UNIVERSITY OF DUNDEE

UNIVERSITY COURT

A meeting of the University Court was held on 25 April in the Ustinov Room of the Bonar Hall, City Campus, University of Dundee.

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

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

Apologies: Ron Mobed, Sharon Sweeney, Professor Mairi Scott.

48.   **WELCOME AND INTRODUCTION FROM THE CHAIR OF COURT**

The Chair welcomed members to the meeting of the Court and requested that the confidentiality of the matters for discussion be respected. Members were further reminded that, should they wish to declare a conflict of interest, they should approach the Chair or the University Secretary & COO.

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.

49.   **MINUTES**

The Court decided: to approve the minutes of the meeting on 13 February 2023, subject to one amendment identified under paragraph 46 required to reflect that Ian Ganley had

been appointed Professor in Teaching and Research.

50.   **MATTERS ARISING**
      Action Log

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

      The Court decided: to note the update.

51.   **CHAIR'S REPORT TO COURT**

      The Court received an oral 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 Ms Millar had attended events including the Committee of Scottish Chairs, AdvanceHE training and a Dundee Women's Festival event celebrating Christian Bisset, the first female Law academic in Scotland.

      The Chair advised the Court that the Independent Member of Court, Adam Robertson, had resigned from the membership of the Court with immediate effect. His successor had been elected by the Student Representative Council and would attend the next meeting of the Court as an observer.

      The Court decided: to note the report.

52.   **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. Members were apprised of changes within the Scottish Government following the resignation of Nicola Sturgeon as First Minister, including the appointment of a new Cabinet Secretary for Education & Skills and a new Minister for Higher & Further Education. The Court was advised that members of the Executive had met with Scottish Government officials to discuss the recently-published interim purpose and principles statement, which would be the subject of a presentation by the Chair of the Scottish Funding Council following conclusion of the official business.

      The final stages of the budget process were noted as under completion, with the budget for 2023/24 and an update of the five-year plan to be presented to the meeting of the Court in June. Professor Gillespie apprised members of matters related to, *inter alia*, regional development, environmental sustainability and the development of the Africa Initiative.

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

      In discussion, the Court noted the potentially deleterious long-term effects of the interim purpose and principles statement for the tertiary sector in Scotland and expressed concern regarding real-term decreases in funding. Members were advised that the Committee of Scottish Chairs and Universities Scotland, as well as individual and collective Principals, would continue to engage with the Scottish Government on this matter.

      The Court decided: to note the report.

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

The Court received and considered reports from the President of the Students' Association (DUSA) on the 175-day review and an interim assessment of the progress made by the current Student Executive against their manifesto. Members noted the activities of the previous eight months and commended the Executive for these colourful and informative documents.

In discussion, members congratulated Ms Mutembwa on having been elected for a second term and requested a brief summary of key priorities. The Court was advised that DUSA had been engaging actively with the different overseas student societies to understand the challenges experienced by these students and that work was underway to produce a study of the International Student Space, including the importance of support for students coming from cultures where mental health issues were not widely acknowledged or discussed.

DUSA was commended for its partnership working with Student Services over the previous year, whilst noting that further work remained to encourage engagement by students. Ongoing issues remained in relation to accommodation and the cost-of-living crisis, as well as co-ordinating all sources of support available for students.

The Court decided: to note the report.

54.   **PUBLIC SECTOR EQUALITY DUTY REPORTING**

The Court received and considered the statutory Public Sector Equality Duty (PSED) reports, which required to be published by 30 April 2023. Members noted that, whilst the production of these reports was an important compliance requirement, the central element of the University Strategy was to increase and embed Equality, Diversity & Inclusion (EDI) at the heart of all University activities.

Following a review of EDI, the University had made the main priority of the People & Talent Strategy to take action to advance equality, tackle persistent inequalities and to become actively anti-discriminatory. EDI Key Performance Indicators (KPIs) had been developed, intended to be focused and measurable and the Institutional Academic Lead would work with colleagues to explore the potential for developing a small number of additional EDI KPIs relevant to the remaining enabling strategies.

In discussion, members commended the approach taken in presenting the baseline reports but requested greater analysis of the data in future reports. The Court welcomed the support of Dundee City Council in tackling issues of racism in the city and in raising recognition of the value students brought beyond the purely financial. The importance of vigilant monitoring of the Equality Outcomes was emphasised in maintaining momentum in this area.

The Court decided: to approve the reports for publication.

55.   **GOVERNANCE MATTERS: MEMBERSHIP OF THE COURT**

The Court received and considered a report from the Deputy University Secretary on governance matters related to the membership of the Court, submitted as **Paper F.** As noted in the report, the Court was invited to approve the recommendation of the Governance & Nominations Lay Member Appointing Panel that Glenn Allison and Amina Shah be appointed to the Court as lay members under Statute 9(1)(k) for a period of four years in the first instance beginning 1 August 2023. The following other appointments to the Court had been made following elections:

Nyasha Mutembwa   Elected as President of the Students' Association to serve for Academic Year
                                   2023/24; and
Ian Buerger   Elected as Independent Student Member of Court to serve for Academic Year

2023/24.

The Court decided: to formally approve the appointment of Glenn Allison and Amina Shah to the Court as lay members under Statute 9(1)(k) for a period of four years in the first instance beginning 1 August 2023.

56.   **COMMITTEE REPORTS**

(1)   Audit & Risk Committee Report

The convener of the Audit & Risk Committee introduced the report of the most recent meeting of the Audit & Risk Committee. Mr Winter advised the Court that the deep dive proposed in conjunction with the People & Organisational Development Committee had been deferred until the UEG had given consideration to the matter. Members were apprised that the Committee remained vigilant to the number of outstanding recommendations from previous reviews and expected to see an improvement in the number of resolved recommendations, whilst remaining cognisant that turnover rates amongst key senior staff had impacted this to a degree.

(i)   Minutes of the Committee's meeting on 28 February 2023

The Court received the minutes of the meeting of the Audit & Risk Committee on 28 February 2023.

The Court decided: (i)   to approve the Committee's endorsement of the revised Anti-Bribery Policy (**appendix**);

(ii)   to approve the Committee's endorsement of the revised Conflicts of Interest Policy (**appendix**);

(iii)   to approve the Committee's endorsement of the revised Whistleblowing Policy (**appendix**); and,

(iv)   otherwise, to approve the minutes.

(ii)   *Reserved Business* Minutes of the Committee's meeting on 28 February 2023

The Court received the reserved minute of the meeting of the Committee held on 28 February 2023.

The Court decided: to approve the minute.

(2)   Governance & Nominations Committee

The Court received the minutes from the meeting of the Governance & Nominations Committee on 21 March 2023.

The Court decided: (i)   to note the appointment of Mr Andrew Donaldson to the membership of the Endowments Sub-Committee;

(ii)   to note the Committee's request that the Skills Matrix be redeveloped;

(iii)   to note that the Committee had received an Early-stage report

on changes arising from the 2022 review of the Scottish Code of Good Higher Education Governance;

(iv)   to note the Committee's decision to cease the use of the annual effectiveness questionnaire, to be replaced with structured conversations;

(v)   to note the Committee's approval of a framework for the delegation of matters related to Museum Services; and

(vi)   otherwise, to approve the minutes.

(3)   People & Organisational Development Committee

The Court received the minutes of the meeting of the People & Organisational Development Committee on 13 March 2023. The convener advised the Court that the Committee continued its endeavours to establish the foundations supporting the University Strategy and thanked the UEG for their commitment to supporting positive change.

The Court decided: (i)   to approve the Committee's endorsement of the Internal and External Secondment Policy and Procedure (**appendix**);

(ii)   to approve the Committee's endorsement of the amendments to the Resolution Policy (**appendix**);

(iii)   to approve the Committee's endorsement of the revised Hybrid Working Policy (**appendix**);

(iv)   to approve the Committee's endorsement of the revised Alcohol, Drug and Substance Misuse Policy (**appendix**); and

(v)   otherwise, to approve the minutes.

(5)   Staff Council Minutes

The Court reviewed the minutes from the meeting on 27 February 2023.

The Court decided: to approve the minutes.

57.   **REPORT FROM THE SENATUS ACADEMICUS**

Report of the meeting of the Senate on 22 March 2023

The Court received and considered the above report of the meeting of the Senate held on 22 March 2023 and noted the areas highlighted to the Court.

The Court decided: (i)   to approve the recommendation that the title of Professor Emeritus be conferred on Professor Colin Reid;

(ii)   to note the Senate's consideration of the draft Academic Calendar 2023/24;

(iii)   regarding the amendments to Ordinance 39 as an urgent matter, to

approve the addition of the Master of Dental Public Health (MDPH) to the Degrees conferred by the University at a single meeting in accordance with the terms of Article 16.2, following the approval of Senate for its part at its meeting on 12 October 2022; and

(iv)   otherwise, to note the report.

58.   NARRATIVE FOR THE SENATUS ACADEMICUS

The Chair of Court suggested, and Court agreed to highlight to the Senate the Court's approval of two new lay member appointments and the Court's approval of the change to Ordinance 39, noted above in paragraph 57. Finally, it was agreed that the Court's approval of the Public Sector Equality Duty Reports, noted above in paragraph 55, would be highlighted to the Senate.

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

59.   RESEARCH GOVERNANCE ANNUAL REPORT

The Court received and considered the above annual report from the Research Governance & Policy Sub-Committee of the Senatus Academicus, submitted to provide the Court with reassurance regarding the undertaking of research within the University.

The Court decided: to note the report (**appendix**).

60.   SENIOR STAFF APPOINTMENTS

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

Name	Title	New appointment	Internal promotion
Hannah Whaley	Director of Library Services	Yes	
Anne Poulson	Director of Strategic Change & Delivery	Yes	
Josine Opmeer	Assistant Director, Research Research and Innovation	Yes	
Alissa Melinger	Professor School of Humanities, Social Sciences & Law		Yes
Sarah Hendry	Professor School of Humanities, Social Sciences & Law		Yes
Thomas Giddens	Professor School of Humanities, Social Sciences & Law		Yes
Xiaoyi (Shawn) Mu	Professor School of Humanities, Social Sciences & Law		Yes
Richard Ingram	Professor School of Humanities, Social Sciences & Law		Yes
Jane Fenton	Professor School of Humanities, Social Sciences & Law		Yes
Patricia McCulloch	Professor School of Humanities, Social Sciences & Law		Yes
Frank Ruda	Professor School of Humanities, Social Sciences & Law		Yes

The Court decided: to note the appointments.

61.   **ANY OTHER BUSINESS**

No other business was declared. The Court adjourned to receive a presentation from Mike Cantlay, Chair, Scottish Funding Council.

[Secretary's note: the report of the presentation is appended to the minute]

Amanda Millar Chair of
Court
University of Dundee

Appendix 1

UNIVERSITY OF DUNDEE

UNIVERSITY COURT

The University Court was joined on 25 April via Microsoft Teams by Mike Cantlay, Chair, Scottish Funding Council and James Dunphy, Director of Access, Learning and Outcomes, Scottish Funding Council.

WELCOME FROM THE CHAIR OF COURT

The Chair welcomed Dr Cantlay and Mr Dunphy to the Court

PRESENTATION

The Court received a presentation from Dr Cantlay on issues facing the tertiary sector in Scotland including the ongoing impact of the global pandemic, as well as the consequences of Brexit, widespread industrial unrest and the cost-of-living crisis. Members were reminded that the outcome of the Scottish Government Spending Review had resulted in a flat cash outcome, which constituted a real-terms cut in funding. Fluctuations in interest rates had resulted in an increased funding gap for the Scottish Government, who remained committed to maintaining excellence in teaching and research. This commitment notwithstanding, concerns had been expressed within the Scottish HE sector that the levels of resource supporting research and innovation had not kept pace with Universities in England. Members were advised that further work would follow the publication of the Scottish Government's interim statement on the purpose and principles of post-16 education before any position on the tertiary landscape was reached, and that the principle of free tuition for Scottish students remained at the heart of Government policy.

In the course of a lengthy discussion, members considered, *inter alia*, the impact of a lack of capital expenditure on the estate and the cost of investment in digital learning technologies, both during the COVID-19 pandemic and looking forward as Universities sought to develop further the potential for flexible, hybrid and online learning. It was noted that Universities would require to take strategic decisions on their future direction if the overseas student market reached saturation point and that business planning would be vital to the continued health of the sector.

Discussing the importance of regional impact to the mission and strategy of the University, members identified the successes of the institution in driving the innovation economy. The Court noted that the University would seek to build on these successes through partnerships at local, national and international levels.

Thereafter, the Court thanked Dr Cantlay and Mr Dunphy for their insights, and for their attendance.

Appendix 2

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UEG Report to Court

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A. PRINCIPAL'S INTRODUCTION

1. The Court Retreat in February marked an important milestone in bringing together the thinking of the University Executive Group and the Court. It is vitally important that we continue to monitor and scrutinise our ambitions in the context of the operating environment, and I was greatly heartened by the productive and lively conversations that took place.

2. With regard to this report, I have taken on board the recommendation from the Court that a shorter, higher-level overview would be desirable and in keeping with the ambition of keeping the reading pack to a minimum. As always, there will be space to elaborate on aspects which the Court may feel warrant further conversation and I look forward to continuing to develop this report in line with the needs of the Court.

B. SECTORAL AND POLICY MATTERS

3. Scottish politics has undergone a period of substantial change, following the resignation of First Minister Nicola Sturgeon, and the appointment of her successor, Humza Yousaf on 29 March 2023. We have long-standing relationship with the new First Minister across a number of key strategic matters, including education, healthcare provision and enterprise and innovation, having hosted him on several occasions since the pandemic. We are keen to continue to strengthen our existing relationship with him and other local MPs and MSPs – including the new Deputy First Minister Shona Robison (MSP for Dundee City East) and new Minister for Local Government Empowerment & Planning, Joe Fitzpatrick (MSP for Dundee City West), both of which we know well.

4. Other key changes to the Cabinet include the appointment of Jenny Gilruth as new Cabinet Secretary for Education & Skills and a new Minister for Higher & Further Education, Graeme Dey. Graeme represents Angus South and is also well known to the University. The consequences for these changes to government roles are yet to be seen. However, we have already begun to engage with the aforementioned Ministers to build early connections. Members may wish to note Ivan McKee's decision to exit the administration as Minister for Business, Trade, Tourism and Enterprise. Nevertheless, the new First Minister said he still intends to launch Scotland's new Innovation Strategy, likely now to be in early May. Finally, Michael Marra, an ex-staff member is now Shadow Cabinet Secretary for Education & Skills.

5. Turning to recent changes within Higher Education bodies, we are delighted to congratulate Sally Mapstone (University of St Andrews Principal & Vice-Chancellor) on her appointment as Convener of Universities UK (UUK). Consequentially, Sally will vacate her role as Convener of Universities Scotland. A process is currently underway to identify a successor.

