

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 13 February in the Lynedoch Suite, Murrayshall House Hotel, Scone, Perth.

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

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

Apologies: Alan Bainbridge, Richard Bint, Dr David Martin, Adam Robertson, Jay Surti

34. WELCOME AND INTRODUCTION FROM THE CHAIR OF COURT

The Chair welcomed members to the meeting of the Court. Apologies were noted as having been received from Alan Bainbridge, Richard Bint, Dr David Martin, Adam Robertson and Jay Surti.

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

35. MINUTES

The Court decided: to approve the minutes of the meeting on 15 November 2022.

One member sought an update on the Court's association with, and responsibility to, Museum Services, including a potential increase in resource allocation. The Deputy University Secretary advised the Court that bids for resource would be considered by the University Executive Group (UEG) as part of the planning process and that the UEG had encouraged Directors to be ambitious in their submissions to the planning round.

36. MATTERS ARISINGAction Log

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

The Court decided: to note the update.

37. CHAIR'S REPORT TO COURT

The Court received and considered the above report from the Chair on activities undertaken on behalf of the Court and the University at a University and sectoral level. Members were advised that, since the meeting of the Court in November 2022, Ms Millar had continued to hold one-to-one meetings with senior colleagues including, amongst others, some Deans of School.

The Court further noted that the Chair had participated in events during the Discovery Days programme in January, including the Court's Annual Public Stakeholder Engagement Event, as well as attending the First Africa Series Lecture. Ms Millar thanked all those involved in the Stakeholder Engagement Event for their enthusiasm and was particularly pleased to report that, as part of LGBTQ+ History Month, the Tower Building was flying the Progress Flag and that window films had been installed as a mark of the University's ongoing commitment to the LGBTQ+ community.

The Court decided: to note the report.

38. UNIVERSITY EXECUTIVE GROUP REPORT TO COURT

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

The Principal advised members that there had been a particular focus at UEG on the development of the University's suite of policies relating to recognition and reward, building on the People & Talent Strategy. It was intended that proposals would be brought to Court in due course *via* the People & Organisational Development Committee.

Members noted the appointment of Professor Hari Hundal as the Academic Institutional Lead for Equality, Diversity and Inclusion (EDI), giving further weight to the University's commitment to becoming an anti-discriminatory organisation. Additionally, Court

members would have the opportunity in a facilitated workshop as the first session of the Retreat to consider their role in relation to EDI by 'leading from the front'.

The Court was reminded that delivering financial sustainability would become increasingly difficult to deliver as a result of external pressures, including real-term cuts in SFC income, notwithstanding the University's success in unregulated student growth. Professor Gillespie welcomed the opportunity for the Court and UEG to discuss openly the risks and opportunities presented to the student experience in terms of institutional identity, values and culture as well as in more practical issues around facilities, services and accommodation.

Having received previous reports of the sector-wide challenges relating to the availability of student accommodation, members were advised that the University had made significant progress in securing accommodation aligned to projected 2023 student intake numbers. Work continued to ensure that the accommodation available met the specific requirements of the cohort, noting that these requirements often did not emerge until after students had arrived in Dundee. The Accommodation Steering Group met regularly and, in parallel, the University Secretary & Chief Operating Officer had led conversations with Dundee City Council with a view to stimulating private sector development in the City. In addition, the availability of international student visas, especially for prospective students' dependants, could be adversely affected by possible changes to government policy in order to reduce net migration.

The Principal apprised the Court of progress made in relation to several elements of the institutional Net Zero ambitions and noted that members would have the opportunity to explore with UEG during the Retreat how the University might act to become a leading organisation in this space. The recent receipt of a detailed report from the University's independent assessors on its carbon emissions would provide a timely opportunity for the Court to consider the recommendations and proposals in support of delivering Net Zero. This would require a collective ambition, significant cultural and behavioural change, as well as an understanding of the risks and challenges involved.

Elsewhere, the Africa Initiative was growing in momentum and, one year on from the initial Africa Think-In, the University had held an open session for all staff and students to learn about progress made and plans for the delivery of the University's 10-year vision. Further to the signing of the Blantyre Declaration, Professor Gillespie had been invited to deliver an address at the Malawi Cross-Party Group at Holyrood. Colleagues in Global Partnerships had returned to Malawi in January 2023 and, shortly after the visit the University had been asked by the Malawi National Planning Commission to provide input into their new National Research Agenda.

The Court was advised that the Principal had recently attended a meeting of the Tay Cities Regional Development Management Group which had focused on rising inflationary pressures. Partners had noted that financial pressures and costs in relation to construction would inevitably impact upon the Tay Cities Partners' ability to deliver the intended outcomes as set out in the bids several years ago, a position which had now been accepted by both the UK and the Scottish Governments. With no additional government funding forthcoming, partners would require to work together to explore potential solutions. Work on the new Centre for Targeted Protein Degradation had been completed in early January and staff had taken occupancy of the now operational globally-leading establishment for training, innovation and translation.

The industrial relations environment continued to be challenging, with UCU in dispute with employers nationally in relation to pay. The University Payroll and Pensions Team had implemented the new DC pension scheme for new staff on grades 1-6 from 1 January 2023 and UNISON had formally ended their local dispute over pension reform and pay.

Professor Gillespie advised the Court that the rapidly-evolving research funding situation remained a key topic of discussion and that, despite commitments from the Minister of State for Science, Research and Innovation to secure an association with Horizon Europe it seemed that this would likely be a lengthy process. In the interim, the University encouraged research staff to apply for EU funding and would keep the research community, and the Court, apprised of developments. Elsewhere in the UK HE sector, the Office for Students' (OfS) decision to reject any future role for the Quality Assurance Agency (QAA) in England would inevitably have consequences for the Scottish Sector. Closer to home, the Scottish Government's response to the SFC Review of Coherent Provision and Sustainability was undergoing consultation with the possible merging of the quality frameworks for FE and HE in Scotland a concern. The Court was assured that it would be apprised of developments in these areas.

Finally, the Principal drew members' attention to the awards and prizes achieved by staff at the University of Dundee and apprised the Court of progress in the appointment of individuals to senior roles.

The Court decided: to note the report.

39. REPORT TO COURT FROM THE DUSA PRESIDENT

The DUSA President introduced the above standing report on activities undertaken by the Students' Association since the last meeting of the Court. Members noted that the key areas of focus had been centred on preparations for the new Semester, ongoing efforts to support students affected by the cost-of-living crisis and the forthcoming student elections in March 2023.

Ms Mutembwa advised the Court that the Refreshers event had taken place on January 18th in the DUSA Building and had been very well attended. The DUSA Executive had been active in encouraging the Semester 2 intake to become involved in the Student Representative Council and to raise awareness of the services provided by the Association.

Members were advised that the Breakfast Club and the Campus Pantry had re-opened following the Christmas closure and were providing roughly 1,100 free breakfasts per week and approximately 240 pantry packages per week. The DUSA MSL platform was now being used to alert students to news items tailored to their interests. It was to be hoped that this would encourage greater levels of engagement.

The Court noted that the advice and support team had been dealing with a higher than usual volume of queries regarding visa concerns and from international students arriving with dependants who had experienced difficulties in securing appropriate accommodation. DUSA would work closely with the University on the activities identified in her report to address the accommodation shortage.

In discussion, members sought further information on the current situation regarding student accommodation and were advised that those students arriving from overseas were

not required to inform the University if they intended to bring dependants and that the greatest shortage was in family accommodation. The University had contacted those international students intending to arrive for Semester 2, advising them of the difficulty in securing family housing. The Court was apprised of the ongoing efforts of the Student Services in the short and long term to support students, and noted that the Lyon Street and Meadowside Residences, currently owned by Abertay University, would become available imminently.

The Court decided: to note the report.

40. ENVIRONMENTAL SUSTAINABILITY POLICY STATEMENT

The Court received and considered the above Environmental Sustainability Policy Statement, intended to provide the framework within which future work on environmental sustainability and carbon management would be based. The Court was advised that the Senate, for its part, had approved the Policy Statement at its meeting on 30 November 2022.

The Court decided: to approve the Policy Statement.

41. CONVENERS' REPORTS

The Conveners introduced their reports, highlighting matters of interest. Approvals are formally noted against the relevant Committee Report (minute 45).

The Deputy Chair of Court provided an overview of the Finance & Policy Committee meeting held on 17 January 2023 and advised the Court that the Committee had received a report setting out the overall financial parameters and assumptions underpinning the forthcoming budget and financial planning process. The Committee were supportive of the approach and assumptions and requested that further consideration be given to rebasing the capital plan to ensure that projects were driven by real needs and that the next iteration of the plan to be considered at the meeting of the Committee in May should include a line for projected core and non-core staff numbers. Additionally, members had requested that the plan should include an analysis of changes on staff numbers as a result of structural rather than inflation-driven changes.

The Court noted that the Committee had received an update on progress with planning major capital projects and had requested that UEG give consideration to conducting post-occupancy evaluations in future. Student Accommodation had remained an issue for consideration but the Committee had been given an update on steps taken to accommodate the high January intake.

Members were advised that the Committee had received and considered a report on financial aspects of procurement, setting out changes to processes intended to achieve more efficient procurement. Noting that KPIs were being developed to monitor the efficiency of procurement processes, the Committee had requested early sight of these KPIs.

The Committee had discussed the annual report on research efficiency and, whilst noting that research overhead contribution was in line with an improving five-year trend, members had expressed support for a level of planned unfunded and underfunded research, provided these were deliberate management choices in line with the University Strategy.

Finally, the Court was apprised that the Committee had received a report from the new Head of Development & Alumni Relations which had outlined changes in approach in this area, intended to focus more on major gifts which could potentially be used to cover funding gaps for major new capital projects. Members questioned whether the Committee was giving consideration to recommending to the Court that the University begin externally-placed borrowing and were advised that this would be brought to the next meeting of the Court.

The Convener of the People & Organisational Development Committee reported that the Committee had, at its meeting on 19 January 2023, received and considered an update report on the implementation of the People & Talent Strategy, intended to support the University Strategy 2022-2027. Court was advised that the Committee was encouraged by the projects associated with each element of the People & Talent Strategy and the sense of coherence emerging from the development of the sub-strategies.

The Committee had also welcomed a renewed emphasis on Equity and Inclusion and had considered an update on actions in support of the People Strategy. Committee members had commended the identification of strand-specific champions and the intent of UEG to encourage the whole University Community to participate in cultural change.

Court noted that the Committee had received a briefing on the current state of industrial action on both local and national levels and had also received a report on grievance hearings and appeals. Members had further emphasised the need to ensure the lessons on organisation change learned from the establishment of the School of Humanities, Social Sciences & Law would be embedded in general principles of change management, moving forward.

Finally, the Committee had received and endorsed annual reports from Organisational Development and from Health & Safety.

The Convener of the Remuneration Committee advised the Court that the Committee had met on 6 December 2022 and had considered the annual remuneration round for Grade 10 staff. The Committee was satisfied that the process had been robust, consistent with the delegated authority of the Committee and further confirmed that the process had complied with the University's Remuneration Policy. Court having approved a budget of £160k for the remuneration round, the number of awards had totalled £112k.

Consistent with the previous year, the Committee had received a report from the Principal & Vice-Chancellor detailing an assessment of the individual performance of members of the UEG and had approved an uplift in salary for one member of the UEG. The Committee had endorsed the proposed remuneration ranges for the recruitment of the Vice-Principal (Research) and the Vice-Principal (Enterprise and Economic Transformation). Finally, the Committee had not recommended an uplift in salary for the Principal & Vice-Chancellor, on the basis that Professor Gillespie had indicated that he did not wish to be considered for such an uplift in view of the current economic situation.

The Court decided: to note the reports.

The Chair of the Court requested that, in future, all cover sheets should make explicit reference to institutional values.

42. REPORTS FROM THE CONVENER OF THE SENATUS ACADEMICUS

(1) Report of the meeting of the Senate on 30 November 2022

The Court reviewed the report from the Chair of Senate to the University Court. The Senate had discussed the uncertainty over the United Kingdom's future association with Horizon Europe and the ongoing efforts to negotiate the UK's continued association with the programme.

Senate had also considered a report on the forthcoming QAA Quality Enhancement & Standards Review (QESR), which would replace the Enhancement-Led Institutional Review (ELIR). Members had been advised that the University would be one of the first institutions to undergo QESR and that the institutional visit was planned for April 2023.

The Court was advised that the Senate had endorsed, for its part, the Environmental Sustainability Policy Statement and had approved Senate Standing Orders.

The Court decided: to note the report.

(2) Report of the meeting of the Senate on 1 February 2023

The Court received and considered the report from the Chair of Senate to the University Court. Court noted that the Senate had discussed the challenges to academic integrity and assessment posed by the development of increasingly sophisticated artificial Intelligence (AI) technology. Members had noted that the University would require to review its approach to assessment design to ensure that longer-term solutions could be identified.

The Court was advised that the Senate had reviewed and approved, for its part, the adoption of the Academic Staff Appraisal Process. The first year of implementation would be used as a pilot process with careful monitoring and opportunities to reflect on potential enhancements.

The Senate had acknowledged the range of achievements and events highlighted within the School Board Reports to Senate and had congratulated Professor Dario Alessi on his award of the prestigious 2023 Jeantet-Collen Prize for Translational Medicine.

The Court decided: to note the report.

43. NARRATIVE FOR THE SENATUS ACADEMICUS

The Chair of Court suggested and Court agreed to highlight to the Senate the Court's approval of the Environmental Sustainability Policy Statement and the high level areas discussed at the immediately following Retreat.

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

44. REPORTS FROM THE SENATUS ACADEMICUS

(1) Report of the meeting of the Senate on 30 November 2022

The Court received and considered the above report of the meeting of the Senate held on 30 November 2022, prepared for the Court's information. Members noted that any actions detailed within the report would be taken forward as indicated in the minutes for the meeting of the Senate.

The Court decided: to note the report.

(2) Report of the meeting of the Senate on 1 February 2023

The Court received and considered the above report of the meeting of the Senate held on 1 February 2023, prepared for the Court's information. Members noted that any actions detailed within the report would be taken forward as indicated in the minutes for the meeting of the Senate.

The Court decided: to note the report.

45. COMMITTEE REPORTS

(1) Finance & Policy Committee Report

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

The Court received the minutes of the meeting of the Finance & Policy Committee on 18 October 2022. The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 41).

