	Approve changes to Ordinances and new Ordinances	University Court in consultation with the Senate	University Secretary
Governance	Governing Instruments	Approve standing orders of Court	University Court on the recommendation of the Governance & Nominations Committee	University Secretary
Governance	Subsidiary Companies	Approve the formation of subsidiary, spin-out and associated companies (including any amendments to articles of association and equivalents once formed).	Principal AND the Director of Finance or the University Secretary	University Secretary/Director of Finance
Governance	Subsidiary Companies	Approve the winding up of subsidiary, spin-out or associated companies	Finance & Policy Committee	University Secretary/Director of Finance
Governance	University Structure	Approve the academic structure of the University, including the creation or amendment of Schools and their constituent disciplines.	University Court in consultation with the Senate	University Secretary
Policies & Regulations	Admissions	Approve policies and terms and conditions for the admission of students to the University	Senate on the recommendation of the Learning & Teaching Committee	University Secretary
Policies & Regulations	Animals	Determine an ethical review process and policies on matters relating to the welfare of animals on University premises and act as the University's Animal Welfare and Ethical Review Body	Welfare and Ethical Use of Animals Committee	University Secretary
Policies & Regulations	Staff	Approve 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.	University Court on the recommendation of the People & Organisational Development Committee	Director of HR&OD
Research	Clinical Trials	By means of the Sponsorship Committee, to receive and determine applications for the sponsorship of all Clinical Trials of Investigational Medicinal Products (CTIMP Clinical Trials), all regulated device trials and those clinical research studies which in the view of TASC Research Governance Managers present significant risk.	R&D Director, Tayside Medical Sciences Centre (TASC)	R&D Director, Tayside Medical Sciences Centre (TASC)
Research	Clinical Trials	Approve contracts relating to the performance of CTIMP clinical trials, regulated device trials and all clinical research studies administered by TASC, or the amendment or cancellation of such contracts, excluding contracts solely relating to University intellectual property or where the University has responsibility for commercial outcomes from work.	R&D Director, Tayside Medical Sciences Centre (TASC)	R&D Director, Tayside Medical Sciences Centre (TASC)
Research	Clinical Trials	Receive and determine applications for the sponsorship of all other clinical research studies.	R&D Director, Tayside Medical Sciences Centre (TASC)	R&D Director, Tayside Medical Sciences Centre (TASC)
Research	Clinical Trials	Approve grant funding applications up to £50k .	R&D Director, Tayside Medical Sciences Centre (TASC)	R&D Director, Tayside Medical Sciences Centre (TASC)
Research	Clinical Trials	Where required, approve the contractual terms and conditions associated with grant funding awards solely for CTIMP trials, regulated device trials and clinical research studies administered by TASC, in conjunction with RIS	R&D Director, Tayside Medical Sciences Centre (TASC)	R&D Director, Tayside Medical Sciences Centre (TASC)
Research	Grants and Awards	Approve research-related contracts or amendments/cancellation of contracts	Director of Research & Innovation Services	Director of Research & Innovation Services
Research	Grants and Awards	Approve all grant funding applications, provided that where a separate arrangement has been agreed with an individual School or unit, this authority may be delegated to that School or unit up to a value of £50k, and provided it is within agreed parameters	Director of Research & Innovation Services	Director of Research & Innovation Services
Research	Grants and Awards	Approve licensing agreements on behalf of the University	Director of Research & Innovation Services	Director of Research & Innovation Services

Research	Intellectual Property	Approve assignation of intellectual property and patent applications	Director of Research & Innovation Services	Director of Research & Innovation Services
Staff: Appointments	Appointing Committees	Approve membership of professorial appointing committees	Principal AND Vice-Principal (Academic Planning & Performance)	Vice-Principal (Academic Planning & Performance)
Staff: Appointments	Appointing Committees	Approve membership of appointing committees for professional services appointment at grade 10	University Secretary	University Secretary
Staff: Appointments	Deans	Appoint Deans of School	Principal (in consultation with the School)	Principal/Director of HR&OD
Staff: Appointments	Emeritus	Approve conferment of the title 'Emeritus' on former members of staff	Senate	Director of HR&OD
Staff: Appointments	Established/Named Chairs	Approve appointment of a professor to a named or established chair	Senate on the recommendation of the University Executive Group	Principal/Director of HR&OD
Staff: Appointments	General	Approve filling of vacant academic posts within existing establishments	Deans, following consultation with the Vice-Principal (Academic Planning & Performance, and on the advice of the relevant HRO and accountant	Deans
Staff: Appointments	General	Approve filling of vacant non-academic posts within existing establishments	Deans/Directors on the advice of the relevant HRO and accountant	Deans/Directors
Staff: Appointments	General	Approve creation of new posts outside the existing establishments	University Staffing Committee	Director of HR&OD
Staff: Appointments	General	Approve appointments of external examiners, where within the parameters of the policy on external examiners	Deans	Deans
Staff: Appointments	Honorary appointments	Approve honorary professorial appointments	Senate on the recommendation of School Boards following consultation with the Vice-Principal (Academic Planning & Performance)	Director of HR&OD
Staff: Appointments	Honorary appointments	Approve honorary appointments in the professional services	University Secretary	Director of HR&OD
Staff: Appointments	Honorary appointments	Approve honorary academic appointments (except professorial)	School Boards	Director of HR&OD
Staff: Appointments	Principal	Approve appointment of Principal & Vice-Chancellor	University Court (in consultation with the Senate) on the recommendation of an appointing committee	University Secretary/Director of HR&OD
Staff: Appointments	Principal	Ensure that the performance of the Principal is reviewed annually in accordance with established University procedures for Objective-setting and Review	Remuneration Committee	Chairperson of Court
Staff: Appointments	Principal	Approve severance terms and substantial changes to pay and/or terms and conditions of the Principal	University Court on the recommendation of the Remuneration Committee	University Secretary/Director of HR&OD
Staff: Appointments	Secretary	Approve appointment of the University Secretary	University Court (in consultation with the Senate) on the recommendation of an appointing committee	Principal/Director of HR&OD
Staff: Appointments	Vice-Principals	Approve appointment of any Vice-Principals	University Court (in consultation with the Senate) on the recommendation of an appointing committee	Principal/Director of HR&OD
Staff: Salary	Honoraria	Approve maximum levels of any management responsibility payments and honoraria to Deans and Associate Deans	Remuneration Committee on the recommendation of the University Executive Group	Director of HR&OD
Staff: Salary	Senior Staff	Approve salary increases for the Principal and members of the University Executive Group	Remuneration Committee	Principal/Director of HR&OD
Staff: Salary	Senior Staff	Approve salary increases for Grade 10 staff recommended by each School and Professional Services	University Executive Group	Principal/Director of HR&OD
Staff: Salary	Senior Staff	Approve a policy on senior staff severance and approve early retirement or severance terms for the Principal and other members of the University Executive Group in accordance with that policy	Remuneration Committee	University Secretary/Director of HR&OD

Staff: Salary	Senior Staff	Approve requests by senior staff to undertake consultancy, other paid work or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum, and in any instances relating to members of the University Executive Group	Remuneration Committee	University Secretary
Strategy	Budget	Approve the budget and financial forecasts	University Court	
Strategy	Collaborations	Strategic (in principle) approval of major international/national collaborations	University Executive Group	Principal/Vice-Principals/University Secretary
Strategy	Collaborations	Approve International Collaboration agreements (teaching & learning)	University Executive Group on the advice of the Director of Legal	Principal, Vice-Principal (Internationalisation) Vice-Principal (Learning & Teaching), University Secretary
Strategy	Collaborations	Approve International Collaboration agreements (research)	University Executive Group on the advice of the Director of Legal	Principal, Vice-Principal (Research), Vice-Principal (Internationalisation), University Secretary
Strategy	Collaborations	Approve UK Collaboration Agreements (teaching & learning)	University Executive Group on the advice of the Director of Legal	Vice-Principals, University Secretary
Strategy	KPIs	Approve areas for reporting via Key Performance Indicators	University Court	
Strategy	Strategy	Approve the University Strategy	University Court	
Students	Appeals	Receive and determine appeals from undergraduate students against termination of their studies	Senate Termination of Studies (Appeals) Committee	University Secretary/Vice-Principals/Director of Academic & Corporate Governance
Students	Appeals	Receive and determine academic appeals from students	Senate Appeals Committee/Panel	University Secretary/Vice-Principals/Director of Academic & Corporate Governance
Students	Discipline	Exercise disciplinary powers in relation to students	Any authorised officer named in Ordinance 40	University Secretary/Vice-Principals/Director of Academic & Corporate Governance

Graduates' Association Regulations

(Note: Regulations made under Ordinance 20.)