6. Meanwhile, at the University of Dundee we continue to step up the quality and focus of our engagements, the most recent of which was a visit from the CEO of UUK, Vivienne Stern. Outwith the Principal's regular programme of engagements, members of the Executive met with Scottish Government officials to discuss the recently published interim purpose and principles statement. We continue to reiterate areas of concern, in line with [Universities Scotland's consultation response](#). Looking ahead, we will be hosting a dinner in the House of Lords, together with Lord Robertson, to celebrate our vision for building the University of Dundee's triple intensive and world class future and re-establish connections with key stakeholders. We look forward to sharing outcomes with the Court at its meeting.

C. PAY, PENSIONS AND INDUSTRIAL RELATIONS

7. The industrial relations environment, particularly at a national level, remains challenging. UCU have initiated

further industrial action in the form of continuous action short of a strike (ASOS) from Thursday 20 April 2023 in response to the ongoing dispute over pay and pensions. This can involve moderate action from 'working to contract' through to more serious action such as marking and assessment boycotts. The University has communicated its position and continues to put mitigations in place to minimise the impact for students. Work continues to secure joint working with all trade unions on other related areas of joint interest which we hope will see the ASOS action called off.

8. On pensions, triennial valuations will take place in 2023 for USS (based on 31st March) and UODSS (31st July). Indicative outcomes of the formal valuation process will take 3-6 months from the valuation date with a target for implementation of any changes of 12 months.

9. Members will wish to note the appointment of our Director of People, Elise Gallagher, who will play a key role in taking elements of the above forward. Elise is a strong addition to our Executive leadership team and will take up post from 3 July 2023.

D. STRATEGIC MATTERS

Planning and Budgeting Process

10. We are currently completing the final stages of the budget process, including budget challenge meetings and investment decisions. We were joined by our new Director of Strategic Change & Delivery at the most recent Executive Away Day where we focused on reviewing the outputs of the planning process, lessons learned, and also began to consider a way forward on a number of challenging subject matters in the context of planning data. We are confident the new process is beginning to shape real change in terms of strategy delivery and instilling a culture of empowerment with accountability at management level. As is usual, the budget for 2023/24 and update of the five-year plan will be presented to Court at their June meeting.

Student Growth and Experience

11. We are pleased to report that 2022/23 Semester 2 intake was extremely positive, with most Schools achieving above budget growth. This level of demand, particularly the international demographic, continues to grow for 2023/24. TPG applications have doubled year on year and all Schools are expected to meet or exceed budget target in Semester 1. The anticipated changes to UK Government immigration policy and student visas have yet to transpire and are unlikely to impact 2023/24 Semester 1, however, we continue to monitor this situation closely. Following exploration of size and shape at our February Retreat, discussions continue amongst the Executive regarding the level and pace of growth of student numbers to ensure that our growth plans remain sustainable, and the issues such as capacity and capability, student support, accommodation are adequately taken into account.

Africa Initiative

12. Building on our Africa Initiative, the Principal returned to Malawi in April to strengthen our collaborations with partners, in the context of the Blantyre Declaration. Together, we explored opportunities to expand existing links, as well as identify new potential areas of mutual interest for collaboration across our triple intensity. The visit was successful in establishing a clear sense of focus and direction of travel with key Malawian university partners. The Principal will be able to update further on key outcomes of the trip at the meeting.

Regional Development

13. As members will recall, we submitted a bid to the UK Research Partnership Investment Fund (UKRPIF) to cover the funding gap in relation to the Innovation Hub, and also support wider Innovation District infrastructure. We are disappointed to report that our application was unsuccessful. We continue to

intensively explore other potential funding options and are currently in close discussions with Scottish Enterprise regarding a business case for investment. Whilst it will be too early to report on the outcomes of these discussions, we hope to be in a position to update the Court at its June meeting.

Environmental Sustainability

14. A key element of our University Strategy is the creation of a new Institute for Sustainability, bringing together all of our expertise, across the breadth of our triple intensity to address world sustainability challenges. To support this, we have developed a 'Sustainability Think-In' which will take place on 26 April and will enable us to begin to identify and scope out our major strengths and opportunities as a starting point for assessing the breadth and depth of the Institute. We look forward to updating the Court in due course on how this develops.

Community Achievements

15. A comprehensive list of our research highlights and awards can be seen in Appendix 1, however we are delighted to announce that five University of Dundee academics have been named the newest fellows to the Royal Society Edinburgh (RSE):
    - Professor Alessio Ciulli – Director of the Centre for Targeted Protein Degradation, School of Life Sciences
    - Professor Janet Clarkson – Professor of Clinical Effectiveness, School of Dentistry
    - Professor Albena Dinkova-Kostova – Professor of Chemical Biology, School of Medicine
    - Professor Maria Fusco – Chair in Interdisciplinary Writing, Duncan of Jordanstone College of Art & Design
    - Professor Blair Smith – Professor of Population Health Science, School of Medicine

16. This is a richly deserved award for each of them, and a demonstration of our triple intensive DNA. I am sure the Court will wish to congratulate them all.

Appendix 2, Annex A

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 L Miller (Life Sciences)**
Mechanisms of Selective Protein Secretion: Towards Therapeutic Interventions
£3,069,718 from Wellcome Trust

Cellular secretion is an essential biological process that delivers a diverse set of proteins to the extracellular environment, including into the circulating bloodstream. This grant will dissect the mechanisms cells use to secrete these proteins, with the goal of identifying chemicals that selectively inhibit release of only a subset of secreted molecules. This approach has potential therapeutic impact in a variety of human diseases including heart disease, fibrosis and fighting pathogen infection.

    (ii)   **Professor D W Gray (Life Sciences)**
Harnessing the Splicing Code for Targeted Control of Gene Expression (UNLEASH)
£2,313,876.58 (including £691,297.64 overheads) from UKRI Horizon Guarantee – ERC Synergy

Alternative splicing (AS) of mRNA precursors plays important roles in tissue-specific gene regulation and biological regulatory mechanisms, as it can radically alter protein expression and the way cells respond. The ERC UNLEASH Project addresses the major technical challenges that have limited progress in the AS field. Building on extensive preliminary data, the four partners (two from the School of Life Sciences in Dundee and one each from Barcelona and Munich) will use a multidisciplinary approach that combines chemical, structural, cellular, systems biology and machine learning to characterize mechanisms of splice site selection and identify targets for modulating these mechanisms. The primary goal is to answer the central question, 'Is it generally possible to modulate splicing with high specificity using small molecules?' Success will transform our basic understanding of human gene expression and unleash major opportunities for Pharma to develop new therapeutics.

    (iii)   **Dr C Cole (Medicine)**
Improving Treatment Efficacy in Hypertension by Biomarker-Guided Personalised Decision Support (HT-ADVANCE) (Joint with INSERM (lead), Radboud UMC, University Hospital Zurich, Dresden University Hospital and University of Glasgow and 8 other organisations)
£2,292,358.63 (including £458,471.73 overheads) from UKRI Horizon Guarantee

Secondary hypertension is challenging to diagnose and requires different treatment to, the more common, primary hypertension. Misdiagnosis results in patients on the wrong treatment, poor response and worse prognosis. We have developed a machine learning prediction tool which can analyse blood and urine laboratory results for improved diagnosis of secondary hypertension. In the

six-year HT-ADVANCE project we will be running clinical trials to test the predictor's utility in the clinic and improvements to patient treatment over current practice.

(iv)   **Dr I Mordi (Medicine)**
Sotagliflozin in Patients with Heart Failure Symptoms and Type 1 Diabetes (SOPHIST)
£1,417,209 (including £128,837 overheads) from Juvenile Diabetes Research Foundation International

We have been awarded £1.5 million from the JDRF to lead a UK-wide clinical trial that will be the first in the world evaluating a class of drugs known as SGLT2 inhibitors in people with type 1 diabetes and heart failure.

SGLT2 inhibitors have been shown to save lives in people with type 2 diabetes, and people with heart failure who have type 2 diabetes or do not have diabetes, however they have not previously been used in people with heart failure and type 1 diabetes. If our study shows that SGLT2 inhibitors have a similar effect in people with type 1 diabetes as they do in other groups, then this could change clinical guidelines to allow people with type 1 diabetes access to these life-saving medications.

(v)   **Professor D R Alessi (Life Sciences)**
Development of LRRK2 Type II Inhibitors to Understand Utility of these Compounds for the Treatment of Parkinson's Disease
£842,780 (including £109,780 overheads) from Michael J Fox Foundation for Parkinson's Research

This is a major collaboration involving the PPU, DDU and GSK to search for a novel class of LRRK2 inhibitors for the treatment of Parkinson's Disease. The project commenced in April, and we are working intensely on this project.

(vi)   **Professor D M J Lilley (Life Sciences)**
Expanding the Chemical Range of RNA-mediated Catalysis: Structure and Mechanism
£689,812 (including £361,604.41 overheads) from the Engineering and Physical Sciences Research Council

We seek to expand the range of chemistry catalysed by RNA enzymes (ribozymes) beyond those in contemporary biology. This tests theories of the chemical origins of life, potentially providing proof of principle of the RNA world hypothesis and could generate novel chemical catalysts for organic synthesis.

(vii)   **Professor M J Woods (Art & Design)**
Citizen-powered Data Ecosystems for Inclusive and Green Urban Transitions (Urban ReLeaf) (Joint with International Institute for Applied Systems Analysis (lead), Vrije Universiteit Brussel, Institute of Communication and Computer Systems, and eleven other organisations)
£495, 969 (including £188,436 overheads) from UKRI Horizon Guarantee

Urban ReLeaf is a new four-year cross-cultural EU project that aims to co-create citizen-powered data ecosystems to support climate change adaptation, green infrastructure, and urban design planning. University team will collaborate with Dundee City Council to deliver a two-year citizen sensing pilot monitoring a range of environmental issues that relate to Dundee's green transitions for the built

environment. Their research will also support a range of pop up, co-design and insights labs across six cities; the leadership of a community of practice; and storytelling activities. Dundee is one of six cities across Europe to have joined forces to enable people to participate in citizen science for public sector innovation through the implementation of nature-based solutions to decrease issues such as air pollution and improve mental health, among other benefits.

(viii)   **Professor J A Knappett (Science and Engineering)**
Braced Excavations: What About the Corners (Joint with University of Durham)
£459,722 (including £236,217 overheads) from the Engineering and Physical Sciences Research Council

When a new metro station or a deep basement are to be constructed in a city, a large hole in the ground is needed. The excavation needs to be safe to work in and to allow access and very often the chosen solution is to support the sides of the large hole with a braced embedded retaining wall. For those tasked with designing these temporary works the key issues are prediction of ground movements adjacent to the excavation (which could negatively affect nearby buildings) and   propping forces (for stability of the excavation). Coverage of the behaviour at excavation corners as regards both design issues in existing guidance is poor. The problem can only be properly tackled using a 3D model however even today, the computational tools we use struggle to deliver results quickly. So, in this project the research team at Durham University will be using a novel "reduced order model", (ROM) approach, using results from a relatively small set of the complex 3D models. These models will be validated against sophisticated physical models of actively-propped excavations conducted using the Geotechnical Centrifuge Facility at University of Dundee. From these ROMs we will derive results and prepare guidance for engineers designing braced excavations which will enable (a) greater economy in propping schemes and (b) more certainty in the prediction of ground movements adjacent to corners, potentially reducing the accommodation works required to prevent damage to adjacent structures. The project is supported by a Project Oversight Group comprising key figures from the UK industry.

Appendix 3

AUDIT & RISK COMMITTEE MINUTES

A meeting of the Audit & Risk Committee was held at 2.00 pm on 28 February 2023 in the Executive Meeting Room, Level 5, Tower Building.

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

In Attendance: Professor Wendy Alexander   Vice-Principal (International) (via Teams);
                Richard Bint   Convener of the Finance & Policy Committee (via Teams);
                Peter Fotheringham   Director of Finance;
                Syed Hamood Kalim   KPMG (via Teams);
                Dr Neale Laker   Deputy University Secretary;
                Dr Jim McGeorge   University Secretary and Chief Operating Officer;
                Dr Christine Milburn   Head of Principal's Office (for item 12) (via Teams);
                Dr Liz Rogers   Risk and Business Continuity Manager;
                Kenny Stewart   Policy Officer (Corporate Governance);
                James Lucas   KPMG;
                Umran Sarwar   Director of Legal (for item 5 and item 7)
                Dr Alison Ramsay   Senior Policy Officer and Clerk to Court (via Teams);

Apologies: Susan Walker;
                Stephen Reid.

1.   **MINUTES**

       Resolved: to approve the minutes of the meeting on 28 October 2022.

2.   **MATTERS ARISING**

       Action Log

       The Committee received and considered the action log of progress made to date in relation to outstanding actions from previous meetings. Members heard that an item on Transparent Approach to Costing (TRAC) would be added to the agenda of a future meeting of the Committee.

       Resolved: to note the Action Log.

3.   **CONVENER'S REPORT**

       The Convener reported that he had attended the first meeting of Scottish Audit Committee Chairs on 30 January, organized through the Committee of Scottish Chairs. Twenty-two institutions had been represented and minutes would be shared with members once finalised. Items of interest discussed at the meeting had included different institutional

approaches to cyber-insurance and cross-institutional co-operation on areas of audit and risk management. The Convener had also attended the meeting of the Finance and Policy Committee in January and the Court Retreat on 13 and 14 February.

The Convener reported that he had met with the internal auditor and would seek to do so with the External Auditor, who had given apologies for the meeting. A meeting with the Convener of the People & Organisational Development Committee had also been scheduled to discuss matters of relevance to both Committees.

Resolved: to note the Convener's Report.

4.   **INTERNAL AUDIT 2021/22**

i.   <u>Internal Audit Progress Report</u>

The internal auditor introduced the Internal Audit Progress Report which summarised activity against the internal audit plan and the progress of follow up actions through the updated Management Action Tracker. Of the agreed audits in the 2022/23 plan, three had been completed, one was at draft report stage, and the fieldwork for two reviews were in progress.

At the Committee's request, the auditor had reviewed outstanding actions in December 2022 to assess whether there were areas where original risk ratings could be revised. As a result, the rating of four of thirty-five outstanding actions had been revised from high to medium. In the period to the end of December 2022, a further four actions had been completed and closed.

The Management Action Tracker provided a detailed update on the status of outstanding internal audit recommendations. At its October meeting, the Committee had identified that the number of outstanding audit recommendations from the previous cycle remained high. The Committee had requested a detailed update on the progress of actions due by 31 January 2023. The Tracker showed fifteen had been due by the end of this period, and that action owners had agreed revised due dates for twelve of these. The Committee considered the adoption of further measures to support a more positive 2022/23 internal audit opinion.