The Court decided:

- (i) to approve the Committee's recommendation that the University should be considered a going concern in respect of the 2021/2022 Financial Statements;
- (ii) to note that the Committee, for its part, endorsed the Annual Financial Statements to Court for approval; and
- (iii) otherwise, to approve the minutes.

(ii) Minutes of the Committee's meeting on 20 December 2022

The Court received the minutes of the meeting of the Finance & Policy Committee on 20 December 2022. The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 41).

The Court decided:

- (i) to endorse its approval of the Committee's recommendation that the University

allocate additional spend in order to commence the construction of the Tay Cities Innovation Hub; and

(ii) otherwise, to approve the minutes.

(iii) Minutes of the Committee's meeting on 17 January 2023

The Court received the minutes of the meeting of the Finance & Policy Committee on 17 January 2023. The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 41).

The Court decided: to approve the minutes.

(2) People & Organisational Development Committee

The Court received the minutes from the meeting of the People & Organisational Development Committee on 19 January 2023.

The Court's discussion of matters raised by the Committee is detailed in the Conveners' Report (Minute 41).

The Court decided:

- (i) to note the Committee's endorsement of the Proposed Reward and Recognition Process;
- (ii) to note the Committee's consideration of the Change Management report and lessons learned from the restructuring of the School of Humanities, Social Sciences & Law;
- (iii) to note the Committee's consideration of the Organisational & Professional Development Annual Report 2021/2022;
- (iv) to note the Committee's consideration of the Health & Safety Annual Report 2021/2022; and
- (v) otherwise, to approve the minutes.

(3) Remuneration Committee

(i) Minutes of the Committee's meeting on 6 December 2022

The Court received the minutes of the meeting of the Remuneration Committee on 6 December 2022. The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 41).

The Court decided:

- (i) to approve minor amendments to the Remit & Terms of Reference for the Committee for 2022/2023;

- (ii) to endorse the proposed amendments to the Reward Policy for Professorial & Grade 10 Staff;
- (iii) to note the proposed remuneration ranges for the recruitment of a Director of People and a Director of Strategic Change & Delivery;
- (iv) to note the proposed remuneration ranges for the recruitment of the Vice-Principal (Research) and the Vice-Principal (Enterprise & Economic Transformation);
- (v) to note one pay award to a member of the University Executive Group; and
- (vi) otherwise, to approve the minutes.

(ii) Minutes of the Committee's meeting on 6 December 2022 (Principal's remuneration)

The Court received the minutes of the meeting of the Remuneration Committee on 6 December 2022 (Principal's Remuneration). The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 41).

- The Court decided:**
- (i) to note that the Committee made no recommendation for a salary uplift for the Principal & Vice-Chancellor, as Professor Gillespie had indicated that he did not wish to be considered for a pay award in view of the cost-of-living crisis; and
 - (ii) otherwise, to approve the minutes.

(iii) Remuneration Committee Annual Report

The Court received the Remuneration Committee Annual Report, which had been approved by the Committee.

The Court decided: to note the report.

(4) Welfare & Ethical Use of Animals Committee

The Court received the minutes of the Committee's meeting on 12 January 2023.

The Court decided: to approve the minutes.

(5) Staff Council Minutes

The Court reviewed the minutes from the meeting on 8 December 2022.

The Court decided: to approve the minutes.

46. **SENIOR STAFF APPOINTMENTS**

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

Name	Title
Paul Bennett	Deputy Director, Strategic Planning
Euan Black	Director of Quality & Academic Standards
Nicholas Brewer	Professor of Biochemistry Education
Ian Ganley	Professor (Teaching and Research)
David Russell	Director of School Business Development and Partnerships (School of Medicine)
Sanjay Singh	Professor in Human Resource Management

The Court decided: to note the appointments.

47. **ANY OTHER BUSINESS**

Amanda Millar
Chair of Court
University of Dundee

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

1. The Court Retreat is always a time for strategic reflection, taking stock of progress, what has worked well and where the challenges remain. Unlike previous Retreats, this one is being held early in the new calendar year as opposed to August/September when the new academic year begins. Of course, both occur at the same time as a new intake of students, and members will, no doubt, be pleased to note the positive progress noted later in the report in relation to student recruitment.
2. One of the main reasons for the alteration of the time frame was to allow time for the new University Strategy, launched late last academic year, to be rolled out and form the context for further strategic conversations. Over the last few years, together with the Court, we have embarked on a remarkable transformation, which is now beginning to deliver real positive impact. It is however evident that our long-term programme of shifting our shape and size has been – and continues to be – necessary and we look forward to further conversations with the Court around the ambitions, opportunities and risks that lie ahead.
3. This report covers areas of activity driven by our University Strategy in the context of the current economic and political climate, as well as highlighting activity which we should pause to celebrate.

B. UNIVERSITY STRATEGY**People & Talent Strategy**

4. Our People & Talent Strategy is key to fostering a vibrant community that will help us deliver our ambitious plans and achieve our mission. We are focused on impactful initiatives as set out in our strategy that will enable us to better recognise the contributions of our staff, drive academic excellence and embed the concept of empowerment and accountability. There has been a particular focus at UEG on the further development of the University's suite of policies relating to recognition and reward. We expect to bring proposals to Court via the People & Organisational Development Committee, following further exploration at the University Management Group.

Equality, Diversity, and Inclusion

5. In keeping with our mission to promote, and live, our stated values and our goal to become an anti-discriminatory organisation, Court members will have the opportunity to consider their role in relation to EDI by 'leading from the front' in a facilitated workshop, run by Chris Gibbons, Director at Inside Inclusion as the opening session of the Court Retreat.
6. Our approach to equity and inclusion is a key pillar of our Strategy, and in part, evidenced through the recent Athena Swan (Gender equality) Bronze submission, and continued implementation of our Race Equality Charter action plan. We are also currently in LGBTQ+ month, with a range of events on campus. The UEG are now leading the finalisation of our EDI KPIs and the underpinning EDI strategy that will set out a more target driven approach to

addressing persistent inequalities, in line with the recently published National Equality Outcomes.

7. We have recently appointed Professor Hari Hundal as our Academic Institutional Lead (Equality, Diversity, and Inclusion). Professor Hundal brings a wealth of experience and knowledge to the role and has been critical in the curation and implementation of our Race Equality Charter commitment. Hari will report to Professor Shane O'Neill and will also work closely with our Interim Director of HR & OD, helping to develop a holistic and coordinated approach to EDI matters within the institution.

Student Recruitment and Experience

8. In June 2022, the Court supported a five-year plan and associated budgets, and our success in unregulated student growth has been a key factor in the delivery of this. However, financial sustainability is getting tougher to deliver as a result of external pressures, ongoing real-terms cuts in SFC income, and the context in which we operate. At the coming Retreat, we will explore how these factors influence the delivery of our University Strategy and discuss openly the risks these present for the student experience, in terms of identity, values and culture, as well as in more practical issues around facilities, services and accommodation.
9. With this in mind, we are pleased to report that our 2022/23 Semester 2 intake has been extremely positive, and we expect healthy above budget growth across most Schools. We expect international demand to continue to grow in cycle 2023/24 with a 50% increase in applications expected for TPG programmes. A more comprehensive update can be found in appendix 1.
10. As was highlighted in our previous update to Court, our success in growing the student body has resulted in challenges associated with our applicant processing capacity and turnaround times. Our overarching Admissions Policy Chairs Group, which oversees the business of specialised sub-committees in this area, continues to manage the operational implications of this continued growth.
11. Members will be aware from previous reports, of the sector wide challenges relating to the availability of student accommodation. We have made significant progress in securing appropriate accommodation that is aligned to our projected 2023 student intake numbers. Work is ongoing to ensure that the accommodation available meets the specific requirements of the cohort, which often do not emerge until after students have arrived. Our Accommodation Steering Group meets regularly to ensure accommodation planning is monitored and reviewed on an on-going basis and in response to student number planning, to ensure our students have a strong and safe landing space. In parallel, the University Secretary & Chief Operating Officer, alongside relevant Directors, has led conversations with Dundee City Council setting out our growth plans and changing demographic with a view to working with them to stimulate private sector development in the City.
12. On the matter of international student numbers and immigration policy, the sector was informed in January of an internal UK government commission to amend government policy on international student visas in order to reduce net migration. This has received media coverage including the canvassing of a number of options put forward in Government, including the removal or limitations to the Graduate route; ending the ability for individuals to switch between study and work visas before completing their studies; and increasing restrictions on the ability of students to be accompanied by dependents. At the time of

writing, conversations between government departments and No10 are on-going, and no decision has been confirmed.

13. There has been vigorous lobbying by ourselves to local MPs, by UUK, and by a strong network of allies in the sector, in government and amongst those who care about universities. The sector has some strong support in important places, and we are therefore optimistic that the outcome will not be at the stronger end of the spectrum of policy options.

Environmental Sustainability

14. The Retreat will provide the opportunity to explore with the Court how we deliver on institutional and government targets and consider what it will take to become a leading organisation in this space, as set out in our new University Strategy. Becoming a more sustainable institution across our operations, academic offering, research focus and culture is a moral responsibility, and we look forward to engaging on this topic.
15. The University has made progress in relation to several elements of our Net Zero ambitions. We have very recently received a report from our independent assessors on our Carbon Management Plan, including a set of recommendations to support the delivery of net zero. Our energy infrastructure strategy project, as discussed at the most recent Finance & Policy Committee meeting, will be a key element in our transition towards these targets and future investment in renewable energy sources.
16. Achieving our various commitments will require a collective ambition, significant cultural and behavioural change as well as an understanding of the risks and challenges involved. We have made a lot of good progress to date, and with the publication of an interim carbon management plan, we now have a sense of how we will set a framework for addressing these issues into the future. However, whilst achieving a 75% reduction from baseline is, in the scheme of things, relatively straightforward, making that last step to net zero will be seriously challenging.

Africa Initiative

17. The Africa Initiative is gaining momentum as a key element of our international and equity and inclusion strategies. We are delighted that one year on from our initial Africa Think-In we were able to hold an open session for all staff and students to hear about the progress that has been made and plans for the delivery of our 10-year vision. We were particularly delighted to hear the enthusiasm from our students about the potential for our work with partners in Africa to transform lives. Overall, the event was well received and marked the first step in bringing our wider community along with us on this journey.
18. Further to the signing of the Blantyre Declaration, which defines a new way of working between the University and the six public universities of Malawi, the Principal was invited to deliver an address at the Malawi Cross Party Group (CPG) at Holyrood. The event provided the opportunity to raise the profile of our Africa Initiative with Scottish Ministers and produced some stimulating discussion around the trajectory of the initiative and its future expansion. It was also notable that the Vice-Chancellors from all six partners took time to join this event remotely and shared our sentiments regarding the importance of this collaboration.
19. This relationship was further strengthened when colleagues in Global Partnerships returned to Malawi in January 2023. The visit produced several tangible outcomes, with opportunities

identified covering education, research and engagement, and shortly following the visit, the University was asked by the Malawi National Planning Commission to provide input into their new Malawi 'National Research Agenda'.

Regional Development

20. The Principal recently attended a meeting of the Tay Cities Regional Development Management Group focussed around rising inflationary pressures. It is evident that partners are becoming increasingly aware of the financial pressures and potential costs, especially in relation to construction, and the Scottish and UK Governments have now accepted the argument that inflationary pressures will inevitably have an impact on the Tay Cities Partners' ability to deliver the intended outcomes set out in the bids several years ago. With no additional government funding forthcoming to fill this increasing gap, it is up to the partners to work together in exploring solutions, seeking funding from other sources and managing outcome expectations. In relation to the University's own Innovation Hub project, members will recall that the University continues to seek alternative funding to enable the achievement of the intended outcomes in full. The Principal will update members at the meeting on progress in this regard.
21. In other news, work on our new Centre for Targeted Protein Degradation in early January 2023 is complete, staff have moved in, and it is up and running. A formal opening is planned for later in the spring, but we are delighted this world class, globally leading establishment for training, innovation and translation is now operational.

C. PAY, PENSIONS AND INDUSTRIAL RELATIONS

22. As was highlighted in our previous update, rising inflation and the likelihood of UK and Scottish Government spending cuts has raised the profile of several 'people' matters. On pay, in early December 2022 UCEA and the trade unions agreed a process by which the 2023-24 new national JNCHES pay round could be brought forward. This agreement to shift the timetable was unprecedented and provided a unique opportunity to address, within the stretched affordability of the sector, cost-of-living concerns.
23. There has been some misinterpretation on the part of unions regarding the focus of the negotiations, which do not include reopening the 2022/23 pay round. As a sector, we are asked what will be affordable for employers and while the response inevitably includes some variation, there is little doubt this will fall short of the level sought by the unions, which members will recall from the last report was in the region of 14%.
24. However, the industrial relations environment continues to be challenging, with UCU in dispute with employers nationally in relation to pay. UCU recently announced 18 days of planned strike action during February and March across all HE institutions across the UK. We have initiated our response group to ensure that necessary mitigations are in place to minimise disruption, but this is an unprecedented level of industrial action.
25. Our Payroll and Pensions team have successfully implemented our new DC pension scheme for new staff on grades 1-6 from 1 January 2023, working with our Scheme provider, Royal London. We expect to report to the Pension Sub-Group later in the academic year regarding uptake of the new scheme. UNISON have formally ended their local dispute over pension reform and pay and we have left the door open to Unite to work together now that their

mandate for industrial action over pensions has expired. In the meantime, our focus remains on ensuring that we move forward and support the rebuilding of working relationships with all trade unions as well as between staff groups as necessary.

26. Previous reports have highlighted a number of measures approved by the UEG with the intention of alleviating some of the financial pressures on staff and students resulting from the cost-of-living crisis, including bringing forward the date for achieving accredited status with the Living Wage Foundation. In addition, due to our improved financial performance, we were able to take the decision to award all staff a further non-consolidated payment of up to £750 in January salaries. We have also implemented a number of student related support measures, including the provision of free breakfasts for students in conjunction with DUSA and the launch of our community pantry.

D. SECTORAL/ POLICY MATTERS

Scottish Innovation Strategy

27. The Scottish Government continues its work to develop 'Scotland's National Innovation Strategy', with both the Principal and Director of Research & Innovation Services (RIS) heavily involved in discussions. We are pleased to see the evolution of the strategy has taken account of the sector's perspectives and what will be required to maintain world class research, competitive innovation and economic transformation. We will continue to ensure that the University is represented in the final version of the strategy and that it is complementary to our own strategic ambitions. As a matter of policy particularly relevant to our University Strategy, we will of course keep the Court informed on any developments.