- 1 The Secretary of the University shall maintain a register of members of the Graduates' Association recording their full names, addresses, degrees and year of conferment of their first degree. This duty is disappplied to the extent that (1) such information may be unavailable; (2) any consent required by law or by any code of practice, etc of individuals is not forthcoming for any reason; (3) where compliance with this duty would breach data protection or other legislation, regulations or case-law.
- 2 The register may be consulted only by officers of the University and those delegated by them and to the extent, if any, permitted under data protection or other relevant legislation, regulations or case-law.
- 3 Notices of all meetings of the Association shall be advertised by the Secretary not less than ten weeks before the dates of the meetings. The notices shall include information relating to any vacancies requiring to be filled either by election or appointment as set out in these regulations. They shall also call for any other competent business to be considered at the meeting to reach the Secretary not less than four weeks before the dates of the meetings.
- 4 The papers for each meeting shall be available to all members of the Graduates' Association not less than two weeks before the date of the meeting.
- 5 Twenty members of the Graduates' Association shall form a quorum.
- 6 The Chairperson shall have a deliberative vote and in the case of an equality of votes the Chairperson shall also have a casting vote, provided that this Regulation shall not apply to votes for elections.
- 7 Every matter of business except where otherwise specially provided shall be determined by the majority of members present and voting on the matter.
- 8 The Chairperson shall determine all matters of competence and relevancy. When a point of order is raised the Chairperson shall rule at once. When the Chairperson's ruling is challenged, the Chairperson shall ascertain the mind of the Association by a vote taken without debate.
- 9 The Chairperson shall have power to adjourn a meeting, provided that only unfinished business shall be transacted at an adjourned meeting.
- 10 The Graduates' Association shall appoint a Business Committee with the following membership:
 - a) The Graduates' Association Members of Court, that being those appointed by the Graduates' Association (ex officio);
 - b) The Convener of the Business Committee (ex officio);
 - c) Eight members of the Association to be elected at the annual meeting of the Association;
 - d) Such other persons not exceeding two in number, as may be co-opted from time to time by the Business Committee. Such persons shall usually, but not necessarily, be Graduates of the University as defined by Ordinance;
 - e) The President of DUSA or his/her nominee;
 - f) A member nominated by the Academic Council;
- 11
 - (1) The period of office of the elected members of the Business Committee shall be four years at the end of which they shall be eligible for re-election, but shall not hold office continuously for a period longer than eight years.
 - (2) The period of office of members co-opted in terms of Regulation 10 shall be two years. Such co-opted members retiring shall be eligible for further co-option provided that no co-opted members shall serve continuously for more than four years in that capacity.

- (3) The maximum total continuous period of office of a person serving as an elected, nominated or co-opted member, or in a combination thereof shall be eight years. On expiry of their maximum period of office, such persons shall not be permitted to seek re-election, be co-opted or nominated until a period of at least four years has elapsed from the date on which their membership ceases.
- 12
 - (1) The Business Committee shall at the meeting next before the annual meeting of the Association elect a Convener from those elected or co-opted to membership of the Business Committee in terms of sub-paragraphs c) and d) of Regulation 10, provided always that the Convener so elected shall be a Graduate of the University, as defined by Ordinance. The Convener shall begin a new term of office on the Committee and shall hold office for one year whereafter the Convener shall cease to be a member of the committee. The Convener shall be eligible for re-election but shall not serve continuously for more than four years in that office.
 - (2) If the member elected Convener would otherwise not be due to retire from the Business Committee at the next annual meeting of the Council, his or her election shall be deemed to create a vacancy, which may be filled by co-option.
 - (3) The Convener so elected shall also be the Chairperson of the Graduates' Association
 - (4) The Business Committee may at any time appoint a Vice-Convener from among its members. The period of office of the Vice-Convener shall be fixed by the Business Committee but shall not exceed the period for which the person appointed would otherwise have served as a member of the Committee.
 - (5) In the absence of the Convener and the Vice-Convener, if any, from any meeting a chairperson for the time being shall be elected by the meeting.
 - 13 Two members of the Committee shall be elected each year. A casual vacancy may be filled by co-option at any meeting of the Business Committee and the person co-opted shall be a member for the unexpired period of office of his or her predecessor.
 - 14 Elections for the Business Committee shall be held ~~at the annually in advance of the annual~~ meeting of the Association. ~~The Secretary or his or her nominee shall act the returning officer. The election shall be conducted in a format approved by the returning officer.~~ The Secretary shall invite nominations in the ~~papers notice~~ issued for the annual meeting. ~~Nominations may be made by a proposer and seconder in writing accompanied by the candidate's consent in writing and shall reach the Secretary before the hour of the annual meeting. Nominations duly proposed and seconded of persons present may also be made at the meeting. The election shall be by ballot on voting papers provided at the meeting.~~ In the event of a tie the elections shall be decided by the drawing of lots.
 - 15 Five members of the Business Committee shall form a quorum.
 - 16 The Secretary of the University shall be responsible for providing secretarial services to the Business Committee.
 - 17 The Business Committee shall deal with any matters on behalf of the Association and may act on behalf of the Association and report thereon to the Association. The Committee shall frame the programme of business to be submitted to the annual meeting of the Association subject to the addition of items received in terms of Regulation 3. The Business Committee shall have the power to establish a Convener's Sub-Committee or other Sub-Committees to act on its behalf.
 - 18 The Business Committee shall define the limits of the powers of the Sub-Committee which shall report on the exercise of the powers to the Committee.
 - 19
 - (1) When a vacancy is due to occur in the office of the Graduates' Association Members on Court the Secretary of the University shall intimate this in the business paper for the annual meeting immediately preceding the annual meeting following which such an appointment will take effect. The vacancy shall also be advertised on the University's web site, and by such other means as the Secretary may consider appropriate.
 - (2) Applications by graduates of the University to be considered for appointment to the Court shall be

submitted to the Secretary of the University by 30 September preceding the annual meeting following which the appointment shall take effect. Applications must be accompanied by a curriculum vitae and a supporting statement, along with details of the degrees or diplomas held and the year obtained. Potential candidates for appointment on Court are strongly encouraged to speak on a private informal basis with the Convener or Vice-Convener of the Business Committee or with one of the sitting graduates on Court in order to ensure they are fully briefed about the requirements and expectations of the role and to assist in approaching their candidacy submission on an informed basis.

- (3) Following receipt of applications for the appointment to Court, the Secretary shall make arrangements for a selection panel to consider them. The panel shall consist of the Convener, the Vice-Convener, a current Graduates' Association Member of Court and a member of the University's Governance & Nominations Committee, and any such other persons that the panel may itself co-opt, upon the advice of the Secretary of the University. Where any of the Convener, Vice-Convener or current Graduates' Association Members on Court are prevented from acting in this capacity, or where any of the positions are vacant, the Graduates' Association Business Committee may identify individuals from within its membership to serve on the panel. The panel, on the advice of the Secretary of the University, shall determine for itself the process for selection, but such process shall normally include an interview with the panel and informal meetings with the Principal and Chairperson of Court.
 - (4) In making its selection, the panel shall have regard to the criteria for appointment to the role of Graduates' Association Member of Court that the Business Committee shall from time to time devise. It shall also have regard to the balance of skills already exhibited by the entire membership of the University Court.
- 20** In any year in which no application for appointment to Court by a graduate comes forward by the deadline of 30 September as set out in regulation 19, following consultation with the Secretary of the University, the Business Committee shall nominate a candidate who shall be appointed, subject to ratification by the University Court.
- 21** In the event of a casual vacancy occurring, following consultation with the Secretary of the University, the Business Committee shall nominate a candidate who shall be appointed as a Graduates' Association Member of Court, subject to ratification by the University Court, for the remainder of the term falling vacant.
- 22** The process for considering the re-appointment of a Graduates' Association Member, appointed in terms of regulation 19, shall include an appraisal of the performance and attendance of the Member concerned at meetings of the Court and its Committees and such other criteria as the Business Committee shall from time to time determine. Following such appraisal, the Business Committee shall recommend to the Annual General Meeting that it either re-appoint that member or that it decline to do so and that a recruitment process be commenced in terms of regulation 19.
- 23** These Regulations may be suspended (except insofar as doing so would result in a breach of data protection or other legislation, regulations or case-law) by a resolution passed by a two-thirds majority of members present and voting.

APPENDIX 4

AUDIT COMMITTEE (Minute 75(3)(a))

A meeting of the Committee was held on 28 February 2017.

Present: Jo Elliot (Convener);
Richard Bint;
Dr William Boyd;
Neil Menzies;
Sandra Morrison-Low

<u>In Attendance:</u>	Andrew Richmond	Chair, Finance and Policy Committee;
	Dr Jim McGeorge	University Secretary;
	Wendy Alexander	Vice-Principal (International);
	Dr Neale Laker	Director of Academic & Corporate Governance;
	Andrew Hewett	Director of Finance;
	Dr Lesley McLellan	Director of Quality & Academic Standards (item 4 (2));
	Dr Jonathan Monk	Director of IT (item 5);
	Chris Brown	(Scott-Moncrieff);
	Keith MacPherson	(Ernst & Young);
	Stephen Reid	(Ernst & Young);
	Dr Liz Rogers	(Assistant Policy Officer (Risk & Audit))

Apologies: Allan Murray.