The internal auditor acknowledged that senior staffing changes in HR&OD, Digital & Technology Services (DTS) and Strategic Planning had had a partial impact on the prospect of closing actions for the HRP Implementation, Academic Performance and Cyber reviews.

Meetings between the auditor and newly appointed staff were scheduled for Q1 & Q2 2023, intended to develop plans for delivering outstanding actions. The new Interim Director of DTS had scheduled a review of findings from the internal audit review on cybersecurity, with outcomes to be shared with members at the May meeting.

The Committee noted that further activity to revisit actions from legacy audit reports would be undertaken to reassure members on current controls. Members agreed that the currency of residual actions would be reviewed to determine whether they were still applicable or required revision.

Resolved: (i)   to consider the review of Cyber audit findings conducted by DTS at the May meeting of the Committee;

(ii)   to request that officers and the Internal auditor continue to track progress with action owners; and

(iii)   to consider the progress towards the completion of audit actions at the May meeting of the Committee.

ii.   <u>Payroll Post Go-Live Assessment</u>

The Internal auditor introduced an executive summary of the Payroll Post Go-Live Assessment audit report, which had assessed the post go-live status upon implementation of the Payroll module of the new centralized HR and Payroll system. The report provided an overall rating of 'Significant assurance with minor improvements required' (Green-Amber), with three medium and one low priority recommendations.

The audit had identified a requirement to address a lack of formalised objectives for the Payroll system nor a means for tracking implementation. Consideration was also given to outstanding post-implementation issues still to be resolved.

The Committee noted that work to assess the benefits of the implementation of system modules was ongoing and was consistent with benefits realisation work across other major institutional projects. The Committee felt that the new format was particularly effective in highlighting issues. Members welcomed the helpful layout of the executive summary format.

Resolved: to note the internal audit report on Payroll Post Go-Live Assessment.

iii.   <u>Core Financial Controls: Treasury and Accounts Receivable</u>

The internal auditor introduced an executive summary of the Core Financial Controls: Treasury and Accounts audit report. The review had examined the core processes and controls of the Treasury Management and Accounts Receivable functions. The report provided a rating of 'Significant assurance with minor improvements required' (Green-Amber). The report made two medium and three low priority recommendations.

The review had identified that the quality and consistency around the documentation of key processes and procedures could be strengthened. This finding was reflected in the two medium-priority actions: to introduce controls which ensured signatories on all bank accounts remained up to date; and to introduce procedures for staff responsible for the negotiation of contracts with new customers.

Resolved: to note the internal audit report on Core Financial Controls: Treasury and Accounts Receivable.

5.   **POLICY REVIEW**

The Convener welcomed the Director of Legal to the Committee for item 5, a review of three university policies.

i.   Policy Review - Explanatory Notes

The Committee received a note explaining the recent review of the Anti-Bribery, Conflicts of Interest and Whistleblowing policies. Members noted that the policies had been reviewed to comply with good governance principles and industry standards and that the review had been conducted with the assistance of external legal counsel.

Members noted that proposed changes to each of the policies did not materially change their scope, focus or structure, and were intended to provide members with reassurance that a process of internal and external review had been undertaken. The proposed changes tended to reflect the adoption of new clauses or language considered good practice in the evolution of each policy. Members agreed that the paper provided a clear summary of the changes made and provided a helpful basis for comparison and review.

Members considered the accessibility of the policies and the extent of training available to improve awareness and understanding. The Director of Legal confirmed this was a priority area. Due to the nature of the policies in scope and the extent of resources available, training would be prioritised for staff in specific sales and international facing roles, where potential issues from the Anti-Bribery and Conflicts of Interest policies were more likely to arise.

Resolved: to note the proposed policy changes outlined in the Explanatory Notes paper.

a.   Conflicts of Interest Policy

The Committee considered the revised Anti-Bribery Policy. The review contained the addition of new clauses and revisions, one of which further clarified the consequences of breaches of the Bribery Act 2010 to the individual and to the University. The policy had included more explicit reference to the Donations Policy and the Gifts & Hospitality Policy for further guidance.

The Committee was advised that the exposure to areas covered by the policy had the potential to rise as the University increased its international profile. The Committee also discussed practical applications of the revised policy, with particular focus on partner recruitment agents working on behalf of the University in other jurisdictions. Members heard that the University conducted levels of due diligence on potential partner agencies. Agencies which acted on behalf of the University required staff to undertake a British Council self-certification process which required an elevated level of compliance, and the completion of approved training.

Resolved: to endorse the Anti-Bribery Policy to Court for approval.

b.   Conflicts of Interest Policy

The Committee considered the revised Conflicts of Interest Policy. Among the new clauses and amendments proposed was a clarification that the policy was in addition to, and not a replacement for, the contract of employment or other policies. The Committee's attention was also drawn to a significant addition to the list of example scenarios where a conflict of interest could occur. This concerned employee use of University resources or confidential information obtained through their position for personal financial or non-financial gain. Members heard that the advent of hybrid working had increased the prospect of this scenario. It was confirmed that in the event this situation arose, potential breaches would be managed through relevant HR policies.

Resolved: to endorse the Conflicts of Interest Policy to the Court for approval.

c.   Whistleblowing Policy

The Committee considered the revised Whistleblowing Policy. Members noted that the policy had a more informal tone to the others under review to increase accessibility to staff. The main revisions to the policy clarified the process for non-employees to use the policy and a new section on the process by which staff could seek outside assistance from an independent third party on a confidential basis.

Resolved: to endorse the revised Whistleblowing Policy to the Court for approval.

6.   **QUARTERLY RISK AND BUSINESS CONTINUITY UPDATE**

The Committee received the Quarterly Risk and Business Continuity report, which summarised activity for the period from November 2022 to February 2023. The paper included reference to the introduction of additional training for those staff less experienced in risk and business continuity. Members heard that outreach activity with Schools and Directorates had taken place to identify training needs and to promote awareness. Training was due to be launched by the Risk and Business Continuity Manager by summer 2023, with use of resources to be monitored.

The paper also noted that the University Executive Group (UEG) had scheduled a deep dive session on staffing risk in April 2023. The purpose of the session was to review current controls in place, consideration of additional controls required and a discussion on the UEG's risk appetite. The Committee would receive an update on the session at its next meeting.

The Committee considered planned responses to potential power outages outlined in the report. The risk was considered to have reduced since the update provided to the Committee in October 2022. The Committee was reassured that, during exercises undertaken in Digital & Technology Services, plans for power outages had been evaluated and found to be robust.

Members further discussed power outages that could occur as a result of energy leaks. Members recommended that further scenario planning on energy sources be undertaken to model how the impact of energy leaks could be managed.

The Committee commended the leadership shown by the Director of Estates and Campus Services (ECS) and the considerable efforts of ECS staff in responding to the incidents in Dalhousie and Life Sciences buildings which had taken place in December 2022. The actions of staff in response to these had helped ensure the safety of students and fellow staff members, the integrity of University buildings and the avoidance of further damage.

Resolved: (i)   to receive a summary of the UEG deep dive session on people risk;

(ii)   to ask the Risk and Business Continuity Manager to further consider business continuity planning of energy resources with the University Secretary and Director of Estates and Campus Services; and

(iii)   to otherwise note the Quarterly Risk and Business Continuity Update.

7.   **RESERVED BUSINESS: LEGAL RISK REPORT**

[Secretary's note: Members should note that this item is considered strictly confidential. The University claims the exemptions in S.30(b), 30(c) and S.33(1)(b) of the Freedom of Information (Scotland) Act 2002. The minute has been redacted and is provided under separate cover and will be published as an appendix to the minute of the Court meeting at which its release is approved.]

8.   **TEACHING EFFICIENCY & EFFECTIVENESS REPORT**

The Committee received the final Teaching Efficiency and Effectiveness Report for information. The paper described the three-stage project adopted to guide schools through the process of portfolio review. The Committee had received an internal audit report in August 2021 which had reviewed portfolio development and management processes at the University. In consideration of the internal audit review and findings, the Committee had requested updates on the status of the project at different stages in its lifecycle.

This final report considered by the Committee had been produced following the conclusion of the project. The paper documented the activity undertaken to assist Schools at each stage. The report confirmed that this area of activity would now be incorporated into 'business as usual' through the annual planning cycle.

Resolved: to note the Teaching Efficiency & Effectiveness Report.

9.   **RISK MANAGEMENT OVERSIGHT GROUP**

The Committee noted the minutes from the meeting of the Risk Management Oversight Group on 7 December 2022.

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

10.   **PRIVATE MEETING WITH AUDITORS**

Officers withdrew from the meeting at this point so that the Committee could speak in private with the internal auditors. No issues were raised that had not been discussed during the meeting. It was indicated that the relationship between officers and KPMG continued to work well. Good working relationships had been fostered with the University Secretary, Deputy Secretary and the Director of Finance. Scheduled six-weekly calls with these members of staff were viewed as particularly helpful in the identification of potential issues and to flag consideration of further audit work.

The auditor also reflected on progress towards the delivery of internal audit follow up actions and acknowledged that completion of actions were not always conducted in a timely manner. The auditor confirmed that management were committed to the audit of business areas and processes where a high degree of material risk was considered likely and the requirement for remedial action was high. These were considered factors in the internal auditor's opinion for the 2021/22 year.

11.   **ANY OTHER BUSINESS**

Dundee International Institute – Central Southern University

[Secretary's note: Members should note that this item is considered strictly confidential. The University claims the exemptions in S.30(b), 30(c) and S.33(1)(b) of the Freedom of Information (Scotland) Act 2002. The minute has been redacted and is provided under separate cover and will be published as an appendix to the minute of the Court meeting at which its release is approved.]

12.   **DATE OF NEXT MEETING**

Members agreed to a change of date for the next meeting of the Committee to Thursday 11 May 2023.

Resolved: to reschedule the next meeting of the Committee to Thursday, 11 May 2023.

Keith Winter
Convener

Appendix 3, Annex A

AUDIT & RISK MINUTES

ANTI-BRIBERY POLICY

ANTI-BRIBERY POLICY

University of Dundee

dundee.ac.uk

1.   Overview

    a   It is the policy of the University to conduct business in an honest and ethical manner consistent with the University values and the Nine Principles of Public Life in Scotland.

    b   As part of this policy, the University takes a zero-tolerance approach to bribery and corruption and is committed to acting professionally, fairly and with integrity in all its business dealings and relationships, wherever it operates, and implementing and enforcing adequate procedures to prevent and counter bribery.

2.   Purpose

    a   The University will uphold all laws relevant to countering bribery and corruption in all the jurisdictions in which it conducts business, including, in the UK, the Bribery Act 2010 (the Act), which applies to conduct both in the UK and abroad.

    b   Where there may be a conflict between laws of a territory outside the UK in which you are conducting University business and this policy, staff must apply whichever of the two sets the highest standards.

3.   Who does this policy apply to?

    a   This policy applies to all individuals working for, or on behalf of, the University at all levels and grades, whether permanent, fixed term or temporary, and wherever located, including students, consultants, contractors, seconded staff, casual staff, agency staff, volunteers, agents, sponsors and any other person who performs services for or on behalf of the University (collectively referred to as Staff in this policy).

    b   In this policy, Third Party means any individual or organisation that Staff come into contact with during the course of their work and the running of the University's business, and includes actual and potential students, intermediaries, referrers of students, staff, work, grants, suppliers, distributors, contractors, business contacts, agents, advisers, government funding councils, regulators and public bodies (including their advisers, representatives and officials), politicians and political parties.

4.   What is bribery?

    a   A bribe is an inducement or reward offered, promised or provided in order to improperly gain any commercial, contractual, regulatory or personal advantage, which may constitute an offence under the Act, namely:

- giving or offering a bribe
- receiving or requesting a bribe; or
- bribing a foreign public official

    b   The University may also be liable under the Act if it fails to prevent bribery by an associated person (including, but not limited to Staff) for the University's benefit.

5.   Gifts and hospitality

a   This policy does not prohibit normal and appropriate gifts and hospitality (given and received) to or from Third Parties unless otherwise specifically stated.

b   However, we have specific internal policies and procedures which provide guidance to Staff as to what are to be regarded as normal and appropriate gifts and hospitality in terms of financial limits, subject to the principles set out below, namely that any gift or hospitality:

- must not be made with the intention of improperly influencing a Third Party or member of Staff to obtain or retain business or a business advantage, or to reward the provision or retention of business or a business advantage, or in explicit or implicit exchange for favours or benefits
- must comply with local law in all relevant countries
- must be given in the name of the organisation, not in an individual's name
- must not include cash or a cash equivalent
- must be appropriate in the circumstances
- must be of an appropriate type and value and given at an appropriate time taking into account the reason for the gift
- must be given openly, not secretly
- in the case of gifts, they must not be offered to, or accepted from, government officials or representatives, politicians or political parties, without the prior approval of either (i) the University Secretary; (ii) Director of Finance; (iii) Director of Academic and Corporate Governance; and/or (iv) the Director of Legal; and
- must be declared, in line with the terms of the internal policies and procedures referred to above, if it is not of an appropriate type and value and/or is given at an inappropriate time

c   The University appreciates that the practice of giving business gifts varies between countries and regions and what may be normal and acceptable in one region may not be in another.

d   The test to be applied is whether in all the circumstances the gift or hospitality is reasonable and justifiable both in the UK and any other relevant country. The intention behind the gift should always be considered.

e   Further guidance is contained in the University's Gifts and Hospitality Policy.

6.   What is not acceptable?

a   It is not acceptable for any member of Staff (or someone on their behalf) to:

- give, promise to give, or offer, a payment, gift or hospitality with the expectation or hope that they or the University will improperly be given a business advantage, or as a reward for a business advantage already improperly given

- give, promise to give, or offer, a payment, gift or hospitality to a government official, agent or representative to facilitate or expedite a routine procedure

- accept payment from a Third Party where it is known or suspected that it is offered or given with the expectation that the Third Party will improperly obtain a business advantage

- accept a gift or hospitality from a Third Party where it is known or suspected that it is offered or provided with an expectation that a business advantage will be improperly provided by the University in return

- threaten or retaliate against another member of Staff who has refused to commit a bribery offence or who has raised concerns under this policy; or

- engage in any activity that might lead to a breach of this policy or bring the University into disrepute.

7.   Facilitation payments

a   The University does not make, and will not accept, facilitation payments of any kind, such as small, unofficial payments made to secure or expedite a routine government action by a government official, or payments made in return for a business favour or advantage.

8.   Charitable donations and sponsorship

a   The University only makes and receives charitable donations and sponsorship that are legal and ethical under local laws and practices, and which are in accordance with the University's internal policies and procedures.

b   Further guidance is contained in the University's Donations Policy.

9.   Record keeping

a   The University shall keep appropriate financial records and have appropriate internal controls in place which evidence the business reason for gifts, hospitality and payments made and received.