Research Funding

28. The rapidly evolving situation surrounding Horizon Europe and 'Plan B' funding has been a key topic of discussion at Universities Scotland RKEC over recent months and has been highlighted in previous reports to the Court. We have continued to provide input and briefings to government, but despite recent renewed commitments made by George Freeman MP (Minister of State for Science, Research and Innovation) to secure association with Horizon Europe, this seems set to continue to be a lengthy process to resolve.
29. In the meantime, we continue to encourage our research staff to apply for EU funding, noting the UKRI commitment to covering the cost of UK participants in successful applications. This is by no means well understood by the organisations themselves and we have found ourselves having to challenge (successfully) the incorrect rejection of a highly regarded application for reason of having two UK applicants. We note the impact of this arrangement on research and researchers alike and seek prompt resolution. We will continue to keep a watchful brief and ensure our research community is both informed and adequately prepared, as the situation develops.

Office for Students

30. The Office for Students (OfS) recently published a summary of its triennial report into the Quality Assurance Agency's performance as Designated Quality Body (DQB) in England – despite QAA having announced its intention to demit the role as of 31 March 2021.

31. The OfS's report was extremely damning and rejected any future role for the QAA in quality assurance processes in the sector in England, making their future uncertain. It is unclear how their other work will survive or whether universities south of the border will continue to pay their subscription levy if they are no longer the DQB. Moreover, the OfS has set up a new internal body called the Quality Assessment Committee (QAC) which will take on the quality assurance role in England.
32. This will undeniably have consequences for the Scottish sector, where the QAA is the designated quality body (as it is in Wales), but the actions of the OfS will lead to fragmentation of quality assurance arrangements across the UK. This is particularly concerning as UK standards have a strong international brand and excellent reputation which helps promote the UK as a place to study for international students.

Post School Education, Research and Skills Development Ecosystem - Purpose and Principles: Scope and Approach

33. The government's response to the SFC Review of Coherent Provision and Sustainability, was published as an interim statement on purpose and principles on 9 December 2022 and is undergoing a period of consultation ending 23 March 2023. The UEG response is aligned to that of Universities Scotland which will no doubt feature in the presentation from David Lott (Deputy Director Universities Scotland) at the Retreat.
34. Without a doubt, the reference in the SFC Review of Coherent Provision & Sustainability to merging quality frameworks for FE/HE in Scotland presents significant concern to the sector and the Vice-Principal (Education) is active in expressing the view that any new Scottish Framework should remain enhancement led and aligned to the QAA UK Quality Code.

E. OTHER MATTERS

Stakeholder Engagement

35. Over recent months, the Principal and colleagues have led several noteworthy events, in line with our aim to bring more strategic focus to our engagement activities. As part of our 2023 Discovery Days, we were delighted to join the Court in the Public Stakeholder Meeting, which provided the opportunity to evidence the delivery of our Strategy through our community's achievements and reinforce our commitment to living our values.
36. The Principal recently attended an event to celebrate Scottish Culture, hosted by the Prime Minister at 10 Downing Street. In doing so, he represented the City of Dundee as well as Scottish Higher Education and the University. This has already led to a number of influential connections being established and we look forward to building on this network. At the event, the Principal met with Lord Offord (UK Government Minister for Scotland) who shared his interest in our research and innovation and ambitions and will visit the University in the near future.

Senior Appointments

37. We have made a number of key appointments since the last meeting of Court, including our Institutional Academic Lead (EDI) as referenced in paragraph 7, Paul Bennett, our new Deputy

Director (Strategic Planning) who joined us on 1 January 2023 and Claudette Jones, appointed as Interim Director of Digital.

38. The Principal recently set out changes to UEG with the establishment of two key VP roles (Vice-Principal (Research) and Vice-Principal (Enterprise & Engagement)), as was noted in the previous update to Court, and two substantive Directors (Director of Strategic Planning & Delivery and Director of People). The University is engaged with WittKeffer, a leading Executive search firm, in the recruitment of the two VP roles and the University is engaged with Odgers to assist in the recruitment of a Director of People. We will provide updates on progress with these recruitment processes in due course.

Community Achievements

39. A fuller update on awards and accolades can be found in Appendix 3. However, we would like to highlight an extraordinary achievement from a member of our research community, Professor Dario Alessi in the School of Life Sciences, who was named winner of the 2023 Jeantet-Collen Prize for Translational Medicine.
40. This is one of the most prestigious prizes in the field of translational medicine and has been awarded in recognition of Dario's pioneering research into neurodegenerative disorders and work to develop novel therapies for Parkinson's disease. It is yet another sign of the tremendous impact of our research in the biomedical and life sciences.

F. PRINCIPALS CLOSING REMARKS

41. There is much to be proud of in the UEG report to this Court. Our Strategy and the commitments that we made in it to making a more successful sustainable and confident University are beginning to bear fruit. At the same time, there is no doubt that we continue to face some major external challenges, both political and financial, that we must continue to navigate. Doubtless, we have improved our profile with politicians and other external actors and there is much underway to progress such engagement further. Success in opening new facilities, in committing to plans and in student recruitment are tangible outcomes of these successes.
42. But the war in Ukraine, the financial downturn, inflation and ongoing political fragility in the UK, as well as industrial relations challenges all continue to maintain pressure on us. The Court Retreat will provide a very welcome opportunity for us to come together to re-energise ourselves for the journey we must continue to make.

University Executive Group
February 2023

Appendix 1, Annex 1**Research Related Grants**

1. The selection of grants and awards detailed below is intended to showcase the diverse range of research undertaken across the University which is enabled by funding sources that include research councils, charities and industrial sponsors. Please note that any joint awards listed below state the University of Dundee value only.
2. Members can find a full list of research grants and awards since the last reporting period in the 'Supplementary Information' folder.

A. Research Award Highlights**(i) Professor JD Chalmers (Medicine)**

GREAT-2: A phase 2 trial of Gremubamab compared to placebo in participants with bronchiectasis and chronic Pseudomonas aeruginosa infection

£2,437,333 (including £289,753 overheads) from European Respiratory Society

This grant supports the development of a new antibody treatment for infections caused by the multidrug resistant bacteria Pseudomonas aeruginosa. This study will test the effectiveness and safety of the antibody to treat infections across several European centres and is led by the Respiratory Research Group and Tayside Clinical Trials unit. If successful, this would represent a completely new approach to combatting antibiotic resistant bacterial infections.

(ii) Dr G M Findlay (Life Sciences)

How does dysregulated signal transduction cause intellectual disability (Glasgow University, MRC Harwell)

£1,822,764 from Wellcome Trust

Intellectual disability is a major mental health problem that affects 1-3% of the world population and is frequently caused by mutations in genes that encode enzymes involved in cell communication. Our research programme will employ cutting edge biochemistry and stem cell technologies to unravel how cell communication is disrupted in intellectual disability patients, with the goal of identifying new therapeutic strategies.

(iii) Mr J R Lawrence (Computing, Science and Engineering)

AI for Citizen Intelligent Coaching against Disinformation (TITAN)

£459,450.30 (including £168,172.06 overheads) from UK Research and Innovation (UKRI)

The 'AI for Citizen Intelligence Coaching against Disinformation (TITAN)' project will develop tools that empower members of the public to identify and debunk disinformation and 'fake news'. TITAN will provide an intuitive and personalised 'question-and-response' interaction, focusing the user on potential flaws in the reasoning and arguments contained in a given text. The project builds on the strong track record in analysis of human reasoning developed by the Centre for Argument Technology across previous projects working with (amongst others) the BBC, IBM, and the UK's Defence Science and Technology Laboratory (Dstl).

(iv) **Dr D Bulgarelli (Life Sciences)**

Roots2Resilience: Root phenotyping and genetic improvement for rotational crops resilient to environmental change (Roots2Res) (Joint with Arvalis (Lead), James Hutton Institute, RSK Afas Limited and 20 other organisations)

£281,083 (including £117,648 overheads) from UK Research and Innovation (UKRI)

The groups of Davide Bulgarelli and Ingo Hein at the Division of Plant Sciences will join forces with 21 other partners from across Europe in an ambitious multi-year, multi-million, multidisciplinary project aimed at developing innovative tools for 'climate-smart' crops.

In particular, University of Dundee scientists will investigate the microbial communities inhabiting the interface between plant roots and soil, the so-called plant microbiota, and their contribution to plant's adaptation to contrasting environments.

(v) **Professor A Ciulli (Life Sciences)**

Development of LRRK2 PROTAC degraders as chemical probes and potential lead compounds for the treatment of Parkinson's disease (PROCESS)

£153,023.43 (including overheads £5,042,56) from UK Research and Innovation (UKRI)

Parkinson's Disease is the second most common neurodegenerative disorder worldwide, yet no treatment is currently available to halt the onset and/or progression of the disease. One of the most common genetic causes of Parkinson's disease are mutations that increase the activity the protein Leucine-Rich Repeat Kinase 2 (LRRK2). The goal of this project is to develop a novel drug modality targeting LRRK2, namely small-molecule protein degraders. We have recently developed a potent, selective and fast degrader of LRRK2, and qualified it as a chemical probe to be shared with the research community (Liu et al. J. Am. Chem. Soc. 2022). Future work on the project will be directed at using this probe to study LRRK2 biology and further drug development to establish safety and efficacy of this drug modality in suitable cellular and in vivo models.

(vi) **Dr J Ross (Humanities, Social Sciences and Law)**

Art At The Start: A Research Consortium Exploring Art-based Intervention For Early Years Relationships (Joint With University of Sheffield, University of Cumbria and University of Highlands and Islands)

£81,571 (including £44,917 overheads) from the Arts and Humanities Research Council

Dr Josephine Ross has received £157k funding through the UKRI research council 'Mobilizing Community Assets to Tackle Health Disparities Phase 2' scheme for 'Art at the Start: A research consortium exploring art-based intervention to support perinatal and infant mental health'. This builds on Phase 1 funding from the same scheme, which has allowed us to embed an art therapy service across several art galleries in Scotland, working with NHS and third sector infant mental health teams. The Phase 2 funding allows us to form a UK wide consortium with key stakeholders to explore how art-based early relationship interventions can effectively deliver support to 0-3s and their caregivers.

Appendix 1, Annex 2**People and Prizes**

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

Clarivate Highly Cited Researchers 2022

2. Clarivate's Highly Cited Researchers 2022 list features four experts from Dundee's School of Life Sciences, while a further two from the School of Medicine are also included. The annual list uses both quantitative and qualitative analysis to identify individuals from across the globe who have demonstrated significant and broad influence in their chosen field or fields of research. It is drawn from papers that rank in the top 1% by citations for field and publication year in the Web of Science citation index over the past decade.

3. The Dundee academics named in the prestigious list are:

- Professor Dario Alessi (Life Sciences)
- Professor Albena Dinkova-Kostova (Medicine)
- Professor Grahame Hardie (Life Sciences)
- Professor Blair Smith (Medicine)
- Professor John Peters (Life Sciences)
- Professor John Raven (Life Sciences)

BALR Early Career Investigator Award

4. Dr Merete Long, a postdoctoral researcher based at the University's School of Medicine, was named winner of the BALR Early Career Investigator Award after delivering a presentation on her research into neutrophils, which are white blood cells that act as the immune system's first line of defence, and the role they play in Covid-19 infection. The BALR Early Career Investigator Award is highly competitive and is awarded in recognition of the very best basic, translational, or clinical research performed in the UK respiratory community by an early career researcher.

Dorothy Jones Prize

5. Dr Davide Bulgarelli has been named as recipient of the Dorothy Jones Prize at the annual Applied Microbiology Awards in London. Dr Bulgarelli, a Senior Lecturer and a Principal Investigator within the University's School of Life Sciences, is an expert in plant sciences whose research encompasses plant genetics, microbial ecology, and computational biology. The honour goes to a scientist who has used microbiology to make a significant contribution to the understanding of terrestrial life, rhizospheres and soil microbiomes, or to the preservation of our global ecosystem.

British Society for Cell Biology (BSCB) Postdoctoral Researcher Medal

6. Tom Williams, who has been working as a postdoctoral researcher in Adrien Rousseau's group since 2019 has been awarded the British Society for Cell Biology (BSCB) postdoctoral researcher medal for 2023. This prestigious award is awarded based on scientific excellence, research independence, and community engagement and leadership.

2023 Stephen Fry Awards

7. The annual Stephen Fry awards celebrate the people and projects that engage with wider audiences, and the benefits they bring to society. The 2023 Public Engagement Project of the Year was won by 'Home Fae Home', led by Linsey McIntosh and Gary Kennedy, both from Duncan of Jordanstone College of Art and Design. The project saw them work with the Hot Chocolate Trust charity to reimagine spaces for young people with experience of trauma. Psychology PhD student Vicky Armstrong won the inaugural Early Career Researcher of the Year award for her work in early-years art therapy including 'Art at the Start'. We were delighted to hand recipients their awards as part of our 2023 Discovery Days.

Appendix 1, Annex 3**University Executive Group Meetings**

1. The University Executive Group has met formally on 16 November 2022, 30 November 2022, 14 December 2022, 11 January 2023 and 25 January 2023.

A. HUMAN RESOURCES MATTERS

- Equality, Diversity and Inclusion
 - o EDI KPI's
 - o EDI Audit Report
 - o Athena Swan
- Industrial Action
- OneUniversity HR/Payroll

C. FINANCE MATTERS

- Pensions
- Budgeting and Planning Process
- Research Grants Analysis

D. STRATEGIC MATTERS

- Court Retreat Planning
- People & Talent Strategy
 - o Reward and Recognition
 - o Academic Appraisals
- Environmental Sustainability
 - o Carbon Emissions Plan
 - o Race to Net Zero
 - o Sustainability Policy

F. RECRUITMENT/INTERNATIONAL MATTERS

- Africa Initiative
- Recruitment Updates
- Accommodation Plan
- Partnerships

Appendix 2

FINANCE & POLICY COMMITTEE MINUTES

A meeting of the Committee was held on 18 October 2022 in the Executive Meeting Room of the Tower Building.