1. MINUTES

Resolved: to approve the minutes from the meeting of 28 November 2016.

2. MATTERS ARISING

(1) Action Log

The Committee considered a log of Committee actions ongoing from 2016/17. Members were content that the log offered a comprehensive record of outstanding actions and also noted progress updates where provided. The Committee decided that it would be useful to arrange a training session on the Business Transformation Programme directly before the meeting in May. In relation to the item on Health & Safety, the Committee noted the number of student incidents/accidents being reported. In response, the Secretary explained that, in contrast to other universities, the University of Dundee included sporting accidents in its data return, and that was likely to account for our performance in relation to the sector average. The Committee agreed that a report on actions taken in relation to the Health & Safety audit (January 2016) would be useful to the Committee, with particular reference to level of training completed and systems in place to monitor minor injuries.

- Resolved:**
- (i) to organise training on Business Transformation prior to the meeting in May;
 - (ii) to request a paper providing an update on actions taken to meet the recommendations of the internal audit carried out on Health & Safety; and
 - (iii) to otherwise approve the Audit Committee action log as presented.

(2) Sign off statutory accounts on the basis of finalised report from Ernst & Young

The Committee discussed the updated annual external audit report from Ernst & Young, and the decision taken by circulation to endorse the Reports and Financial Statements to Court for approval. Members noted that the revision to the E&Y report had arisen as a result of later than expected approval by Dundee Student Villages Ltd of its own accounts.

Committee members stressed the importance of the Committee having oversight of the audit timetable. Members suggested that this information could go alongside the internal audit plan at its May meeting.

Resolved: to note the update.

3. **CONVENER'S REPORT**

The Convener reported that he had met with the internal and external auditors since the last meeting and had attended the usual pre-meeting with officers. The Convener asked that officers ensure that matters discussed at the Audit Committee, (such as internal audit reports) which related to the business of other Committees of Court should be routinely considered by those committees.

Resolved: to note the update.

4. **INTERNAL AUDIT**

(1) Student experience – distance learning

The Committee reviewed the recently completed audit report on student experience (distance learning). The report contained one grade three and three grade 2 recommendations. The Director of Quality and Academic Standards stated that the report had been very useful and updated the Committee on the development of plans to respond to the recommendations in the report. In relation to specific recommendations, the Committee viewed a draft questionnaire comprising 'core questions' for use by all Schools so that consistent and comparable feedback could be gathered from across the University. Members noted that these questions could be supplemented by questions tailored to subject areas, to ensure that all appropriate feedback for each discipline could be captured. The Committee was also pleased to learn that meetings had already been arranged to address student representation for distance learning students.

Resolved: to note the update.

(2) Internal Audit Plan Progress Report 2016/17

The Internal Auditors provided the Committee with a report summarising the audit activity during the year to date. They stated that five reports would be provided at the Committee meeting in May, as a result of rescheduling the Business Transformation reviews. The University Secretary advised the Committee that the Business Transformation project was currently on track, but that the review on organisational readiness was about to commence now that the University-wide survey had been undertaken (paragraph 9.1 refers) and that the Project & Programme Governance review had been delayed in order to allow the audit to include the recently-established Stakeholder Group and Design Authority. Members noted that changes had been made to the scope for the review on financial systems, and that this would now focus on VAT and corporate tax.

Resolved: to note the update.

(3) Management follow-up of Internal Audit recommendations

The Committee received a report from the Assistant Policy Officer (Risk & Audit) which outlined the status of recommendations made by the internal auditors. The report focussed on recommendations for which the implementation date had passed. Members noted that the report had been provided to assure the Committee that officers were making progress in implementing the management responses to recommendations. This information would then be passed on to the internal auditors to inform their own annual review. Members observed that the completion of some recommendations was dependent on the implementation of the Business Transformation Programme.

Discussion focussed on whether the internal auditors needed to follow-up on all internal audit recommendations, or whether they should focus on grade 3/4 recommendations. Members agreed that it would be better to focus on higher level risks. Members felt that it would be useful for the Assistant Policy Officer and internal auditors to discuss how regularly management should provide updates to the Committee.

Resolved: to note the update.

5. **CYBERSECURITY**

The Director of IT provided the Committee with an overview of progress made against current internal audit objectives and proposals for future work in the area of cybersecurity. The Committee noted that IT budgets for Professional Services were to be controlled by the IT Directorate from 2017/18, and that it was planned that this would be rolled out to Schools for 2018/19. The Committee was interested to learn about precautions in place to prevent ransomware and controls such as patching and firewalls were also discussed. The Committee learnt that TechnologyOne had a contractual obligation to ensure that the software and hosting arrangements they provided to the University would remain secure.

Discussion focussed on the topics of password security and on ways to prevent phishing emails from obtaining passwords. The Director of IT informed the Committee that the current cybersecurity training would be refreshed to further engage users, and that this training would provide staff with information on how to prevent phishing attacks. It was noted that such training was beneficial to staff in terms of their personal as well as professional lives. The Committee believed that this training should be mandatory for all University staff.

Resolved: to recommend that cybersecurity training would become mandatory.

6. **RESERVED BUSINESS: RESEARCH MISCONDUCT**

The Committee viewed a paper from the Vice-Principal (Research, Knowledge Exchange and Wider Impact) and the Research Policy Manager providing a review of lessons learned from a recent investigation into research misconduct. The Committee considered that the University had handled the case well, and recognised the importance of the Whistleblowing Policy. Members learnt that the University was leading the field in providing training on research misconduct, with other institutions interested in purchasing the University's training programme. The Committee noted that there were several recommendations to be followed up as a result of the review, and it was agreed that officers would provide an update at the next meeting.

Resolved: to track the actions mentioned in the report.

7. **EQUALITY AND DIVERSITY**

The Committee viewed a paper from the Director of Human Resources and Organisational Development identifying the systems and procedures in place to promote equality and diversity.

Resolved: to note the update.

8. RISK MANAGEMENT

(1) RESERVED BUSINESS: Risk 12 [Failure or poor performance of subsidiary/associated companies]

The paper considered under this item was exempt from public disclosure. The University claimed the exemptions in S.30 and S.33(1)(b) of the Freedom of Information (Scotland) Act 2002. Members were therefore required to treat the discussion and associated paper as strictly confidential.

At the point at which the exemptions are deemed to no longer apply the Court will be advised and will be asked to note the release of the minute. Minute 8(1) of the Audit Committee of 28 February 2017, and the corresponding minute of the Court's discussions on 18 April 2017 will be included as an appendix to the minute of the meeting at which its release is approved.

(2) Deep dive discussion of risk

The Committee undertook detailed discussion and review of risk 11 [Unaffordability of pension deficit] and continued discussions on Risk 12 [Failure or poor performance of subsidiary/associated companies].

[Secretary's note: The Director of Academic & Corporate Governance, in his capacity as a Trustee of the University of Dundee Superannuation & Life Assurance Scheme (UoDSS), declared an interest in the item and absented himself during discussions].

Members acknowledged that as the Universities Superannuation Scheme (USS) was governed by a Board of Trustees independent of the University, only some risks could be directly controlled by the University under the scheme rules. Through discussion members indicated the importance of ensuring that both USS and the UoDSS were sustainable and that the business model was robust. Members also explored a number of other factors relevant to addressing risk 11 such as the work of the Pensions Sub-Group and the treatment of the liabilities in the accounts.

The Committee decided that it was content that the risk level as currently reported should remain unchanged and that until the UK-wide situation with USS was known, no further actions or controls were required.

In relation to Risk 12, the Committee explored the degree of reputational risk associated with Dundee University Nursery Ltd in terms of child protection and safeguarding. Members learnt that all members of staff at Dundee University Nursery had been vetted (through PVGs) and that training on child protection and safeguarding had been provided.

Resolved: to note the update.

(3) Kuwait Risk Assessment

The University Secretary provided the Committee with an updated risk assessment carried out by the Medical School in relation to an upcoming trip to Kuwait. This had been based on a reconsideration of the risk level for road traffic accidents and a change in the Foreign & Commonwealth Office (FCO) travel advice for Kuwait. Members were content that adequate controls were in place to meet the new risk levels and noted that University staff were under no obligation to travel and would be brought home from Kuwait if the situation deteriorated.

Resolved: to note the update.