10.   Responsibilities

a   The prevention, detection and reporting of bribery and other forms of corruption are the responsibility of all those working within the University community or under our control.

b   All Staff are required to avoid any activity that might lead to, or suggest, a breach of this policy.

11.   Reporting

a   Staff

i   Staff are required to notify:

(A)   their line manager, in the first instance, who will then escalate in the usual way up to the Nominated University Representatives; or

(B)   if there are circumstances where Staff feel that is not appropriate, directly to the Nominated University Representatives as soon as possible if:

- it is believed or suspected that a conflict with this policy has occurred, or may occur in the future;
- they are offered a bribe, are asked to make one, suspect that this may happen in the future; or
- they believe that they are a victim of another form of unlawful activity.

ii   Any disclosure under this policy may be treated as "whistleblowing" by the University under its existing whistleblowing policy.

b   Third Parties

If any Third Party is aware of any activity by any member of Staff which might lead to, or suggest, a breach of this policy, they should raise their concerns with the Nominated University Representatives.

c   Nominated University Representatives

- University Secretary and Chief Operating Officer, Dr Jim McGeorge (//people/jim- mcgeorge)
- Director of Academic and Corporate Governance, Dr Neale Laker (people/neale- laker)
- Director of Legal, Umran Sarwar (/people/umran-sarwar)

12.   Consequences for breach of this policy

a   Any member of Staff who breaches this policy (which includes a failure to notify) may face disciplinary action, which could result in summary dismissal for gross misconduct. We reserve our right to terminate our contractual relationship with non-employee Staff if they breach this policy.

b   In addition to the above, please note the consequences of a breach of the Bribery Act 2010 both for individuals and for the University, include but are not limited to:

i   For individuals, up to ten years' imprisonment;

ii   For individuals and the University, an unlimited fine (and reputational damage).

13.   Communication

a   Our zero-tolerance approach to bribery and corruption will, where appropriate, be communicated to clients, suppliers, contractors and business partners.

14.   Monitoring and review

a   The Audit Committee has general responsibility for monitoring the operation and effectiveness of anti-bribery arrangements and will receive appropriate reports on any bribery activity.

b   The University Executive Group has a responsibility to ensure that internal control systems and procedures are monitored and also subject to regular review to provide assurance that they are effective in countering any risks of bribery and corruption.

c All Staff are aware that they are responsible for the success of this policy and should ensure they use it to disclose any suspected danger or wrongdoing.

d This policy does not form part of any employee's contract of employment.

Appendix 3, Annex A, Appendix 1

AUDIT & RISK MINUTES

ANTI-BRIBERY POLICY

THE NINE PRINCIPLES OF PUBLIC LIFE IN SCOTLAND

DUTY

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

SELFLESSNESS

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

INTEGRITY

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

OBJECTIVITY

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

ACCOUNTABILITY AND STEWARDSHIP

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

OPENNESS

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

HONESTY

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

LEADERSHIP

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

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

Appendix 3, Annex A, Appendix 2

AUDIT & RISK MINUTES

ANTI-BRIBERY POLICY

THE UNIVERSITY'S VALUES

Our values

Valuing People, Working Together, Integrity, Making a difference and Excellence.

Communication underpins all our values

- Take personal responsibility for ensuring communication in your sphere is effective.
- Communicate effectively and clearly using appropriate channels.
- A conversation is often better than email.
- Listen well so you can understand before responding.
- Be polite and courteous in all circumstances.
- Praise first before giving constructive feedback.
- Challenge absent or poor communication appropriately and ensure that no one is left out of the loop.

Valuing people

- Treat everyone with equal respect, valuing their contribution to the University.
- Make time to listen to, help and support others.
- Be aware that you might have unconscious biases and try to identify and overcome them.
- Be liberal with thanks and praise.
- Recognise and reward achievement.
- Acknowledge the contribution of others towards individual success.
- Recognise and respect differences, actively promoting inclusion.

Working together

- One Dundee: seek what is best for the wider University community as well as your team.
- Actively seek ways of working together across boundaries to address the University's key challenges.
- Foster partnership working between students and staff.
- Ensure every member of the University community is included and feels part of the bigger picture.
- Share good practice generously.
- Maintain calm and perspective in stressful situations.
- Counter cynicism by encouraging productive discussion and problem solving.
- Positively challenge divisive behaviour.

Integrity

- Behave ethically and professionally, with the best interests of the University at heart.
- Be open, honest and fair.
- Keep your word and be trustworthy.
- Be accountable for actions and decisions.
- Respect confidentiality when appropriate.
- Be open to challenge without defensiveness and willing to challenge without aggression.
- Have the courage to question actions that are inconsistent with University values.

Making a difference

- Remember that our common purpose is to transform lives locally and globally.
- Encourage and support fellow students and colleagues to be transformative.
- Commit to making a real difference through your work, inspiring others with your passion and enthusiasm.
- Focus on working well with others to get results.
- Encourage and enable professional development.
- Embrace change.

Excellence

- Aim to be leading in what you do as we strive to be Scotland's leading University.
- Nurture creativity and innovation.
- Demonstrate consistently strong personal performance so that others can rely on you.
- Benchmark yourself and your team against the best.
- Gather feedback to improve performance and close feedback loops.
- Provide encouragement and seek support to improve.
- Be honest with yourself and others about performance that is less than excellent.
- Challenge mediocrity and be prepared to take, and accept, difficult decisions in pursuit of excellence.

Appendix 3, Annex B

AUDIT & RISK MINUTES

CONFLICTS OF INTEREST POLICY

CONFLICTS OF INTEREST POLICY

Table of Contents

1. **Overview**

   1.1   It is the policy of the University of Dundee to conduct business in an honest and ethical manner consistent with the University's Values, the Nine Principles of Public Life in Scotland and applicable law and regulation.

   1.2   As part of this overarching policy, the University requires Staff to take appropriate steps to identify and prevent any Conflicts of Interest that may arise or have the potential to arise in the course of conducting business on behalf of the University.

   1.3   However, if a conflict cannot be prevented then Staff will require to take appropriate steps to mitigate and manage such conflicts.

2. **Purpose**

   2.1   This policy sets out the University's expectations of its Staff in respect of the identification and management of Conflicts of Interests and the controls that the University has in place to facilitate this.

   2.2   This policy is in addition to, and does not replace, any requirements of Staff contracts of employment or other policies, for example the Acceptance of External Research Funding Policy.

   2.3   In addition to the requirements of this policy, Staff also need to comply with any requirements imposed by external bodies, such as funders (e.g., Research funded by the Public Health Service of the United States Department of Health and Human Services), in relation to Conflict of Interest. Staff are responsible for understanding and complying with any relevant requirements.

   If Staff are unsure as to whether there are any external party requirements affecting them, they can escalate their concerns and seek advice as per clause 8 and 9 of this policy.

3. **Who does this policy apply to?**

   3.1   This policy applies to all individuals working for or on behalf of the University at all levels and grades, whether permanent, fixed term or temporary, and wherever located and any other person who performs services for, or on behalf of, the University.

4. **What is a Conflict of Interest?**

   4.1   A "Conflict of Interest" is a situation where one or more persons or entities have competing interests and the serving of one interest may involve detriment to another.

   4.2   A Conflict of Interest under this policy includes both an actual Conflict of Interest (i.e., a Conflict of Interest that has arisen) and a potential Conflict of Interest (i.e., a Conflict of Interest that may arise given particular facts and circumstances).

   4.3   It also includes a perceived Conflict of Interest (i.e., a situation which may give rise to the perception of a Conflict of Interest), even where an actual Conflict of Interest may not in fact exist.

4.4 Failure to identify and appropriately manage Conflicts of Interest could result in inappropriate or adverse consequences for the University, Students, Staff and Third Parties who deal with the University.

5. Examples of Conflicts of Interest

Conflicts of Interest relating to the University can be broadly described as scenarios where:

• a Staff Member's interest in the outcome of a particular activity or endeavour differs from the University's interest;

• a Staff Member (or, where applicable, a Family Member or Close Personal Relationship) receives a financial or other significant benefit as a result of the Staff Member's position at the University that is inappropriate in nature;

• a Staff Member has the opportunity to influence the University granting business or making administrative and other material decisions in a manner that leads to personal gain or advantage for the Staff Member or a Family Member or Close Personal Relationship;

• a Staff Member's existing financial or other interest or previous engagement in an endeavour or activity or relationship with another person, impairs or could impair their judgment or objectivity in carrying out their duties and responsibilities to the University;

• a Staff Member favours the interest of one part of the University over another, which is inconsistent with the best interest of the University;

• a Conflict of Interest arises in connection with a transaction or arrangement entered into between the University and a person of significant influence or between University Related Entities due to the close relationship between the parties; or

• an individual member of Staff has a competing interest in the distribution of effort between employment obligations to the University and to outside professional activities and Outside Business Interests.

• a member of Staff using University resources or confidential information obtained through their engagement with the University for personal financial or non-financial gain, or that of a Family Member or Close Personal Relationship.

6. What is not acceptable?

Conflicts of Interest, if inadequately managed, could result in the following outcomes which are deemed unacceptable by the University:

• the University and/or a member of Staff failing to comply with their legal or regulatory obligations;

• the University and/or a member of Staff failing to fulfil a duty of care, trust or loyalty owed to another person or entity such as a Student or Third Party;

• a Staff member's professional judgement and objectivity being compromised and/or hindering the proper discharge of their duties and responsibilities;

• a member of Staff engaging in unethical conduct;

- the University or member of Staff obtaining improper advantage or treatment or giving rise to the appearance of impropriety and consequent reputational damage, including as it relates to the manner in which business is awarded to or by the University; and/or

- the University being brought into disrepute and subject to adverse publicity and reputational damage.

7.   Responsibilities

7.1   As part of the University's approach to conflicts management, the prevention, management and reporting of Conflicts of Interest as set out in this policy are the responsibility of all those working within the University community or under our control.

7.2   The University requires the following categories of Staff to carry out the relevant actions as set out below.

A.   All Staff

All Staff are responsible for being alert to, identifying and managing Conflicts of Interest on an ongoing basis in relation to themselves and others and are required to:

- comply with this policy, Rules and other applicable policies and procedures relating to the identification, documentation, escalation and management of Conflicts of Interest;

- act with integrity and exercise good judgment and discretion in accordance with the University's Values and the Nine Principles of Public Life in Scotland;

- act with the requisite degree of independence and objectivity when discharging their responsibilities at the University;

- avoid, wherever possible, situations giving rise to Conflicts of Interest due to any of the following:

  o personal financial interest;
  o Family Members or Close Personal Relationships including but not limited to recruitment of Staff and/or applications for study at the University;
  o previous, current or potential future involvement in an activity or endeavour (whether at the University or externally); and/or
  o different roles and responsibilities at the University.

- and, in particular, refrain from participating in the recruitment process of staff, including shortlisting, selection and interview, where a Family Member or Close Personal Relationship has applied or is likely to apply; and

- avoid acting in any way to influence the consideration of student applications to study at the University from Family Members or Close Personal Relationships.

- immediately notify their line manager and/or Legal of the existence and general nature of a Conflict of Interest;

- immediately disclose Conflicts of Interest to the Chairperson/Convener when participating in decision-making within a committee or working group setting;

- within a committee of Court or Senate or other authorised group setting within the University (such as steering committee on a project) declare their interest and, if the

Chairperson/Convener so determines, remove themselves from the decision-making process and not seek to influence such decisions any further. Where the Conflict of Interest arises from the Chairperson/Convener they shall be under an obligation to declare it to the group/committee, and they shall refer themselves to the University Secretary or Legal for advice and decision;

- not be in a supervisory, subordinate or control relationship (having influence over conditions of employment) with closely related persons including Family Members or Close Personal Relationships;

- not misuse information obtained in the course of working at the University including for personal benefit;

- manage work-related information on a "Need to Know" basis, respecting information barriers and duties of confidentiality at all times;

- challenge and escalate promptly issues of concern to their supervisors and Legal so that Conflicts of Interest may be appropriately reviewed, managed and resolved;

- upon joining the University and on a periodic basis, thereafter, complete all Annual Declarations required by the University; and

- being aware of how their actions could be perceived in respect of Conflicts of Interest and to act in the best interest of the University at all times so that the University does not suffer reputational damage;

- comply with applicable Rules which require transactions and arrangements between the University and a Related Party to be carried out on an independent, arms-length basis.

B.   Supervisors

Staff who act in a supervisory capacity are required to:

- actively seek to identify, mitigate and, to the extent required by the University document Conflicts of Interest in their area of responsibility, including in connection with any current or planned activities;

- assess any Conflicts of Interest reported to them to determine if a Conflict of Interest exists (or might reasonably be perceived to);

- determine, after consulting Legal and other control functions as required, the best course of action to resolve, manage or avoid the Conflict of Interest, including further escalation to a higher management authority where necessary or the (temporary or permanent) withdrawal of oversight of a given matter or activity from the Staff member concerned;

- review on an annual basis or more regularly, if required, any reported Conflicts of Interest to ensure these are being managed in accordance with any agreed resolution; and

- allocate responsibilities to Staff who report to them in a manner that does not lead to Conflicts of Interest and avoid allocation of responsibilities which will compromise the independence of control functions of the University.

C.   Senior Management

Members of Senior Management are responsible for overseeing the identification, documentation, escalation and management of all Conflicts of Interest as they arise within their relevant areas of responsibility at the University.

Members of Senior Management are required to:

- sponsor and encourage an appropriate culture which emphasises the importance of ethical treatment of persons involved in a Conflict of Interest and the fair handling of Conflicts of Interest;

- be engaged in the implementation of policies, procedures and arrangements for the identification, documentation, escalation, management and ongoing monitoring of Conflicts of Interest;

- be engaged in the clear communication of policies, procedures and expectations and the sharing of best practice throughout the University;

- adopt a holistic view to identifying potential and emerging Conflicts of Interest within and across the University and to facilitate informed judgements with respect to materiality and the manner in which conflicts are handled;

- raise awareness and promote adherence of Staff in completing regular training both at induction and in the form of refresher training;

- sponsor systems and controls to document, track, manage and mitigate Conflicts of Interest risk, and regularly review their effectiveness;

- consider the implications and take corrective action, where required, in connection with performance measurements or incentive schemes that may incentivise a Staff Member to act contrary to the duties and responsibilities owed to the University; and

- utilise management information to remain sufficiently up-to-date and informed in connection with the matters listed above.

D.   University Executive Group (UEG)

Key obligations for members of UEG in connection with Conflicts of Interest are:

- To generally act in the best interest of the University and ensure that procedures are in place so that transactions considered by UEG relating to the University and/or a Third Party are generally undertaken only on an arm's length basis.