Present: Richard Bint (Convener);
 Alan Bainbridge (online);
 Professor Sir Mike Ferguson;
 Professor Iain Gillespie (Principal & Vice-Chancellor);
 Amanda Millar (Chair of Court);
 Ron Mobed (online);
 Nyasha Mutembwa (DUSA President)
 Carla Rossini; and
 Professor Garry Taylor

In Attendance: Tricia Bey (Deputy Chair of Court);
 Peter Fotheringham (Director of Finance);
 Professor Blair Grubb (Vice-Principal Education);
 Dr Neale Laker (Deputy University Secretary);
 Aidan McColgan (Deputy Director, Estates & Campus Services);
 Dr Jim McGeorge (University Secretary & Chief Operating Officer);
 Professor Shane O'Neill (Senior Vice-Principal);
 Dr Alison Ramsay (Senior Policy Officer (Corporate Governance));
 Keith Winter (Convener of the Audit & Risk Committee); and
 Susan Young (Head of Financial Accounting)

Apologies: Rose Jenkins, Professor Mairi Scott.

The Convener welcomed Carla Rossini to her first meeting of the Committee and, on behalf of the Committee congratulated Peter Fotheringham on his appointment as Director of Finance.

1. MINUTES

(1) Minutes of the Meeting of the Finance & Policy Committee on 2 August 2022.

Resolved: to approve the minutes of the meeting of 2 August 2022.

2. MATTERS ARISING

(1) Action Log

Members received and considered the action log for the Committee. The Convener noted that the completed items relating to benchmarking data and TRAC could be removed from the log. Members were apprised that the Revolving Credit Facility held with the Bank of Scotland had been extended to 2025.

The Convener requested a report from the University Secretary on the availability of accommodation, both for Postgraduate students with families and more generally. Dr McGeorge advised the Committee that the availability of private student accommodation had collapsed throughout the UK as a result of landlords leaving the market due to losses incurred during the global pandemic. Discussions were ongoing with Dundee City Council (DCC), who could offer assistance in a number of ways. Members noted that a number of Purpose-Built Student Accommodation (PBSA) applications had been approved by the Council, but construction had only commenced in one project. Looking ahead to Semester 2, the Committee was advised that the UEG had approved resource to address the increase in student numbers and that a number of actions had been identified to reduce the shortfall in beds.

In discussion, members noted that the University was exploring all possible avenues to increase student accommodation for the January intake and that working in partnership with DUSA would be crucial to providing a safe and strong landing place for arriving students. The provision of affordable accommodation was key to the future success of the institution and the Committee expected to be kept apprised of developments in this area.

- Resolved:**
- (i) to note the action log;
 - (ii) to receive an interim report on student accommodation in January 2023; and
 - (iii) to consider a further paper on accommodation provision at its meeting in March 2023.

3. FINANCIAL REVIEW OF THE YEAR

The Director of Finance introduced the above report of the University's financial performance for the year ended 31 July 2022. Members noted that the paper was intended to apprise the Committee of the context for the financial statements for 2021/2022, which would be considered elsewhere on the agenda (**Paper F**).

Mr Fotheringham reminded the Committee that the 2021/2022 budget had been set at a challenging time for the institution with considerable uncertainty around the impact of the global pandemic on student recruitment and retention, as well as on the University's broader activities. Management had therefore set a cautious budget with limited tuition fee growth and a budgeted deficit planned. Furthermore, following completion of the USS 2020 valuation, a likely non-cash adjustment of £77.7m had been indicated which would have increased the reported budget deficit further.

During 2021/2022, however, a number of factors had contributed to an improved financial performance against budget. These had included, but were not restricted to, growth in international tuition fee income, an improved outcome on USS employer contributions and a lower than budgeted salary uplift. Positive variances in staff costs savings targets and higher than budgeted SFC grant income had been offset by adverse variances including reduced commercial income and higher operating costs.

Reported net cash was noted as £17m lower than 2020/2021, although the Committee was reminded that the outcome for 2020/2021 had been inflated by SFC one-off funding and temporary working capital changes. Other cash movements had been relatively modest, and the University continued to hold minimal levels of long-term loans relative to the majority of the HE sector. The five-year Capital Plan would require some level of long-term external financing to be secured and it was anticipated that the significant improvement in the University's liquidity and underlying performance would support any such application for private placement.

Research income had decreased in 2021/2022, although continued growth from key funders compared with previous years was noted, particularly UKRI Research Councils, Industry and Other Overseas. The Committee was reminded that a key objective of the research efficiency strategy was to increase the overall financial contribution of research without a significant drop in grant overheads but that this remained a risk and members noted that they would receive the annual report on research efficiency at its meeting in January 2023.

In discussion, members welcomed the improved financial position but noted that the institution would require to achieve the target figure of 7% EBITDA to maintain momentum. The increase in student numbers and associated tuition fee income was noted as bringing increased risks to the student experience, such as a lack of available accommodation and increased staff:student ratios. The Committee considered the impact of increased student numbers on costs and noted that raising international student tuition fees would be unlikely to make a significant difference to the University's position.

Resolved:

- (i) to note the report; and
- (ii) to receive a report on the increased costs associated with larger student numbers at its meeting in May 2023.

4. BUSINESS CASE PLANNING FOR CONSTRUCTION PROJECTS

The Committee discussed the above proposed template and processes for the consideration of major capital projects by the Committee, which had been produced by the Director of Estates and Campus Services in discussion with the Convener of the Committee, the Deputy Chair of Court and the University Secretary. Members welcomed the proposals, noting that a consistent approach to the appraisal of business cases was an imperative for the Committee.

In discussion, members noted that the process was intended for the evaluation of large Estates projects and not for ad hoc, time-limited funding opportunities and requested that the paper be revised to make this explicit. Additionally, the Committee requested that the paper include information on project governance (including the identification of responsible actors), optimism bias and Key Performance Indicators as well as project-specific tolerances and points of escalation. It was agreed that the Director of Estates and Campus Services would circulate a revised version to Committee members for approval without the need for further discussion in Committee.

Resolved: to approve the proposals, once revised, by electronic circulation.

5. REVIEW OF GOING CONCERN

The Director of Finance presented the above review of going concern for inclusion in the 2021/2022 financial statements. Members noted the recommendation that the Court should consider the University a going concern on the basis that the institution had adequate resources to operate for the foreseeable future.

Resolved: to recommend to the Court that the University should be considered a going concern in respect of the 2021/2022 financial statements.

6. DRAFT ANNUAL FINANCIAL STATEMENTS

The Head of Financial Accounting introduced the above draft 2021/2022 consolidated financial statements for consideration. In discussion, members noted the potential for enhancing the impact of the document by front-loading the mission, vision and values of the institution in an over-arching Strategy Statement at the start of the report. Members noted the significant increase in students disclosing multiple disabilities or mental health difficulties and requested that more information on actions taken in response to these increases be included.

Members further identified areas for correction and for development, including a greater emphasis on the language of equity and inclusion, as well as giving more prominence to the University's successes. It was important that the Financial Review of the Year reflected the University's financial progress and also put the substantial cash balances into context. Thereafter, the Committee noted that the draft financial statements would be submitted to the Audit & Risk Committee for consideration prior to recommending to the Court for approval.

Resolved: for its part, to endorse the statements to Court for approval.

7. TRANSPARENT REVIEW OF COSTING (TRAC) GOVERNANCE METHODOLOGY

The Director of Finance and the Head of Financial Accounting introduced the above report on governance requirements for the annual Transparent Approach to Costing (TRAC) return and the University's approach to compliance with these requirements. Members were advised that, prior to the 2020/2021 TRAC return there had been a requirement for a committee of the governing body to review and approve the return itself. Since then, the TRAC guidance had altered fundamentally to focus on the process for oversight and governance to promote the material accuracy and importance of the results.

The Committee was advised that the workload model was under review with the aim of improving workload data acceptance and sign-off levels across Schools. This would have the effect of removing the need for high-level adjustments and to reduce areas of non-compliance.

Resolved:

- (i) to note the processes in place to ensure the University's adherence to the TRAC requirements; and
- (ii) to agree that the Audit & Risk Committee would be the appropriate forum for the consideration of future TRAC returns.

8. **DIRECTOR OF FINANCE REPORT**

The Committee received and considered the above regular update from the Director of Finance. Members were apprised of information received from the USS Trustee indicating a range of potential scenarios, with the caveat that the monitoring reports upon which the possible outcomes had been built should not be taken as a substitute for a full actuarial valuation. Changes implemented to USS in April 2022 had helped to put the scheme on a more sustainable footing, but the current global economic instability made it difficult to establish a long-term view.

In discussion, the Committee noted that it would receive an update at its next meeting on the likely approach to securing private placement funding, which would be taken forward during 2023.

Resolved: to note the report.

9. **DIRECTOR OF ESTATES & CAMPUS SERVICES REPORT**

The Deputy Director of Estates & Campus Services introduced the above update on activities within the Estates & Campus Services Directorate. The Committee noted that the majority of projects within Year 3 of the Estates & Infrastructure Budget (EIB) had completed, with some on-site works scheduled for conclusion by December 2022. The Committee was also apprised of progress made to date in relation to projects for Year 4 and of allocations drawn from the contingency for the District Heating Network.

The status of major strategic Estates projects was noted, particularly those which had failed to progress due to supply chain issues and economic instability and where inflation had increased the potential costs beyond those allocated within the budget. Members were advised that the revised tenders received for these projects were now approximately 25% higher than previously indicated and that decisions regarding value for money would require to be made, with consideration given to the essential requirements of projects over the desirable.

The Committee noted that discussions were ongoing in relation to the energy infrastructure strategy project, with the University more likely to pursue a Design, Build, Fund and Operate (DBFO) model with a separate company rather than requiring full capital investment. Work reviewing the Carbon Footprint of the project was progressing well, with the potential for the project to impact significantly on the University's aspirations in relation to Net Zero. A Project Board would be established during November and discussions with framework providers likely to require 18 months before arriving at a preferred bidder status.

Resolved: to note the report.

10. **ESTATES STRATEGY YEAR 3 UPDATE**

The Deputy Director of Estates & Campus Services introduced the above review of Year 3 of the Estates Strategy, intended to advise the Committee of changes made since 2019. Members noted that the Estates Capital Programme continued to reflect the Estates Strategy

as proposed for 2019-2029, with adjustments made due to the global pandemic and to reflect emergent ideas and opportunities. Changes to the core projects (Business School, Energy Infrastructure and the Crawford Building) and updates made to reflect the new University Strategy 2022-2027 were noted.

In relation to the University's commitment to Net Zero targets as set out by the Scottish Government, the Committee was advised that a Carbon Action Planning Group (CAPG) had been established and a Carbon Management Board developed. Within the CAPG, eight workstreams had been identified, each of which had a dedicated Lead responsible for driving achievement of identified objectives and who was required to report monthly on progress made.

Members welcomed the update and noted that the Committee would receive a report on the six Estates-related Key Performance Indicators at its meeting in January 2023.

Resolved: to note the report

11. **2022/2023 SCHEDULE OF BUSINESS**

The Committee received and considered the proposed 2022/2023 Schedule of Business. Within the report, the Convener highlighted the following areas of focus for the Committee in 2022/2023 as follows:

Financial sustainability and benchmarking;
Major Capital Projects;
Borrowing;
Estates;
Student Accommodation; and
Efficiencies in Teaching and Research

Resolved: to note the proposed Schedule of Business and objectives for 2022/2023.

12. **ANNUAL REVIEW OF REMIT AND TERMS OF REFERENCE**

The Committee noted that no amendments had been identified as required.

Resolved: to note the Remit and Terms of Reference for the Committee.

13. **ANNUAL REVIEW OF COMMITTEE EFFECTIVENESS**

The Committee noted feedback from the annual review of effectiveness and agreed that no area had been identified which required discussion.

Resolved: to note the report.

14. NARRATIVE FOR COURT

The Committee agreed to highlight to the Court its discussions relating to the Financial Review of the Year, the Estates Strategy and the impact of inflation on the University's activities.

Resolved: to ask that the Convener highlight these matters in his report to Court.

15. RESEARCH GRANT APPROVALS

The Committee received the report of research grant awards in 2021/2022. Members noted that the year-end position for research award value had decreased from £67.3m in 2020/2021 to £62.8m in 2021/2022, continuing the downward trend in research award value to the University. Research overhead contribution had also decreased, from £17.6m in 2020/2021 to £11.2m in 2021/2022.

The portfolio of research awards was noted as having changed, with higher numbers of lower-value awards from UKRI Research Councils and UK Industry but with a significant increase in awards received from UK Charities including five such awards to the School of Life Sciences from the Wellcome Trust totalling £14.4m. Whilst award and overhead value had decreased, the number of awards had increased from 209 recorded in 2020/2021 to 242 in 2021/2022.

The total number of recorded research grant applications submitted in 2021/2022 was 543, a decrease from 596 in 2020/2021, with 181 submitted by the School of Medicine, 125 by the School of Life Sciences and 93 from the School of Science and Engineering.

Resolved: to note the report.

16. SUBSIDIARY ANNUAL ACCOUNTS

The Committee received the financial statements of the University's subsidiary companies for the year 2021/2022.

Resolved: to note the accounts.

17. TREASURY ANNUAL REPORT

The Committee received and considered a review of treasury activity during the previous financial year. Members noted that treasury activity had remained high, with large cash deposits including the ExScientia sale proceeds and with a significantly better opening cash position than budgeted. The implementation of the OneUniversity finance system had improved the data available for cash flow forecasting and these data was noted as contributing to the continuous development of enhanced forecasting models.

A further counterparty had been added to the Treasury Policy in May 2022 and the Committee was advised that any policy change would be recommended as part of the next Treasury Policy Review in January 2023. Members noted that work was ongoing to establish additional

accounts in order to ensure balances remained below the approved counterparty limits whilst seeking to improve the levels of interest generated.

Resolved: to note the report.

18. END OF YEAR/QUARTER 4 MANAGEMENT ACCOUNTS

The Director of Finance introduced the above draft management accounts for the period to 31 July 2022 (Q4). Members noted that the draft outturn for the 2021/2022 financial year showed an operating deficit before USS pensions accounting of £2.2m. This was £14.8m ahead of budget and represented a £0.7m improvement from the Period 11 forecast.

Excluding funds held for strategic investment, cash at the end of Q4 was £59.6m, which was £39.1m ahead of budget and a £4.5m improvement on the Period 11 forecast. Members commended the efforts of staff in achieving this position and agreed to extend thanks on behalf of both the Committee and the Court.