9. BUSINESS TRANSFORMATION

(1) Business Transformation Survey

The Committee viewed a draft initial analysis of the outcomes of the Business Transformation readiness survey. Members noted that this would inform the audit shortly to be carried out by Scott-Moncrieff and that initial responses reflected where the University was in the process of communicating the upcoming changes. The secondment of a member of staff to take the data strategy forwards was welcomed by the Committee, alongside the decision to deploy resources to better embed a culture of continuous management and enhancement of data quality.

Members also discussed the Business Transformation Programme in relation to risks 4 and 5 of the risk register: 'failure to exploit the potential of the Business Transformation Programme to make savings and change business'; and 'failure to deliver Business Transformation Project within time and within budget' respectively.

Members noted that there was a robust process in place to identify risks with a monthly risk log in place and a risk register in development, and discussed the control processes in place for programme costs and benefits. Members learnt that savings targets relating to Business Transformation would be considered during the forward planning and budgeting process for the areas concerned.

Resolved: to note the update.

(2) Minutes from the Steering Committee meeting

The Committee noted the minutes from the meeting of the Business Transformation Steering Committee on 19 December 2016.

Resolved: to note the update.

10. APPROACH TO TRAC

The Committee reviewed the University's TRAC return for 2015/16. The Committee learnt that the TRAC Steering Committee (led by the Director of Finance and the Vice-Principal (Research, Knowledge Exchange and Wider Impact)) was confident in the process. Members considered the adjustments contained within the return and recognised the usefulness of the return, especially in relation to the breakdown by academic School.

The Committee considered the differences between the Teaching Allocation Survey (TAS), in which staff accounted for their time, and the development of a cross-University workload model. It was hoped that a consistent workload model would dispense with the need for the completion of the TAS.

Resolved: to confirm that the return had been prepared in accordance with the TRAC Statement of Requirements.

11. HEALTH, SAFETY & WELFARE SUB-COMMITTEE

The Committee considered the minutes from the meeting of the Health, Safety & Welfare Sub-Committee on 10 January 2017.

Resolved: to note the minutes.

12. STATEMENT OF RISK APPETITE

The Committee reviewed a statement of risk appetite from the Director of Legal, in response to the increasing activity in international collaborations at the University. The Committee discussed the

statement in relation to the associated financial and reputational risks arising from international collaborations. Members learnt that the Educational Partnerships Development Unit had a series of robust processes in place to manage and monitor international collaborations involving due diligence and business planning and benefits from the appointment of Associate Deans (International) and international administrative leads. Officers agreed that any significant changes in risk levels would be brought to the Committee's attention.

Resolved: to note the update.

13. **AUDIT COMMITTEE REVIEW OF EFFECTIVENESS**

The Committee considered a paper outlining proposals for an internal review of Audit Committee effectiveness, which, in line with sector-wide best practice, needed to be undertaken on a quinquennial basis. It was proposed that the review utilise the comparative checklist and questionnaire from the review carried out in 2012 to enable benchmarking and the identification of trends requiring to be addressed.

The Committee was pleased to note that recommendations from the 2012 review had overall been implemented successfully.

Resolved: to approve the proposed approach for the review of effectiveness.

14. **ANY OTHER BUSINESS**

(1) Lay Audit Committee Member vacancy

Members noted that there would be a vacancy on the Audit Committee as of 1 August 2017. Management provided the Committee with information on how the vacancy might be filled and the Committee reviewed a draft advertisement. Members learnt that this vacancy would be discussed at the meeting of the Governance & Nominations Committee on 24 March 2017 and it was agreed that it should be proposed to GNC that the Convener of Audit Committee should sit on the shortlisting and interview panel.

Resolved: to note the update.

15. **PRIVATE MEETING WITH OFFICERS**

The Auditors withdrew from the meeting at this point so that the Committee could speak in private with officers. No issues were raised.

16. **PRIVATE MEETING WITH INTERNAL AND EXTERNAL AUDITORS**

Officers withdrew from the meeting at this point so that the Committee could speak in private with the internal and external auditors. No issues were raised that had not been discussed during the meeting.

The Internal and External Auditors both indicated that the relationship with the University continued to be positive and no issues were raised.

17. **THANKS**

The Committee thanked Sandra Morrison-Low for her contributions and wished her well for the future, noting that it was her last meeting as a lay member of the Audit Committee.

18. **DATE OF NEXT MEETING**

Resolved: the next meeting would be held on Wednesday 17 May 2017.

APPENDIX 5

COMMUNICATION FROM THE SENATUS ACADEMICUS (Minute 77)

1. CHAIR OF UNIVERSITY COURT

The Principal welcomed Ronnie Bowie (Chair of University Court) and noted that he had been invited to observe the meeting in order to facilitate a greater understanding of the work of Senate.

The Chair of Court took the opportunity to praise the work of staff in the University, particularly in the context of the impact of decisions taken by the University Court in recent times. He emphasised that the Court was well served by the contributions of those members of Senate and Staff Council elected to serve on the governing body but that he had wanted to expand his understanding of the role of Senate and gain a clearer picture of the academic life of the University.

Mr Bowie sought to reassure Senate that the main focus of Court was not drawn to financial matters for their own sake but always in the context of enabling sustainable support for excellence in teaching, research and the student experience. He acknowledged that difficult financial circumstances had placed a considerable burden on academic staff and while it was likely that these pressures would continue to be felt he had sensed a change of mood in response to the continued success of the University and that there was much to be optimistic about.

In response to a question the Chair of Court explained that roughly half of the Court members were from outwith academia and that while these members' motivations and expectations reflected different business and public sector backgrounds there was much common ground in terms of the priorities and ambitions for the University.

2. PRINCIPAL'S REPORT

The Senatus received a report from the Principal on issues arising from the most recent meetings of the University Executive Group (UEG).

The Principal introduced his report by emphasising that the University strategy development process had been designed to be as inclusive as possible and that staff would be given the opportunity to receive feedback from the consultation process before a draft of the Strategy document was prepared for submission to the 18 April meeting of University Court.

The Principal noted that there were indications of increased levels of international student applications for entry in 2017/18. He emphasised that it was important to maintain and build on the growth in applications and conversion rates in order to support the University's financial sustainability.

The Principal also drew attention to the results of the DUSA elections and congratulated those candidates elected to the Executive, SRC and School President positions.

Senate received the Terms of Reference of the Senate Effectiveness Review for approval and members were asked to note the plans to co-opt a lay member of Court and an external "critical friend" to the Review Group, the timetable for the review and the specific areas and issues that the Review would focus on. Senate also noted plans to provide an update of progress to the next meeting and to report the findings of the Review to the first meeting of Senate in AY 2017/18.

The Senatus decided:

- (i) to approve the Senate Effectiveness Review Terms of Reference; and
- (ii) to note the report.

3. UNIVERSITY COURT

The Senatus received a communication from the Court meeting held on 14 February 2017.

In response to a question, the Principal agreed to circulate the Court paper discussing the impact of the UK's exit from the European Union (EU) ("Brexit") on the University. He welcomed any feedback from members on the issues raised in the paper and reiterated that support for staff and students from other European countries who would be affected by Brexit was a continuing priority for the University.

The Principal also confirmed that access to EU research funding would continue for UK universities up to the point of exit although he acknowledged the difficulties involved given that most funding was dependent on very close collaboration with other EU-based universities. The Principal agreed to discuss the possible need for an action group to be formed with the UEG.

The Senatus decided:

- (i) to ask that the Court Paper on Brexit is circulated to members for information; and
- (ii) to note the report.

4. UNIVERSITY OF DUNDEE SCHOOL OF BUSINESS

Professor Kevin Grant (Director, University of Dundee School of Business) gave a presentation on the development of the University of Dundee School of Business and outlined its future plans to provide a unique and high quality academic offering. He explained that an important goal for the School would be to gain international business school accreditation (i.e. Association to Advance Collegiate Schools of Business (AACSB) and the European Quality Improvement System (EQUIS)) but that initial work would focus on brand, market analysis, growth and development.

Professor Grant emphasised that the School would develop its own unique approach to curriculum and team development to meet both the present and future needs of students and business. He explained that interdisciplinary research-led programmes would be designed to offer real-world relevance, help to create the leaders of tomorrow and support socially-responsible business growth.

On the question of creating more diversity in business leadership, Professor Grant agreed that a focus on sustainability, social responsibility and business ethics would help deliver diversity and inclusion. He agreed that cross-discipline developments would also add value and make the most of the considerable research talents in the School and across the University. Senate noted that joint and dual degree programmes, many with an international element were under consideration.

Members of Senate agreed that a focus on innovation, knowledge transfer and industry engagement could all help provide the reach and richness that the School was seeking to develop.

The Principal thanked Professor Grant for his presentation and noted that although the University had been behind the market in terms of a business school offering it was clear that the passion and enthusiasm behind the most recent developments would enable the University to make excellent progress in this area.

The Senatus decided: to note the report.

5. INTERNATIONAL COLLEGE DUNDEE

Senate received a report on the development of International College Dundee (ICD) and noted that the College was preparing to welcome its first intake of students in June 2017.