- To ensure that business decisions are unaffected by Conflicts of Interest and to therefore:

    o proactively identify Conflicts of Interest resulting from their executive management position (whether as a member of the management or the supervisory function) and disclose such Conflicts of Interest as required by the applicable terms of reference; and
    o Material Conflicts of Interest, individually and collectively, must be adequately documented, communicated to, discussed and duly managed by the UEG;

- In general, to not be involved financially in any kind of business which is in competition with the University without prior approval of the Principal and the consent of the Chair of the

Audit Committee. Where such approval is granted, this shall be reported to and documented by the Audit Committee promptly with regular reporting to Court.

- To not represent the University in dealings with himself or herself, or with a Third Party represented by himself or herself, unless the Chair of the Audit Committee permits such representation on the basis of consent and such consent is granted. Any consents granted by the Chair of the Audit Committee shall be reported to and documented by the Audit Committee promptly with regular reporting to Court.

8.   Conflicts of Interest management

8.1   The University addresses specific actual or potential conflicts through one or more of the following options:

- Application of the measures and precautions set out in this policy; and/or

- Either party declining or ceasing to act in relation to the matter in respect of which the actual or potential conflict exists.

8.2   All decisions as to the appropriate management of any Conflict of Interest should be based on three principles, namely:

- To comply with the terms of this policy;

- To secure fair and equitable treatment of all parties involved, and

- To mitigate any legal, regulatory or reputational risk to the University.

9.   Process for raising concerns and management (General)

9.1   Conflicts of Interest should be identified, declared and managed within the first line where possible in accordance with this policy.

9.2   For first line concern raising/declarations generally a Staff Member should contact their line manager in the first instance.

9.3   The following are escalation points after the line manager stage or where escalation to a line manager may not be appropriate.

Area	Escalation
Committee or Group	Declarations or concerns should be raised to the Chairperson or Convener who will then escalate in line with this policy as required.
Directorate	Declarations or concerns should be raised to the Director who will then escalate in line with this policy as required.
School	Declarations or concerns should be raised to the Dean of School who will then escalate in line with this policy as required.

9.4   Where a Conflict of Interest is declared the individual School, Directorate, Committee or Group will require to keep records of such. These records shall be kept and will be made available to Academic & Corporate Governance on request.

9.5   Where a Conflict of Interest or a potential Conflict of Interest has been disclosed, and is either:

      9.5.1   subject to the mandated requirements; or

      9.5.2   cannot reasonably be managed by the individual School, Directorate, Committee or Group as to mitigate the risk of inappropriate influence as set out in this policy;

      the relevant School, Directorate, Committee or Group shall discuss a possible resolution with the University Secretary on advice from Legal.

9.6   Any matter unresolved by the University Secretary shall be referred to the Audit Committee for advice; in cases of particular difficulty the matter shall be referred to the Court for final resolution.

9A Examples of Resolutions of Conflicts of Interest

Although it will be for the relevant parties noted in 9.5 and 9.6 above to decide on appropriate action in individual circumstances, Conflicts of Interest, if adequately managed, could result in the following resolutions (which are meant as examples and are not exhaustive):

•   the declaration in itself is accepted to be sufficient in managing the Conflict of Interest;

•   a Staff member may be asked to recuse themselves from acting on a project or otherwise exercising decision making on behalf of the University in relation to a matter subject to the Conflict of Interest;

•   a Staff member may require withdrawing from a hiring process due to the Conflict of Interest;

•   a Staff member may require recusing themselves from negotiating and signing contracts on behalf of the University in relation to a matter subject to the Conflict of Interest;

•   the Conflict of Interest may in some instances require to be disclosed to third parties (i.e., a regulator).

10.   Mandated requirements in respect of certain identified Conflicts of Interest

Notwithstanding the generality of this policy the following process has been mandated by the University in respect of the following categories of Conflicts of Interest:

10.1   Outside Business Interests

      10.1.1   The University permits Staff to maintain Outside Business Interests as long as: (i) the Outside Business Interest does not create an actual or potential Conflict of Interest; (ii) the Outside Business Interest does not affect the ability of Staff to perform their professional responsibilities within the University, including obligations under their employment contracts with the University.

10.1.2   No Staff Member shall establish an Outside Business Interest regardless of whether or not compensation is received, or the Staff Member is asked to engage in such activity by the University without the express approval of their line manager, the University Secretary and/or Legal.

10.1.3   If approval is received, the Staff Member shall require complying with the terms and conditions of this policy including but limited to Family Members or Close Personal Relationships and it is the Staff Member's responsibility to notify Legal immediately if any Conflict of Interest or potential Conflict of Interest arises in the course of the Outside Business Interest.

10.1.4   Generally, the University will not approve an Outside Business Interest other than where activities related to it are in compliance with the University's policies and procedures, reflect the interests of the University as a whole and/or that are not in competition with those of the University.

10.2   Holding of directorships and shares by Professional Services Staff

10.2.1   For the purpose of these rules "Professional Services Staff" are defined as staff of the University's professional services within both Directorates and Schools.

10.2.2   Unless formally nominated by the University to do so, Professional Services Staff shall not serve in a personal capacity as a director or other officer of a company or commercial enterprise, the establishment of which arose out of or was connected with work done in the University, or any company or commercial enterprise in a contractual relationship with the University, where the Professional Services Staff Member was concerned or connected with placing or negotiating the contract in question.

10.2.3   Any Professional Services Staff Member nominated by the University to serve as the director of a company shall be deemed to accept the nomination in the discharge of his or her duties as an employee of the University and shall decline to accept any director's fee.

10.2.4   No Professional Services Staff Member shall hold any shares in a company, the establishment of which arose out of, or was connected with, work done in the University, or any company in a contractual relationship with the University, where the Professional Services Staff Member was concerned or connected with placing or negotiating the contract in question - unless such shares have been acquired following the listing of the company on a recognised stock exchange.

11.   Annual Declarations

11.1.1   Individuals occupying the following positions shall be required to submit an annual declaration of external interests:

•   Members of Court and supporting officers;

•   The Principal & Vice-Chancellor

•   Vice-Principals

- Deans and Associate Deans

- Directors of Directorates;

- School Managers;

- All Staff in Legal and Procurement;

- Other administrative officers with significant budgetary or procurement responsibilities who will be notified of such from time to time.

11.2   A record of all declarations made shall be maintained centrally by the University Secretary or their nominee.

12.   Consequences for Breach of this policy

12.1   Any member of Staff who breaches this policy (which includes a failure to notify) may face disciplinary action, which could result in suspension or dismissal for gross misconduct. We reserve our right to terminate our contractual relationship with non- employee Staff if they breach this policy.

12.2   Repeated violations are considered on a cumulative basis.

13.   Communication

13.1   The University's approach to managing Conflicts of Interest will, where appropriate, be communicated to Third Parties.

14.   Monitoring and review

14.1   The Audit Committee has a general responsibility for monitoring the operation and effectiveness of Conflicts of Interest arrangements and will receive appropriate reports on any Conflicts of Interest activity.

14.2   The UEG has a responsibility to ensure that internal control systems and procedures are monitored and also subject to regular review to provide assurance that they are effective in countering any risks of non-compliance with this policy. Annex 2 lists the systems and controls that the UEG has in place to mitigate and manage Conflicts of Interest arising within the business of the University.

14.3   All Staff are aware that they are responsible for the success of this policy and ensure they use it to disclose any suspected danger or wrongdoing.

14.4   This policy does not form part of any employee's contract of employment.

Appendix 3, Annex B, Appendix 1

AUDIT & RISK MINUTES

CONFLICTS OF INTERESTS POLICY

DEFINITIONS

Definition	Meaning
Chairperson/Convener	A chairperson or convener of a committee or Group or equivalent;
Close Personal Relationship	any of the following: a) a romantic or sexual relationship of a Staff Member; b) a personal business, commercial or financial relationship of a Staff Member; c) a personal friend of a Staff Member or d) a cohabitee of a Staff Member;
Conflict of Interest	a situation where one or more persons or entities have competing interests and the serving of one interest may involve detriment to another;
Court Committee Member	A member of any board or committee of the University Court or Senate;
Directorate	A directorate within the professional services of the University from time to time;
Family Member	in relation to a Staff Member, a spouse, civil partner, domestic partner, children or stepchildren, parent or parent-in-law, sibling or sibling-in-law, grandparent, aunt, uncle, nephew, and niece;
Group	A group convened for the purposes of conducting University business;
Legal	the University's Legal department headed by the Director of Legal;
Outside Business Interest	Any commercial or business interest or activity undertaken by Staff outside their day-to-day role at the University which is likely to (i) conflict with their obligations under their contract of employment (ii) create an actual or potential Conflict of Interest; (iii) bring the University into disrepute; and/or (iv) otherwise be disclosable to the University under the University's policies and procedures including without limitation, establishing a company, forming a limited partnership, other external business interest, directorships, board memberships, external employment and paid political office appointments;
	The following are not considered Outside Business Interests: any work or activity undertaken with local community organisations; for example, local churches,

	homeowners' associations, school boards rotary clubs, local charities or other community organisations. The definition also does not include any voluntary work outside of your day-to-day role at the University;
Related Party/Entity	any person or entity who is considered a related party of the University under applicable corporate law of the entity's country of incorporation. Examples include a parent, subsidiary or fellow subsidiaries;
Rules	any laws, regulations, rules, supervisory expectations, codes of conduct/ethics, and standards of good or best practice relating to Conflicts of Interest applicable to the University;
School	A school of the University;
Senior Management	those Staff who are responsible for, or have significant influence over, the direction and day-to-day management of the University, its Schools and/or Directorates (including members of UEG, UMG and all other management positions) and/or a Related Entity;
Staff/Staff Member	any of the following: a) a permanent or temporary employee of the University; b) an authorised representative or agent of the University; or c) a Court Member;
Student	an undergraduate or postgraduate student at the University that is on a programme of study and has an active matriculated status;
Third Party	any individual or organisation that Staff come into contact with during the course of their work and the running of the University's business, and includes actual and potential students, intermediaries, referrers of students, staff, work, grants, suppliers, distributors, contractors, business contacts, agents, advisers, government, funding councils, regulators and public bodies (including their advisers, representatives and officials), politicians and political parties;
UEG	University Executive Group;
UMG	The University Management Group as constituted from time to time (and its successor);

Appendix 3, Annex B, Appendix 2

AUDIT & RISK MINUTES

CONFLICTS OF INTERESTS POLICY

UNIVERSITY CONTROLS TO MANAGE CONFLICTS OF INTEREST

Committee Governance	Each committee of the University is required to have terms of reference in place. These terms must include the requirement for members of committees to consider potential Conflicts of Interest when determining the composition of the committee, taking into account the tasks and responsibilities of that committee. Further, the terms of reference must require committee members to disclose potential Conflicts of Interest on an ongoing basis to the Chairperson/Convener and for the Chairperson/Convener to take appropriate action to resolve such Conflicts of Interest;
Escalation	The University operates internal escalation processes for Conflicts of Interest, with each School and Directorate having the responsibility of defining and documenting their respective processes. The escalation processes are required to enable the Conflict of Interest to be escalated on a timely basis and considered at an appropriate level of seniority and by the correct stakeholders to arrive at the most appropriate resolution;
Legal	as a 2nd Line of Defence function, is the risk controller for the Conflicts of Interest. In this capacity, Legal is responsible for the development of related policies, the testing of controls implemented by the University and the regular risk assessment of Conflicts of Interest risk management by the University;
Segregation of Functions and Duties	The University structurally segregates Legal from its business to allow for their independence. The University also operates an internal control environment underpinned by a "Three Lines of Defence" framework that requires the independence of control functions, including Legal;
Whistleblowing	The University provides appropriate channels through the Whistleblowing Policy for the reporting/whistleblowing of Conflicts of Interest within the University where a Staff Member considers this to be the appropriate channel to draw the matter to the attention of the University.

Appendix 3, Annex B, Appendix 3

AUDIT & RISK MINUTES

CONFLICTS OF INTERESTS POLICY

THE UNIVERSITY'S VALUES

Our values

Valuing People, Working Together, Integrity, Making a difference and Excellence.

Communication underpins all our values

- Take personal responsibility for ensuring communication in your sphere is effective.
- Communicate effectively and clearly using appropriate channels.
- A conversation is often better than email.
- Listen well so you can understand before responding.
- Be polite and courteous in all circumstances.
- Praise first before giving constructive feedback.
- Challenge absent or poor communication appropriately and ensure that no one is left out of the loop.

Valuing people

- Treat everyone with equal respect, valuing their contribution to the University.
- Make time to listen to, help and support others.
- Be aware that you might have unconscious biases and try to identify and overcome them.
- Be liberal with thanks and praise.
- Recognise and reward achievement.
- Acknowledge the contribution of others towards individual success.
- Recognise and respect differences, actively promoting inclusion.

Working Together

- One Dundee: seek what is best for the wider University community as well as your team.
- Actively seek ways of working together across boundaries to address the University's key challenges.
- Foster partnership working between students and staff.
- Ensure every member of the University community is included and feels part of the bigger picture.
- Share good practice generously.
- Maintain calm and perspective in stressful situations.
- Counter cynicism by encouraging productive discussion and problem solving.
- Positively challenge divisive behaviour.
- Behave ethically and professionally, with the best interests of the University at heart.
- Be open, honest and fair.

- Keep your word and be trustworthy.
- Be accountable for actions and decisions.
- Respect confidentiality when appropriate.
- Be open to challenge without defensiveness and willing to challenge without aggression.
- Have the courage to question actions that are inconsistent with University values.

Making a difference

- Remember that our common purpose is to transform lives locally and globally.
- Encourage and support fellow students and colleagues to be transformative.
- Commit to making a real difference through your work, inspiring others with your passion and enthusiasm.
- Focus on working well with others to get results.
- Encourage and enable professional development.
- Embrace change.

Excellence

- Aim to be leading in what you do as we strive to be Scotland's leading University.
- Nurture creativity and innovation.
- Demonstrate consistently strong personal performance so that others can rely on you.
- Benchmark yourself and your team against the best.
- Gather feedback to improve performance and close feedback loops.
- Provide encouragement and seek support to improve.
- Be honest with yourself and others about performance that is less than excellent.
- Challenge mediocrity and be prepared to take, and accept, difficult decisions in pursuit of excellence.