Resolved: to note the accounts.

19. RESERVED BUSINESS: PENSION SUB-GROUP MINUTES

The Committee received the minutes of the meeting of the Pension Sub-Group on 28 July 2022.

Resolved: to approve the minutes.

20. ANY OTHER BUSINESS

No other business was declared.

21. DATE OF NEXT MEETING

Resolved: to note that the next meeting would take place on 17 January 2023.

Richard Bint
(Convener)

Appendix 3**FINANCE & POLICY COMMITTEE MINUTES**

A meeting of the Committee was held on 17 January 2022 in the Executive Meeting Room of the Tower Building.

Present: Richard Bint (Convener);
 Alan Bainbridge (online);
 Professor Sir Mike Ferguson;
 Professor Iain Gillespie (Principal & Vice-Chancellor) (Items 1-5);
 Amanda Millar (Chair of Court);
 Ron Mobed (online);
 Nyasha Mutembwa (DUSA President) (online)
 Carla Rossini;
 Professor Mairi Scott; and
 Professor Garry Taylor

In Attendance: Tricia Bey (Deputy Chair of Court) (online);
 Shane Collins (Director of Future Students) (Item 8);
 Peter Fotheringham (Director of Finance);
 Professor Blair Grubb (Vice-Principal Education);
 Rose Jenkins (Director of Estates & Campus Services);
 Dr Jim McGeorge (University Secretary & Chief Operating Officer);
 Lizzi Nicoll (Head of Development & Alumni Relations) (Item 10);
 Professor Shane O'Neill (Senior Vice-Principal);
 Dr Alison Ramsay (Senior Policy Officer (Corporate Governance));
 Allan Tough (Head of Procurement) (Item 9);
 Keith Winter (Convener of the Audit & Risk Committee); and
 Susan Young (Head of Financial Accounting)

Apologies: Dr Neale Laker

1. MINUTES**(2) Minutes of the Meeting of the Finance & Policy Committee on 18 October 2022.**

The Committee received and considered the minutes of the above meeting. It was noted that the sederunt required to be amended and that the decision of the Committee in relation to the Transparent Review of Costing (TRAC) governance methodology had been that the Audit & Risk Committee would be the appropriate forum for the consideration of future TRAC returns.

Resolved: to approve the minutes of the meeting of 18 October 2022, subject to those amendments identified in discussion, above.

(3) Minutes of the Meeting of the Finance & Policy Committee on 20 December 2022.

The Convener noted that, whilst a report had been generated and provided to Court following the additional meeting of the Committee held on 20 December 2022, this had not yet been converted into a formal minute of the meeting. Members therefore noted that the Senior Policy Officer (Corporate Governance) would produce a minute reflecting the Committee's recommendation to the Court that additional expenditure be approved in relation to the Tay Cities Innovation Hub and Court's subsequent endorsement of that recommendation.

Resolved: to note that the minutes of the meeting of 20 December 2022 would be presented to Court at its meeting on 13 February 2023.

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

Members received and considered the action log for the Committee. The Convener queried whether the Director of Estates & Campus Services had circulated the revised business case template for major capital projects following the previous meeting. Ms Jenkins advised that this would be done.

The Committee noted that a report on the six Estates Key Performance Indicators (**paragraph 10 refers**) had not been included in the papers for the meeting. Members were advised that a set of Estates Key Performance Indicators aligned to the new University Strategy would be submitted to the meeting of the Committee in March 2023.

Resolved:

- (i) to note the action log; and
- (ii) to receive a report on Estates Key Performance Indicators in March 2023.

3. **BUDGET-SETTING AND PLANNING**

The Director of Finance introduced the above report on the process and assumptions for guiding and setting the budget for 2023/24. In addition, the report was intended to develop medium term plans to address the challenges to financial sustainability faced by the institution and to resource the delivery of the University Strategy.

Mr Fotheringham reminded the Committee of the context in which the 2022 five-year plan had been developed, reflecting a more confident outlook with a budgeted surplus for the first time in 10 years. Having agreed to adopt EBITDA as a percentage of income rather than surplus as a percentage on income with a target set of 7% by 2026/27, this would be achieved two years ahead of target.

Members were advised that the 2023/24 planning process for Schools and Directorates had been revised to enable a fuller and more robust review of performance and to set appropriate

targets in support of the overall University Strategy. All School planning meetings had been scheduled a full day, aligned to their contribution to the University's core strategic themes with Directorates having gone through a similar process over a half-day period. Thereafter, the Committee was invited to comment upon the suitability of the assumptions made in the report and the overall financial parameters for the 2023/24 budget cycle.

The Committee noted the improved financial position and questioned whether the assumption of £80m external funding to meet investment requirements remained sufficient. Members were advised that, once the planning and budgeting process had concluded, a further report on detailed budget assumptions would be presented to the Committee at its meeting in May.

In discussion, members noted that specific Schools and Directorates would require investment in terms of staffing and requested that, as the Committee was due to receive a report on the higher costs associated with increased student numbers at its meeting in May, the report should also include the impact on staff costs.

Thereafter, the Committee broadly welcomed the improved financial position of the University but noted that inflationary pressures would continue. UEG was urged to remain vigilant to the shifting financial environment and to undertake scenario planning with appropriate tolerances identified.

Resolved:

- (i) to note the report; and
- (ii) to receive a report on the higher costs associated with increased student numbers, including staff numbers and costs, at its meeting in May 2023

4. DIRECTOR OF FINANCE REPORT

The Committee received and considered the above regular update from the Director of Finance. Members were apprised of monitoring information provided by the USS Trustee, which had estimated the funding position at the end of September 2022 as a significant surplus. Mr Fotheringham advised the Committee that this information did not constitute a full valuation and, while the monitoring process continued to show an improving picture of the scheme's valuation, there had been significant change in the valuation of its assets and liabilities.

The Committee noted that the changes to the University of Dundee Superannuation Scheme had taken effect on 1 January 2023. Further updates would be provided in due course on the uptake of the new defined contribution scheme administered by Royal London. Mr Fotheringham also drew members' attention to the outcomes of the voluntary severance scheme made available in the School of Humanities, Social Sciences & Law, noting that the final financial outcome was aligned to the original savings target.

Resolved: to note the report.

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

The Director of Estates & Campus Services introduced the above update on activities within the Estates & Campus Services Directorate. The Committee noted that substantial issues remained with Tenders coming in over budget due to construction inflation and that there were ongoing district heating issues affecting DJCAD. The funds allocated to contingency would be reviewed and potential distribution to projects considered. As at December 2022, 18 projects had yet to have spend allocated to them, either delayed by industrial action during 2022 or due to commence in 2023, with the majority planned for execution over the summer period.

Members were advised that the Centre for Targeted Protein Degradation had been completed, as had the replacement of the changing rooms at the Institute of Sport & Exercise. Work on the Matthew Building roof had concluded and improvements to the Fulton Building continued on-site. Additionally, the Medical Science Research Unit project had been completed, meaning that the resource unit at Ninewells would be able to close in July 2023.

Work on the University's Net Zero position was making progress and a report from the independent assessors was due imminently which would include a set of recommendations. These would be used to advance the Energy Infrastructure Strategy Project and incorporated into the project brief. The University had also joined talks with the Scottish Gas Networks group on the future of Hydrogen as an alternative fuel source.

In discussion, members commended the efforts of Estates staff in responding to the emergency works required on Christmas Eve and noted that significant contingency was allocated at the start of each year to enable the University to respond to emergencies.

The status of major strategic Estates projects was noted, in particular the Crawford Building, 1-3 Perth Road and the Tay Cities Deal projects. Members commended the recently developed approach to the prioritisation and management of major capital projects and requested that the University give consideration to the future use of Post-Occupancy Evaluations.

Resolved: to note the report.

6. **STUDENT ACCOMMODATION UPDATE**

The Committee received a verbal update from the University Secretary & Chief Operating Officer on the current status of student accommodation. Dr McGeorge apprised members of the activities undertaken by the Accommodation Sub-Group, including securing bed spaces from other providers and obtaining discounted hotel rates for arriving students to use as a landing base before organising their own accommodation.

The Committee was advised that the University would discuss longer-term initiatives with Dundee Student Village (DSV) and that Dundee City Council had approved planning permission for more than 1000 further beds in the city. UEG was looking ahead to the September 2023 intake and had authorised staff to negotiate an additional 700 places in PBSA, as well as considering a pilot programme to offer shorter contracts to international students.

Members noted that the shortage of accommodation across the sector had resulted in students from other institutions occupying properties in Dundee, thus reducing the available bed spaces further. Dr McGeorge noted that the University was in discussion with local landlords to encourage their re-entry into the market, post-pandemic. The University was advising international students with families to travel alone initially and was offering assistance with visa issues for family members traveling later.

The Committee noted the intention to reach a position with DSV whereby the University could enter into longer-term nomination agreements with other providers and that the University was exploring limiting the offer of accommodation to those outwith a specified radius of Dundee, whilst ensuring that infrastructure and travel issues would not damage the education or experience for these students, especially those from wider access backgrounds. Dr McGeorge advised the Committee that a further, written report would be presented to the meeting of the Committee in March.

Resolved: to note the update.

7. **Q1 ACCOUNTS**

The Head of Financial Accounting introduced the above draft management accounts to 31 October 2022. Members were advised that the accounts forecast a full-year operating surplus £3.7m ahead of budget, with the increase in student recruitment income having driven the overall improvement in forecast. Staff cost forecasts were noted as cautious, given the lack of available data on staff costs due to the current stage of implementation of the OneUniversity HRP module.

Net tuition fees were forecast to be £4.3m ahead of budget and an unallocated betterment of £2.2m had been held. This would be reviewed in the coming months as contingencies were released and as School/Directorate forecasts were updated to reflect anticipated additional staffing slippage.

Resolved: to note the report.

8. **RESERVED BUSINESS: 2022/2023 STUDENT INTAKE UPDATE**

[Secretary's note: the Director of Future Students joined the meeting at this point]

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

Resolved: to note the report.

[Secretary's note: the Director of Future Students left the meeting at this point]

9. **RESERVED BUSINESS: ANNUAL PROCUREMENT EFFICIENCIES REPORT**

[Secretary's note: the Head of Procurement joined the meeting at this point]

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

Resolved: (i) to approve the University's Annual Procurement Report for 2021;
and
(iii) otherwise to note the report.

[Secretary's note: the Head of Procurement left the meeting at this point]

10. **RESEARCH EFFICIENCIES REPORT**

The Director of Finance the above report, intended to apprise the Committee of research grant activity with a focus on efficiency measures, such as overhead contribution recovery, successful awards in the context of total applications and TRAC cost recovery. Mr Fotheringham advised members that, over the previous six years, the University had been successful in growing contribution from research, both in absolute terms and as a percentage of income.

Across the Schools, however, the growth trend was varied: whilst Life Sciences and Medicine combined consistently accounted for close to 90% of total University research income, Life Sciences was the only school to have grown research income at any material level. Life Sciences had also largely driven all of the improvement in overhead contribution.

Income and overhead contribution by funder category showed a decreasing reliance on UK Charities and the EU, with growth in 'other overseas'. Research Council income was noted as having remained broadly stable.

In 2020/21, the University had recovered 83.6% of the cost of research, compared to a sector average of 72.0% and a peer group average of 76.6%. Whilst this was encouraging, members noted that these figures were significantly driven by the scale of research in the Schools of Life Sciences and Medicine as well as the income received from industry partners. The new strategic planning process was intended to highlight areas for improvement in each School at a time when growing research activity and income was a key strand of the new University Strategy.

In discussion, the Committee considered how best to quantify the long-term impact of research and noted its impact through the sustainability of its research and the social purpose of its outputs. Members further noted that unfunded research had the potential to be valuable provided it was of excellent quality. It was agreed that future iterations of the report would include data on applications by School.

Resolved: to note the report.

11. ANNUAL FUNDRAISING REPORT

[Secretary's note: the Head of Development & Alumni Relations joined the meeting at this point]

The Head of Development & Alumni Relations (DARO) introduced the above report, intended to provide the Committee with an update on philanthropic activity in the year 2021/22, together with an outline of future activity. Members were advised that 2022 had been a year of significant disruption and transition within DARO, which had provided the new Head of DARO with an opportunity to assess and evaluate departmental activities. The launch of the new University Strategy in 2022, along with the development of a new External Relations Strategy and the results of a Fundraising Planning study and review would allow the refocus of DARO's strategy with the University's vision and aspirations for the next ten years.

The Committee noted that the Head of DARO would shortly submit to UEG an investment plan to increase staff numbers in a planned way in order to deliver DARO's ambition of increasing philanthropic income to £5m per annum. A comprehensive University Fundraising Campaign would also be launched with a target of £50m over 10 years.

The Committee was advised of the Head of DARO's plans for development in the following areas: trusts & foundations; major gifts; regular giving; legacy campaigns; and scholarships. Members noted the ambitious target of £50m but were advised that this was considered realistic.

Thereafter, the Committee welcomed the report and noted that would be kept apprised of progress in this area.

Resolved: to note the report.

[Secretary's note: the Head of Development & Alumni Relations left the meeting at this point]

12. NARRATIVE FOR COURT

The Committee agreed to highlight to the Court its discussions relating to:

Budget-setting;
Estates & Campus Services;
Student Accommodation;
Q1 Accounts;
Research efficiency; and
Future focus of fundraising

Resolved: to ask that the Convener highlight these matters in his report to Court.

13. RESEARCH GRANT ACTIVITY

The Committee received the above regular report of research grant activity since the last meeting. Members noted that, at the end of Period 4, the number of research grant applications submitted was 178, with 87% of these being submitted by Schools of Medicine

(59), Life Sciences (37), Humanities, Social Sciences & Law (31) and Science and Engineering (28). In terms of value, applications from Schools of Medicine (30%) and Life Sciences (52%) make up 82% of the £54.8m research grant applications submitted to date.

87% of research grant submissions to date had been to UK Charity (76), UKRI Research Councils (48) and Government (31). In terms of value, these applications made up 78% of the £54.8m research grant applications submitted to date. 44% of research grants submitted to P4 had an application value of up to £50k and 55% had an application value of between £50k and £3m.

In comparison to the same period last year, the total value of research grant applications submitted aligned with 2021/22 (£55.4m), with the number of research awards recorded at P4 being 41, lower than at the same period last year (66). In comparison to the same period last year, the total value of research grant awards, at £16.9m, was higher than 2021/22 (£14.8m). However, the nature of this activity did not allow meaningful predictions at this time.