Members also noted that the programmes offered by the College would complement rather than compete with the University's existing programmes. Senate recognised the success of the University's current pre-sessional English language programmes and welcomed the news that staff delivering these

programmes had recently been established on a permanent basis and would not be displaced by the additional provision needed to support ICD students.

Thomas Veit (Director of External Relations) reported the recent appointment of Dr Tanya Halldorsdottir as the College Director and noted that there were positive signs emerging on the possible size of the first intake of students.

Wendy Alexander (Vice-Principal Internationalisation) reported that the ICD initiative would provide a substantial boost to international undergraduate student numbers and explained that a similar boost to international postgraduate student numbers might also be possible if the University developed high quality taught postgraduate programmes that articulated with the masters level programme in ICD.

The Vice-Principal also commended the planned improvements in the University's relationship with recruitment agents both in terms of the access to agent networks that had been expanded by the ICD partnership with Oxford International Group (OIG) and the University's own plans for a much smaller but deeper set of relationships with agents.

Members of Senate discussed issues relating to English language competency levels, the potential for increasing the numbers of international research students by encouraging articulation of taught postgraduates into research degree programmes and plans for developing an international student hub on campus.

Student mobility issues were also raised and members noted that the relatively low numbers of study abroad and outgoing Erasmus students had been explored by a Working Group. Members asked for details to be circulated, for information.

- The Senatus decided:**
- (i) to ask that details of the Student Exchange Working Group are circulated to members, for information; and
 - (ii) to note the report.

6. GRADUATE LEVEL APPRENTICESHIPS

Dr Karen Petrie (School of Science & Engineering) gave a presentation on Graduate Level Apprenticeships (GLAs) and outlined the University's participation in the initial phase of their introduction to Scotland in 2017.

Dr Petrie explained that the apprenticeships implemented a work-based learning model that would open up an additional route to degree level study for a number of different student groups. Senate noted their applicability to those already in work but in need of professional and advanced skills development and also to those returning to work after a career break.

Dr Petrie set out how the degrees would operate at the University and explained that students would attend the University for one day per week for 46 weeks and would build a portfolio of assessed work linked to their employment.

Senate noted that the University had been awarded funding of £2 million by Skills Development Scotland (SDS) to develop the programme and that the first intake of 20 Computing and Engineering based students was planned for September 2017.

Dr Petrie acknowledged that the programme depended on good engagement with local employers and that efforts to recruit industrial, commercial and public sector partners had been an initial priority. She explained that the benefits to businesses in terms of attracting and retaining skilled employees were becoming clear and that the model was attractive to both employers and potential students. Senate noted that students following the GLA route would be fully matriculated University of Dundee students for the duration of their studies.

Senate also noted that the funding from SDS had helped to establish six new posts in the University to support and deliver the programme. Members were asked to consider ways in which their Schools might respond to any future expansion of the Scheme.

Professor Karl Leydecker (Vice-Principal Learning & Teaching) commended the programme to Senate and emphasised that the University was leading the way in the development of GLAs and had been awarded 70 of the initial 379 places available across the sector. He also highlighted the close fit between the aims of the scheme and the University's own strategic direction.

The Vice-Principal explained that funding of GLAs represented a new stream of funding and that students recruited to the programme were in addition to the Scottish Funding Council (SFC) funded places. He reiterated his request for members to consider future opportunities to enhance and expand provision in this area at both undergraduate and postgraduate level.

Members agreed that the opportunities for further development would need to be carefully considered by Schools, especially when research partnerships with industry already existed.

In response to a question Dr Petrie confirmed that the costs of the programme were met by the Scottish Government and by the students' employers who would continue to pay salary during the course of study.

Senate also discussed the need for students to be properly supported and integrated during their studies to ensure the quality of the student experience. Dr Petrie explained that a dedicated Support Officer role would help ensure the students had access to the necessary resources, drawing on the experience of those Schools with work-based learning programmes. She also explained that the programme would be cohort-based with peer and group learning and that assessment would focus on project and portfolio building.

Members discussed the need to ensure that future opportunities were properly resourced and that Schools avoided costly bespoke solutions that might become a drag on teaching efficiency.

Senate acknowledged the opportunities that the project offered and agreed on the importance of developing contacts and interactions with industry and employers for the project's success.

- The Senatus decided:**
- (i) to thank Dr Petrie and her team and congratulate them on their success in developing Graduate Level Apprenticeships at the University; and
 - (ii) to note the report.

7. **ORDINANCE 18: ELECTIONS TO SENATE & COURT**

Dr Neale Laker (Director of Academic & Corporate Governance) introduced a paper on scheduled elections to Court and Senate and amendments to Ordinance 18.

Senate noted that University restructuring in 2015, the decision to replace Academic Council with a Staff Council and the Higher Education Governance (Scotland) Act 2016 had required a number of changes to Charter, Statute and Ordinance. Senate welcomed the news that Privy Council approval of these changes was expected in April 2017 and noted the commencement details set out in the Appendix to the Report from University Court.

Senate discussed the need to re-elect members from Schools to allow for both rotation and continuity. Senate was asked to consider the method of selecting which of the School elected members would demit office. After lengthy discussions Senate decided (11 votes to 10 votes) to approve the recommendation that each trio of School-elected members would decide themselves which of their positions would be vacated at the end of the academic year; and where this was not possible the University Secretary would draw lots.

In response to a question, the Director confirmed that two members of Staff Council would be elected to serve on the University Court in addition to the Trades Union nominated staff members and that neither of the two positions would be reserved to a particular category of staff i.e. that the positions would be open to all Staff Council members whatever their role in the University.

The Senatus decided:

- (i) to approve the recommendations on elections to Senate & Court in the Report; and
- (ii) that subject to the further concurrence of Court, to amend Ordinance 18 replacing Academic Council with Staff Council throughout (annex).

8. **QUALITY & ACADEMIC STANDARDS COMMITTEE**

The Senatus received a Report from the Quality & Academic Standards Committee meeting of 6 February 2017.

The Senatus decided: to approve the report.

9. **INTERNATIONALISATION COMMITTEE**

The Senatus received a Report from the Internationalisation Committee meeting of 28 February 2017.

Wendy Alexander (Vice-Principal (Internationalisation)) introduced the Report and highlighted the invitation to Schools to develop International Incorporated Masters routes from International College Dundee (ICD) into taught postgraduate level studies at the University. Schools were asked to communicate expressions of interest in such developments with Professor Davidson, Director of ICD in the first instance.

The Senatus decided: to approve the report.

10. **RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE**

The Senatus received a Report from the Research and Knowledge Exchange Committee meeting of 2 March 2017.

Professor Tim Newman (Vice-Principal (Research)) introduced the the Report and highlighted the Committee's discussions on the Research Excellence Framework (REF) consultation coordinated by the Higher Education Funding Council in England (HEFCE).

The Vice-Principal explained that the University's response reflected concerns that were widely felt across the UK higher education sector. He reported that many had agreed in principle with the Stern Report's recommendations but had concluded that some of the changes to REF methodology would be difficult and in some cases impossible, to implement in full.

In response to a question the Vice-Principal advised that HEFCE would give an indication of the approach to be taken in the next REF by late summer 2017 and that full guidelines would be published in the spring of 2018.

Senate agreed that the University needed to develop a strategic position broadly in line with the spirit of the Stern Report's recommendations rather than attempt to devise tactical approaches.

Senate also discussed the launch of an initiative to support interdisciplinary research activity in the University, provisionally called the Dundee Interdisciplinary Forum. The Vice-Principal noted that the Forum would meet on a monthly basis at first and would support events linked to interdisciplinary research, teaching and professional practice. Members welcomed the invitation to help shape how the Forum could build momentum on interdisciplinary research at the University.

- The Senatus decided:**
- (i) to schedule a full discussion on the next REF at the first meeting of Senate in AY 2017-18; and
 - (ii) to approve the report.

11. LEARNING & TEACHING COMMITTEE

The Senatus received a report from the Learning & Teaching Committee meeting of 6 March 2017, the Learning & Teaching Strategy KPI Report and the amended Library Regulations (for approval).

Professor Karl Leydecker (Vice-Principal (Learning & Teaching)) introduced the Committee report and the Learning & Teaching Strategy Performance Indicator report and outlined the progress made in relation to the targets in the University's Strategic Plan.

The Vice-Principal highlighted the sustained improvements in National Student Survey (NSS) scores, excellent retention rates and rising student attainment indicated by an increase in the rates of first class and upper second class honours degrees awarded each year in most subject areas. Members noted that there appeared to be some big differences at School level that was only partially explained by the unclassified honours degrees awarded in clinical subjects.

Members also expressed concern over grade inflation pressures and noted that the issue was under review at a national level by HEFCE. The Vice-Principal agreed to circulate details of this review to members.