Appendix 3, Annex B, Appendix 4

AUDIT & RISK MINUTES

CONFLICTS OF INTERESTS POLICY

THE NINE PRINCIPLES OF PUBLIC LIFE IN SCOTLAND

DUTY

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

SELFLESSNESS

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

INTEGRITY

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

OBJECTIVITY

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

ACCOUNTABILITY AND STEWARDSHIP

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

OPENNESS

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

HONESTY

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

LEADERSHIP

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

RESPECT

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

Appendix 3, Annex C

AUDIT & RISK MINUTES

CONFLICTS OF INTERESTS POLICY

SPECIFIC CONFLICT OF INTEREST GUIDANCE RELATED TO RESEARCH FUNDED BY THE PUBLIC HEALTH SERVICE OF THE UNITED STATES DEPARTMENT OF HEALTH AND HUMAN SERVICES

The University has approved a policy and guidance to meet the requirements set out for research funded by the Public Health Service (PHS) of the United States Department of Health and Human Services that applies also to research funded by any components of the PHS to which the authority of the PHS may be delegated. The components of the PHS include but are not limited to: the Administration for Children and Families, Administration on Aging, Agency for Healthcare Research and Quality, Agency for Toxic Substances and Disease Registry, Centers for Disease Control and Prevention, Federal Occupational Health, Food and Drug Administration, Health Resources and Services Administration, Indian Health Service, National Institutes of Health, and Substance Abuse and Mental Health Services Administration.

Appendix 3, Annex D

FINANCIAL CONFLICT OF INTEREST POLICY

FOR RESEARCH FUNDED BY THE PUBLIC HEALTH SERVICE OF THE

US DEPARTMENT OF HEALTH AND HUMAN SERVICES

SCOPE & INTRODUCTION

1.   This policy - an addendum to the University's Code of Practice on Conflict of Interest[1] - governs financial conflicts of interest (FCOI) and shall apply only to, in general terms, University and NHS Tayside employees who are applying to receive grant funding from the Public Health Service (PHS) of the United States Department of Health and Human Services (HSS).

2.   Specifically, the policy applies to the Principal Investigator or any other person regardless of title or position who is responsible for the design, conduct or reporting of research funded by any component of PHS, including University contractors, collaborators and consultants, where deemed appropriate by the University.

3.   For the purposes of this policy, the term 'Investigator' is used throughout to describe those employees who are deemed to fall under the scope of this policy.

4.   The University shall designate responsibility for ensuring implementation of this policy according to a separate process schedule.

5.   The University may suspend all relevant activities until the financial conflict of interest is resolved or other actions deemed appropriate by the University are implemented.

6.   Any material breach of any part of this policy, as determined by the University, may constitute cause for disciplinary action.

DEFINITIONS

7.   Audit Committee means the University committee that provides advice to the University Court in relation to, amongst other matters, the effectiveness of internal control systems and corporate governance.

8.   Clinical Trial means any PHS-funded research study that involves interaction with human subjects and the concurrent investigation of the use of drugs, biologics, devices or medical or other clinical procedures, such as surgery.

9.   Family means any member of the Investigator's immediate family, specifically, any dependent children and spouse.

10.   Financial Conflict of Interest means a Significant Financial Interest (or, where the University requires disclosure of other Financial Interests, a Financial Interest) that the University

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[1] http://www.dundee.ac.uk/academic/court/policy/conflict_of_interest.htm

reasonably determines could directly and significantly affect the design, conduct or reporting of Research.

11.   Financial Interest means anything of monetary value received or held by an Investigator or an Investigator's Family, whether or not the value is readily ascertainable, including, but not limited to: salary or other payments for services (e.g., consulting fees, honoraria, or paid authorships for other than scholarly works); any equity interests (e.g., shares, stock options, or other ownership interests); and intellectual property rights and interests (e.g., patents, trademarks, service marks, and copyrights), upon receipt of royalties or other income related to such intellectual property rights and interests.

Financial Interest does NOT include:

a)   salary, royalties, or other remuneration from the University;

b)   income from the authorship of academic or scholarly works;

c)   income from seminars, lectures, or teaching engagements sponsored by or from advisory committees or review panels for U.S. Federal, state or local governmental agencies; U.S. institutions of higher education; research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers; or

d)   equity interests or income from investment vehicles, such as mutual funds and retirement accounts, so long as the Investigator does not directly control the investment decisions made in these vehicles.

For Investigators, Financial Interest also includes any reimbursed or sponsored travel undertaken by the Investigator and related to his/her University responsibilities. This includes travel that is paid on behalf of the Investigator as well as travel that is reimbursed, even if the exact monetary value is not readily available. It excludes travel reimbursed or sponsored by U.S. Federal, state or local governmental agencies, U.S. institutions of higher education, research institutes affiliated with institutions of higher education, academic teaching hospitals, and medical centers.

12.   Investigator means any individual who is responsible for the design, conduct, or reporting of Research, or proposals for such funding. This definition is not limited to those titled or budgeted as principal investigator or co-investigator on a particular proposal, and may include postdoctoral associates, senior scientists, or graduate students.

13.   Public Health Service or PHS means the Public Health Service of the U.S. Department of Health and Human Services, and any components of the PHS to which the authority of the PHS may be delegated. The components of the PHS include, but are not limited to, the Administration for Children and Families, Administration on Aging, Agency for Healthcare Research and Quality, Agency for Toxic Substances and Disease Registry, Centers for Disease Control and Prevention, Federal Occupational Health, Food and Drug Administration, Health Resources and Services Administration, Indian Health Service, National Institutes of Health, and Substance Abuse and Mental Health Services Administration.

14.   Research means a systematic investigation, study, or experiment designed to contribute to generalizable knowledge and encompasses basic and applied research (e.g., a published article, book or book chapter) and product development (e.g., a diagnostic test or drug), and which is funded by PHS.

15.   Significant Financial Interest means a Financial Interest that reasonably appears to be related to the Investigator's University Responsibilities, and:

   a)   if with a publicly traded entity, the aggregate value of any salary or other payments for services received during the 12-month period preceding the disclosure, and the value of any equity interest during the 12-month period preceding or as of the date of disclosure, exceeds £2,500; or

   b)   if with a non-publicly traded entity, the aggregate value of any salary or other payments for services received during the 12-month period preceding the disclosure exceeds £2,500; or

   c)   if with a non-publicly traded company, is an equity interest of any value during the 12- month period preceding or as of the date of disclosure; or

   d)   is income exceeding £2,500 related to intellectual property rights and interests not reimbursed through the University, or

   e)   is reimbursed or sponsored travel related to their University responsibilities.

16.   University responsibilities means the Investigator's professional responsibilities associated with his or her University appointment or position, such as research, teaching, clinical activities, administration, and institutional, internal and external professional committee service.

INFORMING & TRAINING INVESTIGATORS

17.   Investigators will conduct their affairs in such a way as to avoid or minimise conflicts of interest and will respond appropriately when they arise. To that end, this policy describes situations that may generate conflicts of interest related to Research and the mechanisms for Investigator training and disclosure.

18.   The University will inform Investigators of the existence of this policy, their disclosure responsibilities and the responsibilities which the University has to comply with. In the event of a grant application to a PHS component, an Investigator will be directed to this policy and the FCOI training which they must undertake prior to submission of the grant application. Every Investigator as defined by this policy has an obligation to become familiar with, and abide by, the provisions of this policy.

19.   The University expects Investigators employing new staff to the University to take responsibility on behalf of the University to cascade down the existence of this policy to such new staff (who qualify as Investigators for the purpose of this policy) and ensure that they are directed to the FCOI training which they must undertake prior to engaging in Research. The University will identify new staff funded by PHS grants and direct new staff to this policy

and the FCOI training, ensure evidence of training is collected and recorded, and ensure disclosure forms are issued.

20.   After initial training on FCOI, assuming that they continue to be PHS funded, Investigators will be re-trained in the FCOI training every 4 years, or at such other time as this policy may be revised, or when any Investigator is discovered to have been in breach of this policy or in breach of any management plan put in place following a disclosure.

21.   An Investigator who has undertaken FCOI training will submit evidence of completion of the training to the University so that a record can be maintained, and reminders issued in relation to update training.

22.   If any situation should arise which raises potential questions of conflict of interest, an Investigator should discuss the situation with the University in the first instance.

DISCLOSURE OF SIGNIFICANT FINANCIAL INTERESTS

23.   Investigators are required to disclose outside financial interests as defined above at grant application stage, on an annual and on an ad hoc basis, as described below. The University will arrange for the distribution of disclosure forms to Investigators identified in the course of managing the grants application process. The University shall designate responsibility for soliciting receipt, processing, reviewing and retaining disclosure forms. The University will ensure completed disclosure forms are received within 10 days of the Investigator receiving the forms, after which time the University will put the grant application process on hold.

24.   Disclosure forms must be completed whether there is a disclosure or not. Even where no disclosures are made, an Investigator must sign a disclosure form to acknowledge that they have read and understood this policy.

        a)   Grant Application for PHS Funding & Subsequent Annual Disclosures

        All Investigators must disclose their Significant Financial Interests to the University no later than at the time of a grant application in relation to a proposal for Research. In the event of a successful application, following formal award, University staff identified as Investigators must make a disclosure on an annual basis, on the anniversary of their application disclosure. All forms should be submitted to the University no less than 10 days prior to the anniversary date.

        b)   Ad hoc Disclosures, Appointed Staff & New Significant Financial Interest

        Certain situations require ad hoc disclosure. Employees deemed to be Investigators through their appointment to a post which is PHS-funded must disclose their Significant Financial Interests to the University, within 30 days of their initial appointment.

        Investigators must submit to the University an ad hoc disclosure of any Significant Financial Interest they acquire or discover during the course of the year within 30 days of discovering or acquiring such a new Significant Financial Interest.

c)   Travel

Investigators must disclose reimbursed or funded travel related to their University responsibilities, as defined above in the definition of Financial Interest and Significant Financial Interest. Such disclosures must include, at a minimum, the purpose of the trip, the identity of the funder/organizer, the destination, the duration, and, if known, the monetary value. The University will determine if additional information is needed (e.g., the monetary value if not already disclosed) to determine whether the travel constitutes a Financial Conflict of Interest with the Investigator's Research.

EVALUATION, IDENTIFICATION OF CONFLICT & MANAGEMENT

25.   If the disclosure form reveals a Significant Financial Interest, it will be evaluated promptly by the University to determine whether it constitutes a Financial Conflict of Interest. The University provides guidelines as to financial Conflict of Interest in the Code of Practice.

26.   A Financial Conflict of Interest will exist when the University determines that a Significant Financial Interest could directly and significantly affect the design, conduct, or reporting of Research.

27.   Where a Financial Conflict of Interest is identified, the University will take action to manage the Financial Conflict of Interest including the reduction or elimination of the conflict, as appropriate. The University may consult the Audit Committee for guidance in specific cases, or in the application of this policy to particular situations.

28.   If the University determines that a Financial Conflict of Interest can be managed, a management plan must be developed and implemented, which the affected Investigator must formally agree to in writing before any Research goes forward.

29.   The University will periodically review the ongoing activity, make arrangements to monitor the conduct of the activity (including use of students and postdoctoral appointees), to ensure open and timely dissemination of Research results, and to otherwise oversee compliance with the management plan.

CLINICAL TRIALS and CLINICAL RESEARCH

Significant Financial Interests Related to Clinical Trials and Clinical Research

30.   Clinical Trials and Clinical Research involves particularly sensitive issues if the Investigator has a related Financial Interest.

31.   In addition to any disclosure which is required above, the Investigator must disclose Significant Financial Interests to the University at the time of any application for study sponsorship by the University and/or relevant Health Board. A copy of the Investigator's disclosure form should be submitted along with the Research protocol.

32.   In the event of a determination by PHS of non-compliance with reporting and/or management requirements as prescribed by PHS regulations, which relates to a financial conflict of interest involving a PHS-funded Clinical Trial or other clinical Research, the Investigator will disclose the financial conflicts of interest in each public presentation of the

results of the affected Research and will request an addendum to previously published presentations.

REPORTING

33.   The University will submit initial reports of those Significant Financial Interests which are determined as Financial Conflicts of Interest to PHS at the very least prior to the expenditure of PHS funds.

34.   Initial reports shall be made within 60 days of the identification of a new employee as an Investigator for the purposes of this policy (i.e., through being newly appointed).

35.   Wherever funding for the Research is made available from a prime PHS-awardee, all reports shall be made to the prime awardee.

36.   Additionally, the University will submit reports within 60 days of any subsequently identified financial conflict of interest.

37.   Annual update reports will be made, in relation to each Investigator, within 60 days of the anniversary of the initial report, at the same time as submitting the annual progress report. These updates will provide an outline of the status of any previously reported financial conflict of interest and any changes to the management plan, where applicable.

INVESTIGATOR'S FAILURE TO COMPLY

Suspension of Research & Disciplinary Action

38.   In the event of an Investigator's failure to comply with this policy (or failure to comply with a previous decision of the University), the University may suspend all relevant Research activity, and/or take enforcement and/or disciplinary action against the Investigator, and/or implement any other sanction, action or actions deemed appropriate by the University, until such time as the matter is resolved and/or is managed to the satisfaction of the University.

39.   Any decision by the University to suspend or take any action against the Investigator will be described in a written explanation to the Investigator, and the Investigator will be notified of the right to appeal. The University will promptly notify the PHS component which awarded a grant to the Investigator of the decision and actions taken.

40.   Where the funding for Research is made available from a prime PHS awardee, such notification shall be made promptly to the prime awardee for reporting to PHS.

Retrospective Review & Bias

41.   Where the University determines that a Financial Conflict of Interest was not identified or managed in a timely manner, or an Investigator failed to disclose a Significant Financial Interest that is determined to be a Financial Conflict of Interest, or where there is a failure by an Investigator to materially comply with a management plan for a Financial Conflict of Interest, the University will (within 120 days of determination of any failure to comply) complete and document a retrospective review of the Investigator's activities and the

Research project to determine whether non-compliance resulted in bias in the design, conduct or reporting of Research.

42.   Documentation of the retrospective review shall include the project number, project title, Principal Investigator, name of Investigator with the Financial Conflict of Interest, name of the entity with which the Investigator has the Financial Conflict of Interest, reason(s) for the retrospective review, detailed methodology used for the retrospective review, and findings and conclusions of the review.

43.   The University will update any previously submitted report to the PHS or the prime PHS-awardee relating to the Research, specifying the actions that will be taken to manage the Financial Conflict of Interest going forward. This retrospective review, which will include implementation of a management plan, will be completed within 60 days of identification of a Financial Conflict of Interest which was not previously identified.

44.   If bias is found, the University will promptly notify the PHS component which made the grant award and submit a mitigation report. The mitigation report will identify elements documented in the retrospective review, a description of the impact of the bias on the Research project and the management plan including actions to be taken to eliminate or mitigate the effect of the bias.

SUB-RECIPIENT AWARD

45.   In the event that the University is a prime PHS awardee and is collaborating with subrecipients, the University will establish a written agreement with the subrecipient to ensure compliance with this policy or an equivalent policy of the subrecipient institution. The University will obtain a certificate from the subrecipient that their FCOI policy complies with PHS regulations. The written agreement between the University and a subrecipient will ensure that suitable reporting of FCOI's is carried out in relation to subrecipient Investigators.