83% of the number of awards recorded to this period were to the Schools of Life Sciences (15), Medicine (10) and Science and Engineering (9). However, in terms of award value, 68% of the total £16.9m sat with School of Life Sciences. 93% of the number of awards recorded to this period were from UKRI Research Councils (13), UK Charity (13), Industry (5) and Government (7). In terms of value, awards from Overseas Charities (33%), UK Charities (27%), Industry (20%) and UKRI Research Councils (16%) made up 97% of the £16.9m awarded to date.

41% of research grants awarded to P4 had an award value of up to £50k and 59% had an award value of between £50k and £3m.

Resolved: to note the report.

14. **RESERVED BUSINESS: BUSINESS TRANSFORMATION MINUTES**

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

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

Resolved: to note the minutes.

15. **ENDOWMENTS SUB-COMMITTEE MINUTES**

The Committee received and considered the minutes of the meeting of the Endowments Sub-Committee meeting held on 9 December 2022.

Resolved: to approve the minutes.

16. **ANY OTHER BUSINESS**

No other business was declared.

17. **DATE OF NEXT MEETING**

Resolved: to note that the next meeting would take place on 21 March 2023.

Richard Bint
(Convener)

Appendix 4**PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES**

A meeting of the Committee was held on 19 January 2023 by Microsoft Teams.

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

<u>In Attendance:</u> Lisa Anderson	Head of Organisational and Professional Development (item 10);
Professor Iain Gillespie	Principal;
Nicholas Helps	Head of Health and Safety (item 11);
Alex Killick	Interim Director of Human Resources & Organisational Development;
Dr Neale Laker	Deputy University Secretary;
Dr Jim McGeorge	University Secretary & Chief Operating Officer;
Dr Christine Milburn	Head of the Principal's Office;
Professor Shane O'Neill	Senior Vice-Principal;
Kenny Stewart	Policy Officer (Corporate Governance); and
Julie Strachan	Deputy Director of Human Resources & Organisational Development

Apologies: None.

The Convener, on behalf of members, welcomed Claire Cunningham to her first meeting of the Committee.

1. MINUTES

(1) Minutes from the meeting on 27 October 2022.

Resolved: to approve the minutes from the meeting.

2. MATTERS ARISING

(1) Action Log

The Committee reviewed the action log.

Resolved: to approve the action log as presented.

3. CONVENER'S UPDATE

The Committee received an update from the Convener outlining activities she had undertaken on behalf of the Committee and the University since its last meeting. Members were advised that, following the last meeting of Court, the Convener had held further discussions with senior staff about the robustness and accessibility of University's grievance procedures. It was noted that this would be considered under item 9 on the agenda, the Annual Report on Grievances, Appeals and Hearings.

Resolved: to note the update.

4. PEOPLE AND TALENT STRATEGY

1. Reward and Recognition Process

The Committee received a paper on staff reward and recognition proposals, and the establishment of a University Recognition Group. The proposals set out a framework for recognising staff achievement and rewarding contribution, including the development of specific annual staff celebration events to reinforce the University's strategic ambitions and deliver a key objective of the People and Talent strategy.

The Committee was invited to consider the proposed recognition framework and to propose any specific additions or amendments to its components. It was also invited to endorse the establishment of a Dundee Difference working group under the sponsorship of the Senior Vice-Principal to co-ordinate implementation.

The Committee heard that proposals had been considered and supported by the University Executive Group and Deans Group and that the Recognition Group had already convened and commenced its work. Following discussion at Executive and Dean level, it had been agreed that the proposed recognition event would move from Summer to Autumn 2023.

The Committee strongly endorsed the reward and recognition framework and acknowledged its role in delivering a key aim of the People and Talent enabling strategy. Members were keen to emphasise that the framework and work of the Recognition Group and planned staff celebration events should not increase the administrative burden on staff. The Committee further noted that it was important to demonstrate the results and impact of staff achievement across the University to reinforce the outcomes delivered through this process

The report proposed the creation of annual awards in five categories: Respect, Excellence, Achievement, Connecting and Honesty. Members proposed that the naming of the honesty award category should be reconsidered.

Members discussed career development opportunities for staff in professional services roles, noting that there was a workstream to the People & Talent Strategy with a focus on, among other things, internal promotion and mentoring. Members noted that specific proposals would be brought to the Committee in due course.

The Committee commented on the potential for disparity in how the framework might be applied by Schools, Directorates and managers, and officers were encouraged to consider ways to counter this.

Resolved: to endorse the proposed Reward and Recognition process.

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

The Committee received an update paper on equality, diversity and inclusion (EDI) actions in support of the People and Talent Strategy. The report confirmed that interviews for the Academic EDI Lead role had been held in mid-January 2023, and that an appointment was therefore imminent. This appointment was viewed as a key strand in providing coherence to institutional EDI activity and to assist effective co-ordination and progress through UEG, Senate and Court.

The report confirmed that UEG Equality Champions had been identified to act as champions on Disability, Race, Gender and Sexual Orientation, and that a formal announcement would be made in due course. The Committee was encouraged by progress on these matters and members agreed that the listening approach to be adopted by Champions should seek engagement from the widest possible range of staff.

The Committee heard that a more detailed report on the EDI project and the progress of workstreams would be provided to the Committee in March.

Resolved: (i) to note the EDI action report; and
(ii) to receive a detailed report on EDI actions at its March meeting.

6. STAFFING PROFILE REPORT

The Committee received a paper on the institutional staffing profile for information. The report provided a snapshot of the University workforce at 1 January 2023 broken down by gender, ethnicity, age, disability and job category. The Committee heard that workforce data reporting would be continue to be reviewed and developed to contextualise analysis to assist members. The process of extracting relevant data from the HRP system for this purpose was also expected to become more routine.

The Committee agreed the report was a useful view of the University workforce profile and established a benchmark for the development of future staffing profile analysis. Members noted that the Institutional Risk Register highlighted core risks around people and that the analysis provided better sight of specific risks by discipline and characteristic.

Members reflected on the composition of the current workforce, and the task of succession planning in the current challenging recruitment environment. In discussion, the Committee noted that the staffing profile by age showed a large proportion of staff in senior age groups. The Committee heard that staff turnover in senior age groups was relatively low, with evidence of a stable workforce pattern.

The Committee agreed that workforce profile reports should act as a repository for members to access baseline data as a reference source, available at a glance, and agreed that it should receive this data annually.

- Resolved:**
- (i) to note the Staffing Profile report; and
 - (ii) to add the report to its annual workplan.

7. SCHOOL OF HUMANITIES, SOCIAL SCIENCES AND LAW – CHANGE MANAGEMENT REPORT

The Interim Director of HR&OD provided a verbal update on actions and outcomes arising from the organisational change project and the creation of the School of Humanities, Social Sciences and Law in 2022. The Committee heard that the University had contracted Human Applications to conduct a Change Management review and to produce an independent report on the merger of the three former schools. Management continued to reflect on the lessons learned contained within the report and its recommendations. The report was intended as a tool to create robust processes for future organisational change projects.

The Committee agreed that the review should act as a basis to formalise procedures for future organisational change. It was noted that the recently appointed Deputy Director of Strategic Change had been tasked with co-ordinating the lessons learned process, with findings disseminated via agreed forums, including the Local Joint Committee. It was intended that formal policy, procedure or general principles on future organisational change would be shaped and agreed by UEG.

The report noted concerns from staff on how they had been consulted throughout the change process. The Committee acknowledged that lessons should be learned on how staff meaningfully feed back into the future change projects. It was expected that the recruitment of a new Director of Strategic Planning and Change Delivery would provide further impetus in developing procedures that were informed by best practice.

The Committee agreed that it should continue to be informed of the progress of this workstream. Members acknowledged the advantages of the review in establishing learning points, and also reflected that prior restructures and change projects had presented challenges. Members agreed there was an appetite to introduce a greater sense of predictability and fairness in future change processes through improved discussion and support mechanisms for affected staff.

- Resolved:**
- (i) to note the Change Management update; and
 - (ii) to receive feedback at a future meeting following input at University Executive Group, Local Joint Committee and other agreed forums tasked with the development of proposals.

8. DIRECTOR'S STRATEGIC REPORT & SECTORAL UPDATE

The Committee received a report from the Director of Human Resources & Organisational Development which provided an update on strategic people-related activity since the last meeting. Members noted updates in respect of the approval of the People and Talent strategy

implementation plan at the April Court, senior appointments, pay award negotiations and ongoing trade union activity at a national and local level on pay and pensions.

Discussion focused on the implementation of the HRP system. Members noted that the contractor continued to be involved in resolving outstanding issues and continued to provide intensive support throughout the ongoing roll out period. The Committee also noted that transition to cloud-based software would provide additional functionality. Discussions were ongoing between management and the contractor to resolve issues related to the functionality of statutory returns reporting within the system.

The Committee also discussed current local and national negotiations regarding pay and pensions. At a local level, members noted that the changes to the University of Dundee Superannuation Scheme (UoDSS) had been implemented on 1 January. Nationally, discussions were ongoing regarding Universities Superannuation Scheme (USS) proposals, pay and cost of living increases.

As of the date of the meeting, notification had been received from the University and College Union (UCU) of one day of strike action. The Committee noted media reports referring to a potential further 17 days of UCU strike action, although the University had received no confirmation.

Secretary's note: UCU strike action was subsequently confirmed on 24 January 2023, with a total of 18 strike days announced during the period between 1 February to 22 March 2023.

Resolved: to note the update.

9. ANNUAL REPORT ON GRIEVANCES, APPEALS AND HEARINGS 2021/22

The Committee received an executive summary of the Grievances, Appeals and Hearings Annual Report 2021/22 for noting. The full report had been provided as an appendix for further context and information, providing members with more detailed analysis and breakdowns by case type and protected characteristics. It was confirmed that, of the six appeals during the period, none had been upheld.

The paper noted that the number of cases considered under formal University policies had remained relatively low and constant over a five-year period. Members heard that lower case numbers considered through formal procedures tended to reflect the University's preferred method of resolving potential issues and concerns using informal procedures such as coaching, mentoring and mediation wherever possible and appropriate.

The Committee queried whether the data analysis presented made trend analysis possible to assist in the process of highlighting emerging themes by characteristic, or within Schools or Directorates. Members heard that HR&OD monitored data for the emergence of trends and confirmed that the 2021/22 report had not highlighted any underlying issues University-wide or at School/Directorate level.

The Committee discussed the robustness of complaint procedures and queried whether staff and students had enough knowledge of the formal and informal complaints processes. This was raised following recent discussion at Court over a student complaint. The

Committee agreed to receive a paper which considered the accessibility and awareness of relevant complaint procedures at a future meeting.

- Resolved:**
- (i) to make changes to the Key Points section of the report on appeal cases not upheld;
 - (ii) to consider a paper on the accessibility and awareness of staff and student complaint procedures to a future meeting to be agreed; and
 - (iii) otherwise, to note the Grievances, Appeals and Hearing Annual Report 2021/22.

10. ORGANISATIONAL AND PROFESSIONAL DEVELOPMENT ANNUAL REPORT 2021/2022

The Committee considered the Organisational and Professional Development (OPD) Annual Report 2021/22 and were joined for the item by the Head of OPD. The report summarised OPD activity during the year and provided information on planned developments in 2022/23. OPD had delivered a blended programme to reflect emerging best practice in the learning and development space, working preferences, and in accommodating hybrid working patterns. During 2021/22, over 60 events had been delivered, attended by almost 700 members of staff.

The Committee commended the report which demonstrated the activity and reach of the OPD team and were encouraged by the level of engagement with OPD programmes across the University. Members agreed that the OPD programme would continue to contribute towards the implementation of the new University Strategy, by enabling the People and Talent sub-strategy themes of Culture, Talent and Leadership. OPD continued to develop initiatives and best practice to enhance the leadership qualities of staff at all levels.

Members raised the staff cancellation rate for OPD events and discussed potential remedies to this. It was noted that rates were comparable with the sector, with attrition at courses and events typically caused by workload, unexpected issues for staff and sickness absence.

The Committee also considered the breakdown of OPD training places by staff, disaggregated by job type and School/Directorate. It was noted that there had been no recorded attendees from within the manual staff group. Whilst historically attendance at OPD events by this group was low, the Committee acknowledged that much of the training for this group was delivered locally within the Directorate concerned.

- Resolved:** to note the Organisational and Professional Development Annual Report 2021/22.

11. HEALTH AND SAFETY ANNUAL REPORT 2021/22

The Committee considered an executive summary of the Health and Safety Annual Report. Members were joined by the Head of Health & Safety for this item. Access to the full report had been provided to members as supplementary information.

The summary outlined the work and activities completed by Safety Services during the academic year 2021-22, in which the lowest number of incidents had been recorded for 20 years.

The Committee enquired about current challenges faced by the Health and Safety team. The Head of Health and Safety highlighted the day-to-day pressures to achieving health and safety standards and a commitment to a safe working environment faced by a small, central team.

The Committee noted that the team's activity had increased following the Covid-19 pandemic, in terms of the demand for assistance in risk assessment, and the post-Brexit regulatory environment. Signposting staff to relevant and up to date information across a breadth of health and safety areas was viewed as increasingly important to maintaining safe working environments. The Committee was encouraged by the proactive approach of Health and Safety team across the University.

The Committee reflected on the importance of signposting relevant information for staff and highlighted the general theme across a number of Committee discussions which made reference to staff knowing where to find information. It was confirmed that the Health and Safety website had recently been updated to assist the provision of materials, with a SharePoint site created to act as a repository for relevant information and guidance. The Committee also heard that updates to the University website more widely were intended to improve navigation for staff, with better signposting to guidance and policies.

- Resolved:**
- (i) To note the Health and Safety Annual Report 2021/22;
 - (ii) To express its gratitude to the wider Health and Safety team across the University for its important and comprehensive work.

12. COURT NARRATIVE

It was agreed that the Convener's report to Court on 13 February 2023 would include reference to the following: the Committee's encouragement of the proposed Reward and Recognition strategy and its implementation; the Committee's consideration of the Change Management report and lessons learned from the restructuring of the School of Humanities, Social Sciences & Law; the annual reports on health and safety and OPD; and the continuing work to resolve issues identified through the implementation of the new HRP system.