Senate noted that the improvements in retaining students had been achieved at the same time as the University's significant success in wider access initiatives. Members also welcomed the increased focus on distance learning provision.

The Vice-Principal explained that although the success rates for Teaching & Scholarship (T&S) promotions had fallen compared to Teaching & Research contract staff there had been significant progress over the past three years and that the University Executive Group would review the issues involved. Members suggested that T&S staff might be offered more support in their preparation for the promotions process. Senate noted that the Remuneration Committee of Court had implemented consistent processes for pay award decisions and that a similar approach to promotion processes might improve success rates for teaching staff.

Senate also noted that the University's recent performance on entry qualifications had been influenced by an increase in contextual admissions. Members agreed that any apparent conflict between contextual admissions and the perceived benefit of higher entry requirements might be resolved by reference to the University's values and core purpose of transforming lives.

- The Senatus decided:**
- (i) to approve the Library Regulations; and
 - (ii) to approve the report.

12. SUMMARY REPORTS OF SCHOOL BOARDS

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

The Senatus decided: to approve the report.

13. ORDINANCE 45 (ELECTION OF MEMBER OF COURT BY THE NON-TEACHING STAFF)

The Senatus decided: subject to the further concurrence of Court, to revoke Ordinance 45.

14. **DUSA ELECTION RESULTS 2017**

To note the results of the DUSA Elections March 2017:

DUSA Executive (from 1 July 2017):

President: Sean O'Connor

Vice President of Academia: Ellen Brooks

Vice President of Communications and Campaigns: Ana Ranceva

Vice President of Student Activities: Sofia Skevofylaka

Vice President of Representation: Alex Muir

Vice President of Student Welfare: Caroline Goodliffe

Vice President of Engagement: Toni McKinney

Vice President of Fundraising: Ezichi Kerstin Ekpe

SRC Chairperson: Matilda Sherwood

(starting with the new SRC in September/October 2017)

School Presidents:

Social Sciences: **Mark Pelosi**

Art & Design: **Charlie Kleboe-Rogers** (second term)

Nursing and Health Sciences: **Gary Jordan**

Dentistry: **Emma Ward**

Education and Social Work: **Lauren Duncan**

Science and Engineering: **Joely Nicol**

Humanities: **Julia Holderer**

Life Sciences: **Yasmin Odabashy**

15. **ACADEMIC CALENDAR 2016-17**

To note the Draft Academic Calendar for 2017-18 and Semester 1 2018-19 (annex b)

16. **PROFESSORES EMERITI**

The Senatus decided: subject to the concurrence of Court, to confer the title of Professor Emeritus upon the following:

Professor Colin Watts (effective 30 June 2017)

Professor Nicholas Davey (effective 1 August 2017)

Ordinance 18 - Election of Members of the Court and the Senatus

- 1 The election of the members of the Court elected by the Senatus (Statute 9(1)(g)) shall take place in the second semester to enable, whenever possible, an announcement of the successful candidates to be made at the latest by the last Court meeting of the academic year in which an election falls due. Their periods of office shall be four years from the first day of August immediately following their election. They shall be eligible for re-election, but shall not hold office continuously for a longer period than eight years. A member of the Court elected by the Senatus who ceases for any reason to be a member of the Senatus shall simultaneously cease to be a member of the Court.
- 2 The election of the members of the Court elected by the ~~Academic Staff~~ Council (Statute 9(1)(h)(~~h~~)) and the members of the Senatus elected by the ~~Academic Staff~~ Council (Statute 10(1)(d)) and by the Schools (Statute 10(1)(h)) shall take place in the second semester in accordance with the Regulations made by the Senatus after consultation with the ~~Academic Staff~~ Council. The period of office of those elected shall be four years from the first day of August immediately following their election. They shall be eligible for re-election but the Members of Court and the Senatus elected by the ~~Academic Staff~~ Council shall not hold office continuously for a longer period than eight years.
- 3 In elections to Court from either the ~~Academic Staff~~ Council or the Senatus, candidates may not serve for more than eight years continuously in either category or in a combination of both.
- 4 If for any reason the elections described in sections 1 and 2 cannot be held in the second semester or, having been held, are declared to be invalid, then elections shall take place in the next semester as soon as possible. In the case of the members elected by the ~~Academic Staff~~ Council and by the Schools the elections shall be as far as possible in accordance with the procedure prescribed in Section 2. The periods of office of the members previously elected and due to demit office shall be extended until the deferred elections have taken place. The periods of office of members elected in deferred elections shall be four years from the first day of August immediately following the second semester in which the elections should have taken place.
- 5 Elections to casual vacancies among members of the Court and the Senatus elected in accordance with the preceding Sections shall take place within a semester as soon as possible after the date when the vacancy occurs. In the case of the members elected by the ~~Academic Staff~~ Council and by the Schools the election shall be in accordance with the procedure prescribed in Section 2.
- 6
 - (1) In elections of members of the Court and of the members of the Senatus elected by the ~~Academic Staff~~ Council the Secretary shall act as Returning Officer and shall be responsible for keeping the Electoral Roll. The Secretary shall fix the dates of the elections and shall determine the manner of election, provided that in doing so all members of staff eligible to vote are given the opportunity to vote in accordance with the provisions of this Ordinance. If for any reason the Secretary is unable to act, the Principal shall appoint a substitute.
 - (2) In elections by Schools to membership of the Senatus, the School Manager shall act as Returning Officer and shall be responsible for keeping the Electoral Roll. The School Manager shall fix the dates of the elections and shall determine the manner of election, provided that in doing so all members of staff eligible to vote are given the opportunity to vote in accordance with the provisions of this Ordinance. If for any reason the School Manager is unable to act, the Dean shall appoint a substitute.
- 7 Each School shall elect three members of staff from among its professors, readers, senior lecturers and lecturers to serve as members of the Senatus. At least one, but no more than two, must be a professor. For each election, candidate eligibility among academic staff groups will be determined on the basis of the balance of existing School members on the Senatus. For example, where an election falls due for one School member on the Senatus and the two sitting members are professors, eligibility will be restricted to readers, senior lecturers and lecturers, and *vice versa*.

Academic Calendar 2017-18

MONTH			MEETING	START TIME	WEEK
JULY	2017				
3	MON		Resit Examinations begin		
		C	Welfare & Ethical Use of Animals Committee	2pm	
7	FRI		Last Day of Resit Examinations		
12	WED		VLE Planned Maintenance (12 to 18 July 2017)		
21	FRI		Last day for announcement of results & Issue of Termination Letters		
24	MON		Trades Holiday (Dundee Holiday)		
25	TUES		Professional Services Group	10am	
AUGUST	2017				
9	WED		Culture & Arts Committee	9.30am	
			Space Management Group	3pm	
11	FRI		Last day for lodging Appeals		
14	MON	C	Finance & Policy Committee	2pm	
18	FRI		First issue of Termination of Studies (Appeals) Committee agenda		
19	SAT		Masters Degree Show (19 to 26 August 2017)		
22	TUE		Professional Services Group	10am	
			Learning & Teaching Spaces Sub-Committee	2.30pm	
24	THU		Senate ToS (Appeals) Committee	9.15am	
25	FRI		Information Management Committee	11am	
29	TUE		International Deans Operational Committee	9.30am	
			Equality & Diversity Committee	1pm	
SEPTEMBER	2017				
4	MON		Welcome Week		Week 0
5	TUE	C	Health & Safety Sub-Committee	10am	0
7	THU	C	Court Retreat	Starts 4pm	0

MONTH			MEETING	START TIME	WEEK
8	FRI		Last day for Matriculation		0
		C	Court Retreat	Ends 4pm	
11	MON		Semester 1 begins		Week 1
12	TUE	S	University Research Ethics Committee	2pm	1
13	WED		University Opening Service	12.30pm	1
14	THU		Union Local Joint Committee	9am	1
		S	Employability & Enterprise Committee	2pm	
15	FRI	S	Research Degrees Sub-Committee	10am	1
18	MON		Quality & Academic Standards Committee	10am	Week 2
19	TUE	S	Internationalisation Committee	9am	2
		S	Research & Knowledge Exchange Committee	2pm	
		C	Audit Committee	2pm	
		S	Senate Business Committee	4.30pm	
20	WED		Professional Services Group	2pm	2
25	MON		School Boards in Week 3		Week 3
		S	Learning & Teaching Committee	11am	
			School Board (Dentistry)	12.45pm	
26	TUE		Distance Learning Forum	2pm	3
			School Board (Medicine)	2pm	
			School Board (Life Sciences)	3.30pm	
27	WED		School Board (DJCAD)	9.30am	3
		C	People and Organisational Development Committee	10am	
			School Board (Nursing and Health Sciences)	12.30pm	
			School Board (Humanities)	1pm	
			School Board (Science & Engineering)	2pm	
			School Board (Social Sciences)	2pm	
OCTOBER	2017				
2	MON		Dundee Autumn Holiday		Week 4