RECORDS

46.   The University will retain all disclosure forms, conflict management plans, and related documents for a period of three years from the date the final expenditure report is submitted to the PHS or to the prime PHS awardee; unless any litigation, claim, financial management review, or audit is started before the expiration of the three year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved and final action taken.

CONFIDENTIALITY

47.   To the extent permitted by law, all disclosure forms, conflict management plans, and related information will be confidential. However, the University may be required to make such information available to the PHS component and/or HHS, to a requestor of information concerning financial conflict of interest related to PHS funding or to the primary entity who made the funding available to the University, if requested or required. If the University is requested to provide disclosure forms, conflict management plans, and related information to an outside entity, the Investigator will be informed of this disclosure.

PUBLIC ACCESSIBILITY

48.   This policy is available to the public on the University's website at Academic and Corporate
       Governance.

49.   Information relating to identified financial conflicts of interest under this policy will be made
       available on written request to the University Secretary.

50.   Information to be made available to the public concerning any financial conflict of interest
       shall include:

       •   The Significant Financial Interest that was disclosed;
       •   The determination that has been made that the disclosure relates to Research; and
       •   The determination that has been made that there is a Financial Conflict of Interest.

51.   The information to be made available shall be updated annually, within 60 days of any newly
       identified financial conflict of interest and shall remain available for at least three years from
       the date the information was most recently updated.

Appendix 3, Annex E

AUDIT & RISK MINUTES

WHISTLEBLOWING POLICY

WHISTLEBLOWING POLICY

University of Dundee

dundee.ac.uk

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Part 1 - Whistleblowing Policy

1.   About this policy

1.1   This is a policy split into two parts. Part 1 provides the University community with guidance on whistleblowing and Part 2 the procedure for making protected disclosures and how they will be investigated.

2.   Background

2.1   The University of Dundee is committed to conducting our business with integrity, and we expect all staff to maintain standards consistent with:

2.1.1   The University's Values;

2.1.2   The Nine Principles of Public Life in Scotland;

2.1.3   The University's policies and procedures;

2.1.4   Applicable law and regulation;

2.1.5   Requirements of funding bodies; and

2.1.6   Reasonable market practice.

2.2   However, all organisations face the risk of things going wrong from time to time, or of unknowingly harbouring illegal or unethical conduct. A culture of openness and accountability is essential in order to prevent such situations occurring and to address them when they do occur.

Aims

The aims of this policy are:

• To encourage staff to report suspected wrongdoing as soon as possible, in the knowledge that their concerns will be taken seriously and investigated as appropriate, and that their confidentiality will be respected, so far as practicable.

• To provide staff with guidance and a procedure as to how to raise those concerns.

• To reassure staff that they should be able to raise genuine concerns in the public interest without fear of reprisals, even if they turn out to be mistaken.

Legislation

The relevant whistleblowing legislation is the Public Interest Disclosure Act 1998 (the "Act"), as amended by the Enterprise and Regulatory Reform Act 2013, which protects current and former employees and workers who "blow the whistle".

Scope

• The whistleblowing legislation only covers current and former employees and workers.

• However, the University wishes to hear from others within the University Community who may have serious concerns of the types set out in this policy and so is willing to extend the protections under this policy to students and members of the University Court who make disclosures that would normally be covered by the whistleblowing legislation.

• Specific processes for students and members of the University Court who wish to make relevant disclosures are covered under Clause 4.

• This policy does not form part of any employee's contract of employment, and it may be amended at any time in accordance with local procedures.

3.   Who can make a disclosure under this policy?

3.1   This policy applies to:

- •   all employees and workers including persons contracted to personally provide services to the University, persons undergoing training or work experience as part of a training course and agency workers;

- •   all matriculated students of the University; and

- •   all members of University Court.

4.   To whom should a disclosure be made?

FOR MEMBERS OF STAFF

4.1   In the first instance, you can blow the whistle by contacting your line manager.

4.2   If you do not feel that it would be appropriate to blow the whistle to your line manager, you can contact any of the Responsible Officers set out in the Annex.

4.3   In exceptional circumstances, where you feel it is inappropriate to contact your line manager or the Responsible Officers, you may blow the whistle to the Chair of the Audit Committee or the Chair of the University Court.

4.4   For the purposes of clause 4.3, "exceptional circumstances" would be judged on the particular circumstances. However, to aid you the University would consider this test to be met if you had a reasonably held belief that disclosing to a line manager or the Responsible Officer(s) would result in (i) you being treated unfairly if you made the disclosure as prescribed; (ii) your disclosure would result in the destruction or concealment of information about your concern, and/or (iii) you have previously disclosed the same or very similar information and no action was taken.

FOR STUDENTS AND MEMBERS OF THE UNIVERSITY COURT

4. 4 A   For students and members of the University Court, you can contact any of the Responsible Officers set out in the Annex. 4.3 and 4.4 will apply for any appropriate escalation.

4.5   Contact details are provided in the Annex.

5.   What is whistleblowing?

5.1   Under the whistleblowing legislation, 'qualifying disclosures', 'public interest disclosures' and 'protected disclosures' are different terms to describe the same thing, i.e., a whistleblowing concern.

5.2   They are disclosures of information where staff reasonably believe that one or more of the concerns described in section 7.1 below is either happening, has taken place, or is likely to happen in the future and it is in the public interest to raise this.

5.3   Where a person raises a concern of this nature this is often referred to as " whistleblowing".

6.   What is a whistle-blower?

6.1   A whistle-blower is a person who makes a qualifying disclosure, protected disclosure, public interest disclosure or otherwise 'blows the whistle' under this policy.

6.2   The whistle-blower is usually the witness providing information to the employer about a concern which it is in the public interest to raise.

7.   What kinds of concern can you raise as a whistleblowing concern?

7.1   The following areas of malpractice or serious concerns can be raised under this policy:

•   criminal activity;
•   a failure to comply with any material legal obligation;
•   danger to health and safety;
•   damage to the environment;
•   bribery;
•   financial fraud or mismanagement;
•   unauthorised disclosure of confidential information;
•   research misconduct;
•   miscarriage of justice; and/or
•   deliberate concealment of any of the above matters.

7.2   The above does not represent an exhaustive list of areas covered by this policy.

7.3   Concerns can be raised in relation to matters that have taken place, continue to take place or are likely to take place in the future.

7.4   This policy does not preclude you from raising other serious concerns regarding the University's business with members of senior management or Court committees or members.

7.5   If in doubt, please consult with the University Secretary or Director or Legal for a confidential discussion.

8.   What concerns fall outside this policy?

8.1   Sometimes an employee believes they are blowing the whistle when, in fact, their complaint is a personal grievance.

8.2   Any person who makes a disclosure under this policy should believe that they are acting in the public interest. This means that personal grievances and complaints are not covered by whistleblowing legislation.

8.3   Matters of concern relating to your employment situation which would normally be dealt with under the University's Grievance Procedure or Dignity at Work and Study Policy should continue to be handled in that way.

8.4   In the case of students, concerns other than those falling under the categories set out at section 7.1 above should be raised through the Complaints Handling Procedure.

8.5   Specifically, whistleblowing or this policy is not designed:

•   to replace or bypass existing processes and procedures under existing policies of the University;

•   to question financial or business decisions taken by the University;

•   to reconsider any matters which have already been addressed under other University processes or procedures (including grievance);

- generally, to be misused to raise personal disputes or disagreement against the University which are not in the public interest; or

- to investigate an academic dispute between a student and the institution.

9.   What about confidentiality?

9.1   All parties who play a role in respect of this policy undertake to keep confidential and not disclose or discuss the circumstances of any whistleblowing concern with any person or organisation other than as may be required for the purpose of investigating and reporting on the whistleblowing concern itself.

9.2   Every reasonable effort will be made not to reveal your identity if that is your wish.

9.3   If disciplinary or other proceedings follow the investigation, it may not be possible to take action as a result of your disclosure without your help, so you may be asked to come forward as a witness. If you agree to this, you will be offered advice and support.

10.   Anonymous disclosure

10.1   If a disclosure is made anonymously this could make it difficult for the University to deal with the disclosure effectively.

10.2   It will be challenging to obtain further information which might facilitate a full investigation. It may also be difficult to assess whether the disclosure is protected. You are therefore strongly encouraged to make yourself known when making a disclosure under this policy.

10.3   Disclosures which are made anonymously will still be considered under this policy, with careful consideration given to their investigation. Where it is considered that an allegation may have been made without foundation it may not be progressed.

11.   Protection against victimisation of a whistle-blower

11.1   The Act makes it unlawful for the University to dismiss anyone or allow them to be victimised on the basis that they have made an appropriate lawful disclosure in accordance with the Act, for example dismissal, disciplinary action, threats or other unfavourable treatment.

11.2   The University recognises that the decision to report a concern can be a difficult one to make. If you honestly and reasonably believe what you are saying is true, you should have nothing to fear because you will be doing your duty to the University as your employer, your colleagues and those for whom you are providing a service.

11.3   The University will not tolerate any harassment or victimisation of a whistle-blower (including informal pressures) and will take appropriate and reasonable action to protect you when you raise a concern in good faith. The University will treat any such harassment or victimisation as a serious disciplinary offence which will be dealt with under the University's disciplinary rules and procedure. If you believe that you have suffered any such treatment, you should inform the Director of Legal immediately.

12.   Disclosures to external bodies

12.1   The purpose of this policy is to create the conditions in which you feel confident to raise matters of concern within the University.

12.2   Once a disclosure is being dealt with under this policy, it is reasonable to expect individuals to await the conclusion of any investigation or review instigated under its terms before seeking to air their complaints outside the institution.

12.3   It is also recognised that there may be circumstances where matters may be properly reported to certain external bodies.

12.4   Certain external bodies to which matters may be properly reported are known as 'prescribed persons'. A list of prescribed persons is made available by the Secretary of State, who currently lists more than 50 regulatory bodies to whom protected disclosures can be made. It can be found at https://www.gov.uk/whistleblowing/howto- blow-the-whistle.

12.5   If you are unsure whether it is appropriate to report your concern externally you can contact the independent whistleblowing charity, Protect, which operates a confidential helpline.

12.6   In circumstances where you decide to raise the matter externally, you will only be protected under this policy, and under employment law, where the disclosure is made in accordance with the Act.

13.   Contact with the media

13.1   This policy has been developed to enable you to express concerns on the basis that it is in the public interest to make such matters known to the University. However, reporting of a concern does not mean that such matters should be made available for public consumption through the media and/ or social media.

Part 2 Whistleblowing Procedure

1.   Raising concerns informally

1.1   We hope that in many cases you will be able to raise any concerns with your line manager.

1.2   You may tell them in person or put the matter in writing if you prefer. They may be able to agree a way of resolving your concern quickly and effectively.

1.3   Where the matter is more serious, or you feel that your line manager has not addressed your concern, or you prefer not to raise it with them for any reason then the process noted below should be followed.

2.   Formal Procedure Stage 1 - Disclosure

A.   Disclosure is made by the whistle-blower to the Responsible Officer.

B.   The Responsible Officer will escalate to the Monitoring Officer.

C.   The Monitoring Officer shall:

•   acknowledge receipt of the disclosure;

•   take ownership for the processing of the disclosure under this policy,

•   liaise with those within the University as necessary; and

•   determine if the disclosure meets the requirements for investigation under this policy.

D.   A detailed list of persons authorised to act in these capacities is set out in the Annex.

Stage 2 - Initial Assessment of Disclosure

A.   The Monitoring Officer may direct you to other University policies and procedures where the issue you have raised would be best addressed under one of those policies/procedures.

B.   The Monitoring Officer may recommend that a matter which has been disclosed be:

•   investigated internally;

•   referred to a committee of the University Court or Senate;

•   referred to the Police; or

•   referred to a relevant external third party (for example funders, professional bodies, academic journals etc.).

Stage 3 - Investigation

A.   Once the initial assessment has been made and the Monitoring Officer has determined that the matter should be investigated internally, the Monitoring Officer shall appoint an investigator. A support person may be appointed to an investigator.

B.   The Monitoring Officer shall provide to the investigator the scope of the investigation and any relevant information in respect of the allegations.

C.   The Monitoring Officer shall ensure that the investigator is suitably qualified to perform the investigation and is provided with sufficient access and information in order to carry out the investigation to a reasonable standard.

D.   The investigator should provide a report to the Monitoring Officer, usually within 30 working days.

E.   Notwithstanding the investigation, the Monitoring Officer may also recommend urgent action to curtail alleged malpractice prior to further investigation.

Stage 4 - Discharge of Disclosure

A.   Once the investigator has provided their report to the Monitoring Officer, the Monitoring Officer acting reasonably may decide that the matter should be:

•   closed with no further action required;

•   referred to be discharged under the University's existing processes and procedures (for example disciplinary procedures);

•   referred to a committee of the University Court or Senate;

•   referred to the Police; or

•   referred to relevant external third parties (for example funders, professional bodies, academic journals etc.).

B.   Prior to deciding the Monitoring Officer, shall consult with the Director of Legal in respect of any legal aspects in relation to the discharge of the disclosure.

C.   The Monitoring Officer shall notify relevant stakeholders of his or her decision, (including as far as possible the whistle-blower) subject to applicable laws and regulation (for example data protection laws).

3.   Roles and Responsibilities

3.1   Whistle-blower's obligations

A.   You should report any concern under this policy to the relevant person.

B.   You should do so where you have a reasonable belief that malpractice has occurred, is taking place or is likely to take place, where you have any serious concerns, and it is in the public interest to do so.

C.   You should not use this policy for personal complaints relating to your employment which do not have a wider public interest element, as they are best addressed using existing alternative procedures such as the University's Grievance Procedure.

D.   You are responsible for acting professionally if you have a concern about the work of your colleagues, including an expectation on you to report malpractice.

E.   You may also be called upon to assist any investigation regarding your disclosure and provide such evidence in your possession to support your allegations.

F.   You must have a reasonable belief that the matter you are reporting is in the public interest. In the unlikely event that your reported concern or issue is found to be deliberately vexatious or malicious this will be considered as a disciplinary matter.

3.2   The Responsible Officer's obligations

A.   The Responsible Officer will liaise (as appropriate and at their discretion) with the Monitoring Officer to report the disclosure under this policy.

B.   If requested by the Monitoring Officer, to conduct investigations and report back to them with their findings.

C.   On appointment to investigate, the Responsible Officer is briefed by the Monitoring Officer and will follow the procedures as set out within this policy.

D.   The investigation outcome report of the Responsible Officer within the University will contain enough detail to allow the Monitoring Officer to question persons where necessary and to call upon relevant persons within the University to account for their handling of matters.

E.   Responsible Officers may also be called upon to assist the Monitoring Officer regarding the disclosure.

3.3   The Monitoring Officer's obligations

A.   When an initial report is received from the Responsible Officer it will be discussed with the Monitoring Officer and the category of the disclosure will be agreed.