The Committee also noted the progress made towards EDI action in support of the People and Talent Strategy. Members acknowledged that these developments were likely to be amplified during the Court Retreat session on Values, and due to pending staff appointments.

- Resolved:** to agree on the items to be raised with the Court.

13. HEALTH, SAFETY AND WELFARE COMMITTEE

Minutes of the Committee's meeting 11 February 2020

The Committee noted the minutes from the meeting 5 December 2022.

- Resolved:** to note the minutes.

14. EQUALITY, DIVERSITY AND INCLUSION COMMITTEE

Minutes of the Committee's meeting 28 November 2022

The Committee noted the minutes from the meeting 28 November 2022.

Resolved: to note the minutes.

15. DATE OF NEXT MEETING

Resolved: to note that the next meeting would take place on Monday 13 March 2023.

Jane Marshall
(Convener)

Appendix 5**REMUNERATION COMMITTEE MINUTES**

A meeting of the Committee was held on 6 December 2022 via Teams online meetings.

Present: Karen Thomson (Convener);
Amanda Millar;
Sharon Sweeney;
Professor Garry Taylor; and
Ron Mobed.

In Attendance: Professor Iain Gillespie (Principal and Vice-Chancellor);
Jane Marshall (as Convener of the People & Organisational Development Committee);
Dr Jim McGeorge (University Secretary & Chief Operating Officer); (items 1-5 and 7-10 by invitation of the Convener);
Alex Killick (Interim Director of HR and Organisational Development) (by invitation of the Convener);
Julie Strachan (Deputy Director of HR and Organisational Development) (items 1-4, 6 and 8 by invitation of the Convener); and
Dr Alison Ramsay (Senior Policy Officer (Corporate Governance)) as Clerk to the Committee for the meeting.

Apologies: Nyasha Mutembwa (DUSA President).

1. MINUTES

Resolved: to approve the minutes of the meeting of the Committee on 03 March 2022.

2. MATTERS ARISING**Action Log**

Members received the action log for the last meeting of the Committee and noted the updates provided.

Resolved: to note the updates

3. CONVENER'S UPDATE

The Convener outlined the outcome of meetings which she had attended in her role as Convener of the Committee, noting that a meeting of the Conveners of Scottish Remuneration Committees had not been held in 2022. Members were also advised that the Convener had held discussions with Conveners of other Committees of the Court. She had also met with the Principal, the Chair of Court, the Interim Director of HR & OD and the Deputy Director of HR & OD.

Resolved: to note the updates.

4. **RESERVED BUSINESS: REPORT TO THE REMUNERATION COMMITTEE – 2022/23 REMUNERATION ROUND**

(1) 2022/23 Report to the Committee [38(1)(a)]

[Secretary's note: The Committee considered the item as reserved business. The University asserts that the paper is exempt from public disclosure and claims exemptions in 38(1)(a) of the Freedom of Information (Scotland) Act 2002.]

- Resolved:**
- (i) to confirm to the Court that the Committee was satisfied that
 - the relevant policies and procedures had been appropriately followed, homologate the decisions within the report, and note the expenditure of £112k relative to a budget of £160k; and
 - (ii) to note that the Remuneration Committee and the People & Organisational Development Committees would receive and consider revised proposals for a pay and reward framework.

(2) Reserved Business: Report on Decisions Made in Accordance with the Schedule of Delegation and Decision-Making Powers

In accordance with the remit for the Remuneration Committee, and the corresponding policies, the Committee received a report from the Deputy Director of Human Resources & Organisational Development (HR & OD) detailing decisions taken by the Remuneration Committee and/or the Convener of the Remuneration Committee in accordance with the Schedule of Delegation and Decision-Making Powers over the previous 12-month period. Members noted that their decision to approve an in-year salary uplift for reasons of retention for one member of UEG should be included in the report.

Resolved: to note the report.

5. **RESERVED BUSINESS: UNIVERSITY EXECUTIVE GROUP MATTERS**

(1) Reserved Business: University Executive Group

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

The Committee received and considered a report from the Principal, which had been requested by the Convener of the Committee. Professor Gillespie noted that, following approval of the ambitious new University Strategy 2022-2027 by the Court, the structure and composition of the University Executive Group (UEG) merited review to

ensure that the UEG had the capacity and capability to deliver the strategic ambitions of the institution.

Members noted that the Court had approved the split of the previous role of Vice-Principal (Research) into two roles: Vice-Principal (Research) and Vice-Principal (Enterprise and Economic Transformation) and that the recruitment and selection process for these positions would commence shortly. The University also required to fill the vacancy left by the departure of the Director of Human Resources & Organisational Development, which would be redesignated 'Director of People' and to recruit a Director for the new Directorate of Strategic Change & Delivery. These roles were noted as critical to supporting the delivery of the new Strategy by working closely together and, it was intended, by becoming members of UEG. The Committee was advised of the proposed remuneration envelopes for the Directors, noting that additional flexibility could be required to secure the appointment of a Director of Strategic Change & Delivery.

The Committee welcomed the paper and was supportive of the Principal's intention to broaden and strengthen the UEG. It was agreed that a remuneration range of £120k to £150k was envisaged for the Director of People but that the role of Director of Strategic Change & Delivery could require, *in extremis*, c£170k to secure an outstanding candidate.

- Resolved:**
- (i) to note the current thinking for the future development of the University Executive Group as delineated in the paper; and
 - (ii) to approve the proposed remuneration ranges for the recruitment of a Director of People and a Director of Strategic Change & Delivery, as noted above.

(2) *Reserved Business: Remuneration Parameters for the appointment of new Vice-Principals*

[Secretary's note: The Deputy Director of Human Resources & Organisational Development returned to the meeting for discussions on this item.]

The Committee received and considered the above paper from the Principal in relation to the proposed remuneration parameters for the Vice-Principal (Research) and Vice-Principal (Enterprise and Economic Transformation). This would inform the recruitment and selection process for these roles, which was due to commence imminently. Members were provided with benchmarking data for the sector and the role profiles for the Vice-Principal (Research) and Vice-Principal (Enterprise and Economic Transformation).

- Resolved:**
- (i) to note the role profiles for the Vice-Principal (Research) and Vice-Principal (Enterprise and Economic Transformation);

- (ii) to endorse the proposed remuneration ranges for the recruitment of the Vice-Principal (Research) and Vice-Principal (Enterprise and Economic Transformation), as delineated in the paper; and
- (iii) to endorse the remuneration mandate for the Director of People and a Director of Strategic Change & Delivery, as delineated in the paper.

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

[Secretary's note: The Deputy Director of Human Resources & Organisational Development withdrew from the meeting for the duration of discussions on this item. The University Secretary & Chief Operating Officer withdrew from the meeting for items relating to his performance and did not receive the relevant papers.]

(1) Reserved Business: University Executive Group Salary Review: Contextual Data

The Committee reviewed the UCEA Senior Staff Remuneration Survey 2021 data as it pertained to the benchmarking of roles on the University Executive Group (UEG) and considered the benchmark data provided in respect of the University Executive Group, as well as senior staff award data by gender and ethnicity. The Principal advised the Committee of his intention to bring a report to the meeting of the Committee in May 2023 in which he would articulate the accountabilities and responsibilities of senior staff beyond the UEG as part of a cultural review of the contributions of leadership roles to the delivery of the University Strategy 2022-2027.

- Resolved:**
- (i) to note the report; and
 - (ii) to note that the Committee would receive a further report from the Principal at its meeting in May 2023.

(2) Reserved Business: Report on the University Executive Group

[Secretary's note: The Committee considered the item as reserved business. The University asserts that the paper is exempt from public disclosure and claims exemptions in 38(1)(a) of the Freedom of Information (Scotland) Act 2002.]

- Resolved:** to approve the award as set out in the paper.

7. **REMUNERATION COMMITTEE ANNUAL REPORT**

[Secretary's note: The Deputy Director of Human Resources & Organisational Development and the University Secretary & Chief Operating Officer rejoined the meeting at this point.]

The Committee received and considered the above draft annual report from the Committee to the Court.

Resolved: to note that the report would be submitted to the Court.

8. NARRATIVE FOR COURT

The Committee agreed to highlight to the Court discussions relating to the strategic consideration of the University's reward and recognition framework and the role of the University Executive Group and People & Organisational Development Committee in this regard. Members requested that the Convener express to the Court the richness of the discussions on future developments and the importance of improving equality & inclusion.

Resolved: to note the areas highlighted.

9. COMMITTEE WORKPLAN 2022/23

The Committee considered its work plan for 2022/23 and approved the plan subject to the addition of a training session on the pay and reward framework at the March 2023 meeting of the Committee. In addition, a report on the cultural review of the contributions of leadership roles to the delivery of the University Strategy 2022-2027 would be considered at the meeting in May 2023.

Resolved: to approve the Work-Plan subject to updates set out above.

10. COMMITTEE BUSINESS 2022/23

(1) Annual Review of Remit & Terms of Reference and Reward Policy for Professorial & Grade 10 Staff

The Committee noted that officers had reviewed the Remit & Terms of Reference and that minor amendments had been recommended. The Committee was further advised that minor amendments were recommended in relation to the Reward Policy for Professorial and Grade 10 staff to reflect changes to the SFC annual accounts direction and to reflect the University Strategy 2022-2027.

- Resolved:**
- (i) to endorse to the Court the proposed amendments to the Remit & Terms of Reference for the Committee 2022/23 (**appendix 1**); and
 - (ii) to endorse to the Court proposed amendments to the Reward Policy for Professorial & Grade 10 Staff (**appendix 2**)

(2) Schedule of Delegation and Decision-Making Powers

Members noted that, following its annual review, no amendments were proposed to aspects relating to the business of the Remuneration Committee.

Resolved: to note that no changes were required.

(3) Severance Policy

The Committee noted that, following its annual review, no amendments were proposed to the Severance Policy.

Resolved: to note that no changes were required.

(4) Committee Effectiveness

The Senior Policy Officer (Corporate Governance) advised the Committee that the report on committee effectiveness in 2022 did not contain the qualitative data from previous reports as these had been covered by the one-to-one meetings held by the Chair and Vice-Chair of Court. Members noted that the Governance & Nominations Committee had requested that an alternative format for the evaluation of committee effectiveness be produced during 2022/23 and that the Convener of the Remuneration Committee would be involved in this process.

Resolved: to note the report.

Karen Thomson
(Convener)

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

A meeting of the Committee was held on 12th January 2023.

Present: The Convener, the Director of Biological Services (DBS), the University Veterinary Surgeon (UVS), two NACWOs, the training coordinator, the Establishment Licence-Holder, two PIL holders, two PPL holders, one member of court, one independent and three lay members.

Apologies: Seven members had sent apologies.

1 MINUTES OF LAST MEETING

The last meeting was held on 13th October 2022 and Minutes of the meeting were approved.

2 MATTERS ARISING

- a. WEC2022-33, amendment to add breeding & maintenance of mild phenotype protocol. The purpose of the use of the animals changed with the requirement to transfer to a different project licence for continuing work. Approved by committee 12/1/2023.
- b. Discussion of an emergency bridging licence for breeding and maintenance of animals with a moderate phenotype for a project using a model of Crohn's disease. The researcher concerned has submitted their project licence renewal to the Home Office but given the timescale a Plan B is required in the event the licence is not approved before the current licence authority expires.
 - Resolution to amend service licence. Humane endpoints and breeding strategy been developed in-house and confirmed by another UK establishment.
- c. In relation to point b. a reminder will be sent to all project licence holders to begin the application process at least seven months in advance. The Home Office states 40 working days for complete and correct, plus time for first pass by DBS and UVS followed by sufficient time for circulation and response to comments from WEC.

[Action for DBS to email all PPL holders as a reminder].
- d. The committee approved plans to focus on colony management training in 2023. The aim is to support and advise researchers who hold this role but have no formal prior training. UVS has arranged for a joint 3Rs webinar with St Andrews and Aberdeen as well as planning a local workshop and distribution of guidance documents.
- e. The committee learned of a recent security breach in the animal users' group (AUG) email distribution list. An email containing sensitive information about culling of animals, as well as identifying unit staff by name, was distributed to all staff. IT are continuing to investigate but at some time between the 9th and 14th December one of

the staff recipients of AUG moved this email into the group "Group-Allstaff" which is in every staff member's Outlook (8014 viewers). Three more instances of this occurring have also been identified. The committee were sure that whoever dragged the message there will have done it by accident, but this has been very distressing to members of staff who do not work with animals, as well as to unit staff. The DBS emailed AUG to remind all members of this group the policy they have signed to protect the location and identities of those who work within the resource units, both staff and scientists, and a reminder to be careful when sharing or moving emails from this group.

- Resolution. DBS investigating alternative communication channels, see f below.

- f. The committee were pleased to hear that a dedicated Biological Services SharePoint was under construction, and that plans were initiated to develop an external webpage. This committee has been requesting for many years for there to be an online presence for transparency in animal work performed in Dundee.

3 **MERGER OF THE RESOURCE UNITS**

The DBS reported that the main programme of the building works was complete, with a schedule expected to be fully completed by end February 2023. The process was well managed with effective communication involving school managers, unit staff and researchers, and business able to continue during this process. Equipment for School of Medicine researchers has started to arrive, and tours are being made available to discuss experimental requirements and assign space. The establishment licence has been updated to reflect change of room purposes.

4 **AMENDMENT TO THE REVIEW PROCESS FOR A PROJECT LICENCE APPLICATION**

Continuation of point 4 in the minutes from 13th October, the committee approved a checklist for the review of new project licence applications. The committee agreed to trial the new system and review at appropriate times. Twelve months prior to renewal when project licence holders submit their retrospective review, the committee also agreed to invite them to the next calendar meeting to summarise and to detail their plans.

5 **AMENDMENT TO THE POLICY AND WEC TERMS AND REMIT DOCUMENTS**

The Committee approved the minor changes to the updated documents. These will be submitted to RGPSC for filing.

[Action for DBS: to share the updated policy with registered users and document the acceptance of the conditions].

6 ESTABLISHMENT SYSTEMS

Continuation of action from Point 6 in minutes 13th October; the DBS reported the success of a recent trial carried with a major group of investigators to perform return of procedures for 2022. This will be mandated for all new licence holders.

[Action for DBS: email reminder to be sent to all project licence holders].

7 NON-TECHNICAL SUMMARIES

[Standing agenda item]

The importance of these being complete and genuinely non-technical was discussed. Lay members agree that they continue to be too scientific. UVS informed the committee that this is due in part to the current HO form system.