MONTH			MEETING	START TIME	WEEK
		C	Governance & Nominations Committee	10am	
		C	Finance & Policy Committee	2pm	
3	TUE	S	Student Recruitment & Admissions Committee	10am	4
4	WED		Readership & Personal Chairs Committee		4
		C	Welfare & Ethical use of Animals Committee	2pm	
9	MON				Week 5
11	WED	S	Senate	2pm	5
16	MON				Week 6
23	MON		Court	2pm	Week 7
24	TUE		Professional Services Group	10am	7
			Research Governance & Policy Sub-Committee	2pm	
25	WED		International Deans Operational Committee	9.30am	7
			NSS Forum	2pm	
26	THU	S	Quality & Academic Standards Committee	10am	7
27	FRI	S	Research Degrees Sub-Committee	10am	7
			Information Management Committee	11am	
30	MON				Week 8
31	TUE	S	Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures	10am	8
			Staff Council Standing Committee	1pm	
			Learning & Teaching Spaces Sub-Committee	2pm	
NOVEMBER	2017				
1	WED		School of Nursing & Health Sciences Planning Meeting	2pm	8
2	THU	S	Employability & Enterprise Committee	2pm	8
6	MON		School Boards in Week 9		Week 9
7	TUE	S	Internationalisation Committee	9am	9
			School Board (Dentistry)	12.45pm	
			Space Management Group	3pm	
			School Board (Life Sciences)	3.30pm	
8	WED	S	Honorary Degrees Committee	10am	
8	WED		School Board (DJCAD)	9.30am	9

MONTH			MEETING	START TIME	WEEK
			School Board (Nursing and Health Sciences)	12.30pm	
			School Board (Humanities)	1pm	
			School Board (Medicine)	2pm	
			School Board (Science & Engineering)	2pm	
			School Board (Social Sciences)	2pm	
			Directorate group for Corporate Infrastructure Planning Meeting	3pm	
9	THU	S	Senate Business Committee	9am	
			School of Education & Social Work Planning Meeting	10am	9
			School of Humanities Planning Meeting	2pm	
10	FRI		Directorate group for Student Experience – Planning Meeting	10am	9
13	MON	C	Governance & Nominations Committee	10am	Week 10
		C	Finance & Policy Committee	2pm	
14	TUE	S	Learning & Teaching Committee	10am	10
			Staff Council – Principal’s Question Time	1pm	
15	WED		Graduation		10
		S	School of Life Sciences Planning Meeting	2pm	
16	THU	S	Graduation		10
17	FRI	S	Graduation		10
20	MON	C	People & Organisational Development Committee	2pm	
21	TUE		Professional Services Group	10am	11
		S	Research & Knowledge Exchange Committee	2pm	
22	WED	C	Endowments Sub-Committee	10.30am	11
			School of Art & Design Planning Meeting	11am	
			School of Social Sciences Planning Meeting	2pm	
23	THU		School of Dentistry Planning Meeting	9am	11
			School of Science & Engineering Planning Meeting	2pm	
25	SAT		Graduates’ Association Business Meeting	10.00am	11
27	MON	C	Remuneration Committee	9.30am	Week 12
		C	Audit Committee	2pm	
29	WED		Culture & Arts Committee	9.30am	12

MONTH			MEETING	START TIME	WEEK
		S	Senate	2pm	
30	THU		Directorate Group for Income Generation Planning Meeting	10am	12
			Distance Learning Forum	2pm	
DECEMBER	2017				
4	MON		Semester 1 Examination begin		Week 13
5	TUE		Quality & Academic Standards Committee	10am	13
			Readership & Personal Chairs Committee	2pm	13
8	FRI		School of Medicine Planning Meeting	9am	13
10	SUN		University Carol Service	5pm	13
11	MON		Complaints Session Workshop	10am	Week 14
		C	Court	2pm	
12	TUE		Professional Services Group	10am	14
		S	University Research Ethics Committee	2pm	14
			Museum Advisory Committee	2.30pm	
14	THU		International Deans Operational Committee	9.30am	
15	FRI		Information Management Committee	11am	14
			Semester 1 Examinations end		
			End of Semester 1		
18	MON				VACATION
22	FRI		University Closed after business until start of business on 3 January 2018		
JANUARY	2018				
3	WED		Start of Business		
8	MON		Welcome Week – January intake		
9	TUE	S	Senate Business Committee	9am	
11	THU		Discovery Day		
12	FRI		Discovery Day		
15	MON		School Boards in Week 15		Week 15
			Start of Semester 2		
		C	Union Local Joint Committee	10am	

MONTH			MEETING	START TIME	WEEK
			Equality & Diversity Committee	3pm	
16	TUE	S	Student Recruitment & Admissions Committee	10am	15
17	WED		School Board (DJCAD)	9.30am	15
			School Board (Nursing and Health Sciences)	12.30pm	
			School Board (Dentistry)	12.45pm	
			School Board (Humanities)	1pm	
			School Board (Science & Engineering)	2pm	
			School Board (Social Sciences)	2pm	
		C	Health & Safety Sub-Committee	2pm	
18	THU		University Management Group	10am	15
		S	Learning & Teaching Committee	2pm	
		C	Welfare & Ethical use of Animals Committee	2pm	
22	MON				Week 16
23	TUE		Professional Services Group	10am	16
24	WED	S	Research Governance & Policy Sub-Committee	2pm	16
29	MON				Week 17
30	TUE	C	Finance & Policy Committee	2pm	Week 17
31	WED	S	Senate	2pm	17
FEBRUARY	2018				
1	THU		Endowments Sub-Committee	10.30am	17
		C	People and Organisational Development Committee	2pm	
		S	Employability & Enterprise Committee	2pm	17
2	FRI		Information Management Committee	11am	17
5	MON		Staff Council Standing Committee	1pm	Week 18
6	TUE		International Deans Operational Committee	9.30am	18
		S	Quality & Academic Standards Committee	10am	
			Learning & Teaching Spaces Sub-Committee	2.30pm	

MONTH			MEETING	START TIME	WEEK
12	MON				Week 19
14	WED		Culture & Arts Committee	9.30am	19
19	MON				Week 20
20	TUE	C	Court	2pm	20
21	WED		Professional Services Group	2pm	20
		S	Research Degrees Sub-Committee	2pm	
26	MON				Week 21
27	TUE	S	Internationalisation Committee	9am	21
			Space Management Group	2pm	
28	WED		Staff Council – Principal’s Question Time	1pm	21
MARCH	2018				
1	THU	S	Research & Knowledge Exchange Committee	2pm	21
5	MON		School Boards in Week 22		Week 22
		S	Senate Business Committee	4pm	
		S	Learning & Teaching Committee	10am	22
6	TUE	C	Audit Committee	2pm	22
			Distance Learning Forum	2pm	
7	WED		School Board (DJCAD)	9.30am	22
			School Board (Nursing and Health Sciences)	12.30pm	
			School Board (Humanities)	1pm	
			School Board (Science & Engineering)	2pm	
			School Board (Social Sciences)	2pm	
8	THU		School Board (Dentistry)	12.45pm	22
12	MON				Week 23
13	TUE		Learning & Teaching Development Forum	2pm	23
14	WED	S	University Research Ethics Committee	2pm	23
15	THU		University Management Group	9.30am	23

MONTH			MEETING	START TIME	WEEK
	MON				Week 24
20	TUE		Professional Services Group	10am	24
		S	Student Recruitment & Admissions Committee	2pm	
21	WED	S	Senate	2pm	24
26	MON	S	Quality & Academic Standards Committee	10am	Week 25
27	TUE	C	Governance & Nominations Committee	10am	25
		C	Finance & Policy Committee	2pm	
30	FRI		End of Teaching		25
			Good Friday		
APRIL	2018				
2	MON		Spring Holiday (Dundee Holiday)		VACATION
3	TUE		Staff Council -Standing Committee	1pm	
9	MON				
10	TUE		International Deans Operational Committee	9.30am	
11	WED		Welfare & Ethical Use of Animals Committee	2pm	
16	MON				
17	TUE	S	Research Governance & Policy Sub-Committee	2pm	
18	WED	C	Endowments Sub-Committee	10.30am	
			Equality & Diversity Committee	2pm	
19	THU		Complaints Session Workshop	10am	
		S	Employability & Enterprise Committee	2pm	
20	FRI		Information Management Committee	11am	
23	MON		Start of Semester 2 Examinations		Week 26
			Staff Council – Principal’s Question Time	1pm	
24	TUE	C	Court	2pm	26
25	WED		Professional Services Group	2pm	26
26	THU	S	Research Degrees Sub-Committee	2pm	26