[Action for UVS/DBS email to PPL holders to contact them early to share pitfalls and provide advice on which part of the form automatically completes the NTS. Independent member will also share guidance from Europe with examples].

8 STANDARD CONDITION 18 REPORTS

[Standing agenda item]

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

- Unexpected death of two GA animals and one unwell immediately after the administration of a compound given in corn oil vehicle. This was not a drug effect as one of the two animals who died was administered vehicle only. The remaining study was stopped. We presume that it was due to an interaction between the oil and the genetic modification on this occasion, as there have been no previous reports of such toxicity using corn oil and the same batch of oil had been used in parallel studies (in another genotype) without incident. The Home Office inspector agreed, and no further action was required.
- Seven unexpected deaths during an infection study, despite the existing monitoring and scoring systems having been used. There was no pattern to the deaths, which occurred in animals with a range of levels of infection, but infection levels in at least 4 of the animals were too low to have been solely responsible for deaths. The deaths occurred after the noisiest part of our current building works and a clear link to a particular building activity could not be established. Health screen was clear for all organisms on the FELASA SOPF list, and only positive for the deliberately infected pathogen. Histopathology of organs showed no abnormalities. The Home Office inspector agreed the reason could not be identified and was likely due to the building work, and no further action was required.

9 REPORT FROM THE UVS ON ANIMAL WELFARE

[Standing agenda item]

The UVS reported as follows:

- TNF-delta mice. These mice are a good model of Crohn's disease but are also reported to be small, have an oily coat, have reduced appetite and to develop arthritis later in life. These can only be bred as male hets to female WT for colony maintenance, as hets become too ill too early to breed and females appear unable to support their litters post-partum (in at least some labs). Animals are reported as appearing normal until approximately 6 weeks old. However, in our hands we find that Biological Services staff can identify the hets at weaning (i.e., animals are clinically distinguishable through small size and coat condition). We are seeing abnormal gait and some apparent joint swelling in some animals from 5-6 weeks old and some animals are reaching humane endpoints by 8 weeks old, but the researcher requires animals to remain up to 12 weeks to generate the scientific endpoints. Histopathology has identified tendon fibrosis in multiple joints in affected animals, causing concerns about the level and duration of suffering. However, it appears that moderate phenotype may be able to be maintained if animals are transferred from the breeding unit which uses automatic watering and corn bedding to the expansion breeding unit where it appears that the different environment may stabilise the phenotype. A clinical scoring system and agreement on humane endpoints has been discussed with UVS, unit staff and the research group and the situation continues to be monitored very carefully.
- Checklist for transfer for expansion breeding and/or onto experimental study plan to ensure animals are fit for purpose has been developed and our recording system will be used to confirm this check has taken place.

10 REPORT FROM THE TRAINING COORDINATOR

[standing agenda item]

This was noted and the committee was encouraged by the high level of participation.

25 DOPS assessments, 35 Online Modules, 2 New PIL AB, 2 Persons attended NACWO Refresher course, 2 Persons attending NACWO Introductory Course, 1 Person attending Mouse Genetics Course, 1 person attended Mouse Genetics Course, Surgical Skills Course held 07 December, PPL Holder Training TBA, Colony Manager Training TBA.

All PIL Holders pre 31 March 2022 have completed Severity Assessment and Experimental Design Training. All PIL Holders post 01 April 2022 have been given until 31 March 2023 to complete this. Non PIL Study Directors will be directed to complete the training prior to submission of Study Plans

11 REPORT FROM THE DBS ON LICENSING MATTERS

[standing agenda item]

A review of the project licence applications and amendments submitted to WEC between October and December were summarised and status reported.

12 AOCB

- The Committee welcomed two new members, a PIL holder and a lay member.
- The UVS suggested the meeting minutes should be shared with the registered users of the facility for information.
- The committee congratulated all staff on their national recognition by NC3Rs on 3R's advances, as well as rehoming animals.
- The committee acknowledged improved communications between the Schools and Biological Services and commit to understanding the long-term direction of the provision and support for a high standard of animal welfare.
- School of medicine thanked all Biological Services staff for their hard work and determination for business continuity during the merger process.

13 DATE OF NEXT MEETING

4th May 2023. Subsequent meetings in the current academic session will be held on 24th August and 2nd November 2023.

Appendix 7**STAFF COUNCIL MINUTES**

A meeting of the Council was held on 8 December 2022 in Dalhousie LT3 and online via MS Teams.

Present: 200 (online) and 30 (in person) Members of University Staff

Convener: The Principal

In Attendance: Secretary to the Council

1. PRINCIPAL'S QUESTIONS

(for this item the Deputy Convener of the Standing Committee took the Chair)

The Principal reflected on his first two years in post and thanked staff and students for their efforts to help ensure that the University was in a much improved position in the post-pandemic period. He noted that the University had gained influence by improving its relationship with the city and region and was in a much better financial position, thanks mainly to an outstanding levels of international student recruitment.

The Principal noted that while some of the necessary structural changes in the University had not been well-coordinated in their implementation, they would help to realign all parts of the institution on a more positive trajectory. Work was underway to ensure that the institution learned lessons for the future from implementation of these changes. He also noted the challenges of maintaining good industrial relations in the context of difficult decisions that needed to be taken on pension reform. He explained that while these decisions were not easy, they were always taken in the best interests of the institution.

What are the plans for leadership of research in the University in the context of the departure of the Vice-Principal in October?

The Principal reported that University Court had recently agreed plans to fill the vacant Vice-Principal research leadership positions and that recruitment activity would start in early 2023.

The Senior Vice-Principal explained that the portfolio had been divided to align with the University Strategy and that two Vice-Principal positions would be available, one for research with impact and one for enterprise and economic transformation.

The Senior Vice-Principal noted that as the positions might not be filled until the start of the next academic year, interim arrangements had been agreed. He explained that he would be chairing the Research & Knowledge Exchange Committee as well as working with the School Associate Deans for Research, Research Finance, and the Doctoral Academy. He noted that senior colleagues, including the Principal and the Director of Research and Innovation Services would take forward other aspects of strategic research leadership for the remainder of the academic year and that full details would be circulated in due course.

In response to a question submitted online, the Senior Vice-Principal confirmed that public engagement with research activity would be boosted under the new arrangements, as it would be a key part of the role for one of the new Vice-Principals.

What is the University doing to avert another student accommodation crisis in January 2023?

The Principal explained that despite the challenges seen in the student accommodation sector there was not a crisis in Dundee thanks to the help and support provided by colleagues across the University and in the city. He noted plans to ensure that this help and support would continue in 2023.

The Vice-Principal Education explained that the difficulties seen during 2022 were often related to location and price rather than supply. He noted that while accommodation had been available the growing numbers of international students arriving at the start of Semester 2 had contributed additional pressures in the local post-pandemic accommodation market.

The Vice-Principal reported that a Working Group had been established to help facilitate additional capacity for student accommodation by working with the City and both private and tourist sector providers. He also noted ongoing discussions with Abertay University on utilizing spare Halls of Residence capacity in the local area.

The Vice-Principal reported that the work already undertaken gave reasonable confidence that accommodation requirements would be met in January 2023. The Principal reported that partnership with the city would enable an improved response to any acute shortage of student accommodation.

In response to a question from the floor, the University Secretary agreed that suitable accommodation for new staff was also an issue that needed to be considered by the University. He explained that changes in legislation intended to protect tenants during the pandemic had contributed to the reduction in rented accommodation supply at a national level.

The Principal said that he was encouraging the active exploration of ways in which the University could further support newly appointed staff re-locating to Dundee.

What is the University doing to prepare for potential power cuts over the winter period?

The University Secretary confirmed that the University had received information from government that highlighted a risk of planned power outages in early 2023. He explained that although the risk was low the University had plans in place to respond to any notification of loss of power. He noted that such a notification would be issued in circumstances where the National Grid might be unable to meet demand due to a “perfect storm” of adverse events.

The University Secretary noted that planned power outages would require the University to close for up to half a day and for staff and students to return home. He confirmed that the University would be unable to operate its district heating system or generate power through the Combined Heat and Power (CHP) plant.

In response to a question, the Secretary explained that facilities at Ninewells Hospital & Medical School would be prioritised in government plans but no other parts of the University, including Halls or Library facilities would be designated as essential. The Secretary explained that students in Halls would be provided with help and advice on staying safe during any power outages and that the University was exploring options to provide LED lighting to discourage students from taking unnecessary risks, e.g., using candles.

Final arrangements for the new School were confirmed very late in the semester and some things are still unclear or in transition and communications have been very poor. What lessons can be learnt from the process, and will things be improved moving forward?

The Principal reiterated his view that some aspects of the process to establish the School of Humanities, Social Sciences and Law were clumsy and that it was vital to learn lessons moving forward. He noted that many of the uncertainties had been resolved and that the new School was moving in the right direction to face the challenges ahead.

The Senior Vice-Principal noted that establishing the new School was a big operation in terms of staffing changes. He observed that the new School now had fewer leadership vacancies than some other Schools in the University. He acknowledged the need to learn lessons, especially on how to improve communications with staff and students most affected by the process.

The Senior Vice-Principal noted that establishing the new School was quite a long process but was necessary to ensure that the large financial savings needed could be achieved in line with the focus on academic excellence. He acknowledged that the changes needed were uncomfortable for some and that more could have been done earlier to be clearer about the rationale for change.

The Senior Vice-Principal explained that the Voluntary Severance Scheme had achieved its goals and that those who took advantage of the Scheme were grateful for the processes put in place. He emphasised that the changes would facilitate further work, in partnership with the Dean and School Executive, to deliver sustainable academic excellence across the new School.

The Senior Vice-Principal reflected on the need to build trust, engage with the Campus Unions and undertake a comprehensive lesson-learned exercise. He also noted that a stress risk analysis had been commissioned.

The Senior-Vice Principal reported that a new Directorate would enable the University to improve its approach to delivering change in the future, noting that change was inevitable and needed to be delivered in partnership with the University community.

Why are there such big differences in staff terms & conditions on such things as leave for different grades in the University?

The University Secretary explained that differences in staff employment contracts arise due to the wide range of roles needed across the organization, differences in recruitment markets and career pathways. He noted that while some differences were historical there were often good reasons for contracts to vary, especially between academic roles and professional services roles.

The Secretary observed that the University's new People and Talent Strategy would help to provide clarity on recognition and reward arrangements, with a particular emphasis on developing enhancements to career development opportunities for professional services staff. He explained that reform of recognition and reward processes would be considered, especially where there was scope for greater harmonization in contractual arrangements.

The Secretary noted that agreement had been reached with the Campus Unions to reinstate the Higher Education Role Analysis (HERA) process in the next academic year, to bring forward implementation of the Living Wage payments and to seek Living Wage accreditation.

In response to a question submitted online, the Principal agreed to refer the issue of extending Paternity/Partner leave for active consideration by the appropriate leadership groups in the University.

Many staff have been concerned about inconsistency in how the University values and rewards staff on Teaching and Scholarship contracts compared to those on Teaching & Research contracts. Will the new academic staff appraisal process do anything to address these concerns?

The Principal agreed that additional work was required to ensure that Teaching & Scholarship (T&S) staff felt valued and recognised for their essential contribution to the University. He noted that many more T&S staff had been successful in the most recent promotion rounds thanks to a more effective recognition process that helped clarify the range of contributions to academic excellence.

The Vice-Principal Education noted the work of the Dean of Health Sciences to help establish clear criteria for recognising the complimentary contributions of T&S staff in reward and recognition processes. The Vice-Principal explained that further progress would be made through the launch of a new Education Academy in 2023, to include the recognition and development of academic scholarship as one of its main purposes. He noted that the Academy would support staff in the creation of project-based portfolios of evidence for use in professional development and promotion processes, on a clearly defined teaching and scholarship pathway.

The one-off payment to staff in October was heavily taxed. Many feel that this was a missed opportunity for staff to feel valued. Is the same thing going to happen to the £750 payment recently announced?

The University Secretary explained that the additional payment of £750 to all members of staff had been negotiated with Unison as an element of the agreement reached to end their dispute with the University on pensions and pay, and that the amount had been set to offer a meaningful gesture to cost of living concerns. He noted that the University had a legal obligation to deduct tax and national insurance and that the £750 payment level had been set in order to ensure that staff would receive a significant and meaningful amount even after statutory deductions.

The Principal noted that as the additional payment might impact eligibility for social security benefits for some staff, Payroll can make arrangements for phased payments if necessary.

Staff and students have been struggling to cope with problems with University systems in recent months, what is the University Executive doing to ensure that the problems are resolved?

The Principal noted a number of ongoing challenges for the University's digital technology services and core systems. He reflected on issues with the implementation of the new HR systems had caused delays to issuing new contract and making payroll changes for a small number of staff and the news that the current Director would be leaving the University in 2023

The Principal noted that the University, in common with many other organisations had been facing a significant rise in the number of cyber-attacks. He reported that the University's digital technology team had been able to help protect the integrity of IT systems but would require additional resources to maintain resilience.

The Principal noted that the increased reliance on online functionality seen during the pandemic had contributed to a very competitive IT recruitment market dominated by the private sector. He explained that expert analysis suggested that the digital skills shortage had begun to ease and that markets had become more stable.

The Vice-Principal Education reported on the work of the Digital Committee and the development of the new digital strategy. He explained that the University had invested in infrastructure to support online/blended delivery of programmes and was committed to upskilling of staff as a strategic goal. He noted issues relating to the stability of student desktops and explained that plans were being developed for improvements in the next academic year.

The Interim Director of Human Resources agreed that some aspects of implementing the new HR & Payroll system had been challenging. He explained that implementation was still at an early stage and that processes would improve overtime. The Interim Director also reported that the appointment of a new Director of Digital Technology Services would be confirmed early in 2023.

Staff Survey

In response to a question submitted online, the Interim Director of Human Resources confirmed that plans for a Staff Survey in 2023 were moving forward and that further details would be circulated soon. He noted that a new supplier had been appointed and that the survey would likely run from the end of February 2023.

Questions submitted online

In response to a question from the floor, the Principal agreed that as there had not been time to address all questions submitted in the online Q&A, on this occasion a written grouped response to the themes of the questions would be published (on the Staff Council Webpage) in due course.

2. **FUTURE MEETINGS**

27 February 2023

24 April 2023

Professor Iain Gillespie
Principal
January 2023