MONTH			MEETING	START TIME	WEEK
27	FRI		Union Local Joint Committee	9am	26
30	MON				Week 27
MAY	2018				
1	TUE	C	Health & Safety Sub-Committee	2pm	27
2	WED		Readership & Personal Chairs Committee	2pm	27
3	THU		School of Education & Social Work Planning Meeting	11am	27
			Distance Learning Forum	2pm	
		S	Research & Knowledge Exchange Committee	2pm	
4	FRI		School of Dentistry Planning Meeting	9am	27
			School of Art & Design Planning Meeting	1pm	
7	MON		May Day (Dundee Holiday)		Week 28
			School Boards in Week 28		
8	TUE	S	Learning & Teaching Committee	10am	28
		S	Internationalisation Committee	2pm	
9	WED		School Board (Nursing and Health Sciences)	12.30pm	28
			School Board (Humanities)	1pm	
			School Board (Science & Engineering)	2pm	
			School Board (Social Sciences)	2pm	
			School of Life Sciences Planning Meeting	2pm	
10	THU	S	Senate Business Committee	9am	28
		S	Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures	10am	
			School of Medicine Planning Meeting	11am	
11	FRI		School of Nursing & Health Sciences Planning Meeting	9am	28
			School Board (Dentistry)	12.45pm	
			School of Science & Engineering Planning Meeting	2pm	
12	SAT		Graduates' Association Business Meeting	10am	28

MONTH			MEETING	START TIME	WEEK
14	MON		Directorate group for Corporate Infrastructure Planning Meeting	2pm	Week 29
15	TUE	S	Student Recruitment & Admissions Committee	10am	29
		C	Governance & Nominations Committee	10am	29
		C	Finance & Policy Committee	2pm	
16	WED		Directorate group for Student Experience – Planning Meeting	2pm	29
17	THU		School of Humanities Planning Meeting	11am	29
			Learning & Teaching Development Forum	2pm	
18	FRI		Degree Show		29
21	MON		Directorate group for Income Generation – Planning meeting	2pm	Week 30
22	TUE		Professional Services Group	10am	30
		C	Audit Committee	2pm	30
23	WED	S	Culture & Arts Committee	9.30am	30
			Senate	2pm	
24	THU	S	Quality & Academic Standards Committee	10am	30
		C	People and Organisational Development Committee	2pm	
25	FRI		End of Semester 2 Examinations		30
			End of Semester 2		
			School of Social Science Sciences Planning Meeting	1pm	30
28	MON		Victoria Day (Dundee Holiday)		VACATION
29	TUE		University Management Group	9.30am	
30	WED		Space Management Group	2pm	
JUNE	2018				
11	MON	C	Court	3pm	
12	TUE		Museum Advisory Committee	3pm	
19	TUE		Graduation		
20	WED		Graduation		
21	THU		Graduation		

MONTH			MEETING	START TIME	WEEK
22	FRI		Graduation		
26	TUE		Professional Services Group	10am	
27	WED	S	Quality & Academic Standards Committee	10am	
			Readership & Personal Chairs Committee	2pm	
29	FRI		Information Management Committee	11am	
JULY	2018				
6	FRI		Last day of resit examinations		
11	WED	C	Welfare & Ethical use of Animals Committee		
20	FRI		Last day for announcement of results/issue of Termination Letters		
24	TUE		Professional Services Group	10am	
AUGUST	2018				
8	WED		Culture & Arts Committee	9.30am	
			Space Management Group	3pm	
10	FRI		Last day for lodging Appeals		
14	TUE	C	Finance & Policy Committee*	2pm	
17	FRI		First issue of Termination of Studies (Appeals) Committee agenda		
			Masters Degree Show		
21	TUE		Professional Services Group	10am	
			Learning & Teaching Spaces Sub-Committee	2.30pm	
23	THU		Senate ToS (Appeals) Committee	9.15am	
24	FRI		Information Management Committee	11am	
28	TUE		International Deans Operational Committee	9.30am	
			Equality & Diversity Committee	1pm	
SEPTEMBER	2018				
3	MON		Welcome Week		Week 0
4	TUE	C	Health & Safety Sub-Committee*	10am	0
6	THU	C	Court Retreat*	Starts 4pm	0

MONTH			MEETING	START TIME	WEEK
7	FRI		Last day for Matriculation		0
		C	Court Retreat*	Ends 4pm	
10	MON		Semester 1 begins		Week 1
11	TUE	S	Quality & Academic Standards Committee	10.00am	1
			University Research Ethics Committee	2pm	
13	THU		Union Local Joint Committee*	9am	1
		S	Employability & Enterprise Committee	2pm	
18	TUE	S	Internationalisation Committee	9am	2
		S	Research & Knowledge Exchange Committee	2pm	
		C	Audit Committee*	2pm	
19	WED		Professional Services Group	2pm	2
24	MON		School Boards in Week 3		Week 3
			School Board (Dentistry)	12.45pm	
		S	Senate Business Committee	4pm	
25	TUE	S	Learning & Teaching Committee	10am	3
27	THU	C	People and Organisational Development Committee*	2pm	3
OCTOBER	2018				
1	MON		Dundee Autumn Holiday		Week 4
2	TUE	S	Student Recruitment & Admissions Committee	10am	4
		C	Governance & Nominations Committee*	10am	
		C	Finance & Policy Committee*	2pm	
3	WED		Readership & Personal Chairs Committee	2pm	4
		C	Welfare & Ethical use of Animals Committee	2pm	
8	MON				Week 5
10	WED	S	Senate	2pm	5
15	MON				Week 6
16	TUE		International Deans Operational Committee	9.30am	6
22	MON	S	Quality & Academic Standards Committee	10am	Week 7
			Court*	2pm	

MONTH			MEETING	START TIME	WEEK
23	TUE		Professional Services Group	10am	7
		S	Research Governance & Policy Sub-Committee	2pm	
26	FRI		Information Management Committee	11am	7
		S	Research Degrees Sub-Committee	2pm	
29	MON				Week 8
30	TUE		Staff Council Standing Committee	1pm	8
			Learning & Teaching Spaces Sub-Committee	2pm	
NOVEMBER	2018				
1	THU		School of Nursing & Health Sciences Planning Meeting	9am	8
		S	Employability & Enterprise Committee	2pm	
5	MON		School Boards in Week 9		Week 9
			Space Management Group	11am	
			Directorate group for Student Experience Planning meeting	2pm	
6	TUE	S	Internationalisation Committee	9am	9
			School Board (Dentistry)	12.45pm	
		S	Honorary Degrees Committee	2pm	
7	WED		Directorate group for Corporate Infrastructure Planning meeting	3pm	9
8	THU	S	Senate Business Committee	9am	9
			School of Education & Social Work Planning Meeting	10am	
9	FRI	S	Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures	10am	9
12	MON	S	Research & Knowledge Exchange Committee	2pm	Week 10
13	TUE	C	Governance & Nominations Committee*	10am	10
		C	Finance & Policy Committee*	2pm	
14	WED	S	Graduation		10
		S	Learning & Teaching Committee	10am	
			School of Life Science Planning Meeting	2pm	
15	THU	S	Graduation		10
16	FRI	S	Graduation		10
19	MON	C	Remuneration Committee	11am	Week 11
			Staff Council – Principal's Question Time	1pm	

MONTH			MEETING	START TIME	WEEK
			School of Art & Design Planning Meeting	2pm	
20	TUE		Professional Services Group	10am	11
			School of Humanities Planning meeting	2pm	
21	WED	C	Endowments Sub-Committee	10.30am	11
			School of Social Sciences Planning Meeting	2pm	
22	THU		School of Dentistry Planning Meeting	9am	11
			People & Organisational Development Committee*	2pm	
23	FRI		Directorate Group for Income Generation Planning meeting	9am	11
24	SAT		Graduates' Association Business Meeting	10am	11
26	MON	C	Audit Committee*	2pm	Week 12
27	TUES		School of Medicine Planning meeting	2pm	12
28	WED		Culture & Arts Committee	9.30am	12
		S	Senate	2pm	
29	THU		School of Science & Engineering Planning Meeting	2pm	
DECEMBER	2018				
3	MON		Semester 1 Examination begin		Week 13
			Quality & Academic Standards Committee	10am	13
4	TUE		Readership & Personal Chairs Committee	2pm	13
9	SUN		University Carol Service	5pm	13
10	MON	C	Court*	2pm	Week 14
11	TUE		Professional Services Group	10am	14
			University Research Ethics Committee	2pm	
14	FRI		Information Management Committee	11am	14
			Semester 1 Examinations end		
			End of Semester 1		
17	MON				VACATION
21	FRI		University Closed after business until start of business on 3 January 2019		

Please note that meetings for the Court/Committees of Court after 1 August 2018 (marked *) are included on a provisional basis only and will be confirmed by the Court at its meeting on 7/8 September 2017 following a review of timings linked to changes to systems as part of the Business Transformation programme.