B.   The Monitoring Officer will liaise with the whistle-blower on disclosure investigations and provide the outcome if appropriate to do so.

C.   The Monitoring Officer will determine when input should be sought from Legal, HR or any other relevant section/function of the University.

D.   The Monitoring Officer will identify appropriate persons as investigators (including but not limited to Responsible Officers) to carry out those investigations deemed necessary and liaise with the whistle-blower as appropriate.

E.   Any matter reported to the Monitoring Officer will not be widely disseminated.

F.   However, disclosures will be reported to the Principal, Chair of University Court and Chair of the Audit Committee (provided not involved) in the first instance, both to allow for input and to ensure that there is a general awareness of concerns being raised at the most senior level within the University.

G.   Where there is deviation from the timescale set out at clause 4 below, it may be appropriate for the Monitoring Officer to set a revised timescale for completion of the process.

H.   If it is determined that action is to be taken which is not in line with a recommendation of an investigation, the Monitoring Officer shall set out the reasons for this decision and report them to the Chair of the Audit Committee in terms of what action is to be taken, by whom and why any recommendations have not been followed.

3.4   General

A.   The University Court has overall responsibility for this policy and for reviewing the effectiveness of actions in response to concerns raised. The Audit Committee has responsibility for maintaining records and annual reporting in respect of disclosures under this policy.

B.   The University Secretary has responsibility for ensuring investigations are properly taken forward and that the Monitoring Officers, Responsible Officers and investigators receive regular and appropriate training.

C.   This policy will be reviewed from a legal and an operational perspective annually and the outcome of the review reported to the Audit Committee and to University Court.

4.   Timescales

4.1   The relevant timescales to complete the entire Process from disclosure to discharge shall be determined by the seriousness of the disclosure.

4.2   However, the University shall aim to discharge its duties under this policy within 90 days of first disclosure.

5.   What happens after all matters are completed?

5.1   An anonymised annual report shall be made by the University Secretary to the Audit Committee and University Court of disclosures made under this procedure.

6.   Further information

6.1   If you have any queries about whistleblowing, please do email the University Secretary, Jim McGeorge at: j.mcgeorge@dundee.ac.uk

References

University of Dundee - Code of practice for the use of animals in teaching and research

University of Dundee - Committee on Standards in Public Life

University of Dundee — Complaints

University of Dundee - Dignity at Work and Study Policy University of Dundee - Grievance Procedure

Appendix 3, Annex E, Appendix 1

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AUDIT & RISK COMMITTEE MINUTES

WHISTLEBLOWING POLICY

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<u>Responsible Officers</u>

A.   Any UEG member serving from time to time

B.   Directors of Professional Services

C.   Deans of Schools

D.   School Managers

E.   DUSA Executive

F.   Trade Union Representative of the recognised Trade Unions of the University

G.   Chair of the Audit Committee

H.   Chair of the University Court.

<u>Monitoring Officer</u>

A.   University Secretary

OR

B.   Director of Academic and Corporate Governance

OR

C.   Director of Legal

If the Responsible Officer is Chair of the Audit Committee or the Chair of the University Court, then:

A.   University Secretary (as Secretary to Court)

OR

B.   Director of Legal

Appendix 4

<p align="center">**GOVERNANCE & NOMINATIONS COMMITTEE MINUTES**</p>

A meeting of the Committee was held on 21 March 2023 in the Executive Meeting Room, Level 5, Tower Building, and via MS Teams.

Present:	Amanda Millar (Convener); Tricia Bey; Professor Iain Gillespie; Jane Marshall (online); and Dr Anna Notaro (online)

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

Apologies:	Adam Robertson, Sharon Sweeney.

1. **MINUTES**

    Resolved: to approve the minutes of the meeting of 18 October 2022.

2. **MATTERS ARISING**

    <u>Action Log</u>

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

    Resolved: to note the Action Log.

3. **CONVENER'S UPDATE**

    The Convener updated the Committee on activities and interactions undertaken at a sectoral level since its last meeting which would be of relevance to the Committee. Members were advised that the Convener had attended the most recent meeting of the Committee of Scottish University Chairs (CSC), held virtually at Robert Gordon University.

    At the meeting, the CSC had approved the revised Code of Good Higher Education Governance (2022) and discussed the Universities Scotland response to the Scottish Government's interim purpose and principles for the review of post-school education, research and skills. The Vice-Principal (Education) noted that he and the Principal had discussed the review with Scottish Government officials and that a paper would be presented to Senate on the matter.

    Resolved: to note the update.

4.   **SECTORAL UPDATE**

The Deputy University Secretary advised the Committee that he had no matters to report which had not already been included in the agenda and papers for the meeting.

Resolved: to note the update.

5.   **APPOINTMENT OF LAY MEMBERS OF THE COURT**

The Convener advised members that the Appointing Panel had interviewed six candidates for lay membership of the Court on 20 March 2023. The Panel had agreed to recommend their preferred candidates to the Court for formal approval at its next meeting on 25 April 2023.

Resolved: to note the update.

6.   **MEMBERSHIP OF THE COURT**

The Committee received and considered the above report on matters relating to the membership of Court and its committees. Members were advised that two independent members of Court would reach the end of their maximum term office on 31 July 2023. Subject to the Court's formal approval on 25 April, new lay members identified through the process at item 5 above would attend the meeting of Court on 13 June 2023.

Of the two members of Senate elected to the Court whose period of office would end on 31 July 2023, one was eligible to stand for re-election. The Committee was advised that the Senate election process would take place between 27 and 31 May 2023, thus enabling the newly-elected members to attend the meeting of Court on 13 June 2022.

In discussion, members noted that Tricia Bey was in attendance at meetings of the Finance & Policy Committee but was not a formal member and requested that this be reflected in future reports. The Committee was further apprised of changes to the membership of the Endowments Sub-Committee approved by the Chair of the Court and noted that the curriculum vitae for new member Andrew Donaldson would be circulated to members for information.

Resolved: to note the update.

[Secretary's note: Mr Donaldson's CV was circulated to members following the meeting]

7.   **SKILLS MATRIX**

The Committee received and considered the above paper, which reviewed the skills matrix employed by the University and its role in the recruitment and selection of Court members. Members noted that, under paragraph 17 of the Scottish Code of Good Higher Education Governance (2022 Edition)(hereafter The Code), the governing body 'is expected to draw up and make public a register of the balance of skills, attributes and experience required in the membership of the governing body, to inform the recruitment of appointed lay members of the governing body, as well as regular assessment of the balance of skills across the membership of the governing body'.

The Senior Policy Officer (Corporate Governance) invited Committee members to comment on the format of the assessment form and, in particular, to consider whether the current skill sets identified remained appropriate. In discussion, members noted that the required skills should be updated to reflect the institutional aspirations articulated in the University Strategy 2022-27 and requested that a revised version of the skills matrix be submitted to the next meeting of the Committee.

Resolved: to note the paper.

8.   **SCOTTISH CODE OF GOOD HE GOVERNANCE 2022**

The Deputy University Secretary introduced the above report, which highlighted the changes arising from the 2022 review of the Scottish Code of Good Higher Education Governance, which had been approved by the Committee of Scottish University Chairs on 8 March 2023. Members were advised that a full gap analysis would be conducted and presented to the next meeting of the Committee to establish whether any substantive amendments had been made which could potentially require changes in practice.

Resolved: to note the report.

9.   **ANNUAL COURT QUESTIONNAIRE**

The Committee received and considered a paper inviting the Committee's consideration of the arrangements for the annual review of Court's effectiveness. Members noted that the Scottish Code of Good Higher Education Governance stated that the governing body was 'expected to review its own effectiveness each year' but that, beyond this, the Code was silent on the mechanism by which the Court should conduct its annual review.

In previous years, the University had invited its members to complete an online questionnaire. Additionally, the Chair and the Deputy Chair of the Court had conducted individual meetings with members on an annual basis. In 2022, the Committee had agreed to remove the narrative elements of the questionnaire on the basis that these replicated the one-to-one meetings. Research into practice elsewhere had indicated that more than one other Scottish University had chosen not to conduct a questionnaire in recent years, with the notes of the individual meetings summarised as part of a report to Court containing other metrics and data on matters such as attendance, profile and participation in training opportunities.

In discussion, members considered the potential benefits of retaining an anonymous questionnaire, noting that the Court was intended to be a place where individuals felt able to share their concerns and express views candidly. It was also noted that any individual member who did not wish to speak to the Chair or the Deputy Chair of Court could approach the University Secretary, the Deputy University Secretary or the Court Intermediary, amongst others.

Resolved: to cease the use of the annual questionnaire, to be replaced with structured conversations.

10.   EARLY-STAGE COURT BUSINESS

The Committee received a report on Early-Stage Court business for the meeting on 25 April 2023 for discussion and comment. Members were advised that this would shortly be reviewed at a forthcoming Court agenda-setting meeting.

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

11.   GOVERNANCE OF MUSEUMS

The Committee received and considered the above report, which delineated a framework for the delegation of matters relating to Museum Services. Members were advised that documents requiring formal approval would be developed by the Collections Advisory Committee and submitted to the Governance & Nominations Committee, with approval by the Court achieved through the approval of the Governance & Nominations Committee minute.

Resolved: to approve the delegation proposed.

12.   UPDATE ON TRAINING MODULE COMPLETION

The Committee received a verbal report from the Senior Policy Officer (Corporate Governance) on completion of the new mandatory Equality, Diversity & Inclusion training module. Dr Ramsay noted that members had reported issues in accessing the module and that staff in Digital and Technology Services had been asked to investigate.

Resolved: to note the update.

13.   REGISTER OF INTERESTS (UNIVERSITY EXECUTIVE GROUP AND OFFICERS)

The Committee received a verbal report from the Senior Policy Officer (Corporate Governance) on the completion and return of the Register of Interests by the University Executive Group and Officers. Dr Ramsay noted that the forms had only recently been issued and that a fuller update would be provided to the next meeting of the Committee.

Resolved: to note the update.

14.   ANY OTHER BUSINESS

No other business was declared.

15.   DATE OF NEXT MEETING

Resolved: to note that the next meeting would be held on Tuesday 23 May 2023.

Amanda Millar
Convener

Appendix 5

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES

A meeting of the People & Organisational Development Committee was held on 13 March 2023, via Microsoft Teams.

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

In Attendance: Alex Killick   Interim Director of Human Resources and
                                                         Organisational Development;
                    Dr Neale Laker   Deputy University Secretary;
                    Dr Jim McGeorge   University Secretary and Chief Operating
                                                         Officer;
                    Professor Shane O'Neill   Senior Vice-Principal;
                    Kenny Stewart   Policy Officer (Corporate Governance);
                    Julie Strachan   Deputy Director of Human Resources and
                                                         Organisational Development;

Apologies: Professor Iain Gillespie   Principal.

1.   **MINUTES**

       Minutes from the meeting on 19 January 2023.

       Resolved: to approve the minutes from the meeting.

2.   **MATTERS ARISING**

       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 which summarised activities undertaken on behalf of the Committee and the University since its last meeting. The Chair apprised the Committee that she had been selected to be a member of the interview panel for the role of Director of People during the week beginning 13 March.

       Resolved: to note the update.

4.   PEOPLE AND TALENT STRATEGY

(i)   Academic Appraisal Process

The Senior Vice-Principal introduced the above paper on the interim Academic Appraisal Process. A review had been undertaken by the Staff Excellence group as part of the Academic Excellence and Sustainability (AES) project. Proposals had been reviewed and approved by the University Executive Group (UEG), and further revision had followed consultation with Dundee University and College Union (DUCU) members and members of academic staff across the University. The framework had been endorsed by Senate at its meeting on 1 February 2023.

The Committee noted that the review of the process had resulted in a simplified appraisal form and guidance documentation. In discussion, members highlighted the need for the guidance to provide more clarity on how cases of underperformance would be addressed. Officers agreed to consider revisions to the guidance to reflect this.

The Committee welcomed the paper and was encouraged by the evolution of the process following the consultation period. Members were advised that the interim nature of the process had been necessary to allow academic appraisal to evolve in line with other staff workstreams under the People & Talent Strategy, including the academic promotion and the reward & recognition procedures.

The revised process was scheduled for implementation in April 2023, supported by communication with staff led by Deans to encourage participation. Members were advised that HR-supported training sessions and webinars had been arranged for academic staff.

The Committee considered how the interim process would be evaluated. Members were advised that levels of engagement with the existing process had traditionally been low, and completion rates would be monitored as an initial measure of interaction with the process. Specific questions on appraisal in the revised staff survey had also been designed as a feedback mechanism. Assessment of the process would occur after the first year, with changes likely to evolve in line with other scheduled projects introduced as part of the People & Talent Strategy.

The Committee stressed the importance of providing effective training to staff responsible for conducting the review process with colleagues. Members shared their experience of good appraisal processes which had been positive and helpful in their professional development and career paths. It was noted that requests for training were a key feature in feedback obtained through the consultation process and it was agreed that HR-supported training events in all Schools were a major component in successful delivery.

Resolved: (i)   to amend the process guidance to clarify how aspects of underperformance would be addressed; and

(ii)   to endorse the interim Academic Appraisal Process.

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

i.   <u>Key Performance Indicators for Equality, Diversity and Inclusion</u>

The Committee received a strategy paper on the development of internal Key Performance Indicators (KPIs) for Equality, Diversity and Inclusion (EDI), and compliance with Public Sector Equality Duty (PSED) obligations.

The Committee was advised that, following review by the Scottish Funding Council (SFC) and the Equality & Human Rights Commission (EHRC), new national equality outcomes had been developed to support universities and colleges to focus activity on the most persistent inequalities experienced by staff and students who shared different protected characteristics.

The Committee heard that PSED reporting would retain a focus on the annual pay gap, workforce profile, mainstreaming, and equality outcomes. Members were advised that the EDI Committee review of reports was scheduled for 4 April 2023, ahead of approval by Court and planned publication by the 28 April deadline. Management had also agreed that proposals for future PSED reporting would be delivered to a meeting of the Committee for consideration, with the purpose of embedding EDI reporting in core University publications instead of standalone reports.

The development of specific KPIs for EDI was considered essential to focus institutional priorities. Three KPIs had been recommended, set as long-term objectives with clear targets within the current strategy timeframe. The proposed KPIs were: to eradicate the undergraduate degree awarding gap; to improve the diversity of the University workforce; and to increase the percentage of staff and students reporting that the University has an inclusive culture where they feel safe and respected. The Committee was advised that the KPIs had been supported by UEG and the University Management Group (UMG).

The Committee also heard that the new Institutional Academic Lead for EDI had recently been appointed to lead this through outreach work with Schools, and the postholder would be invited to discuss progress at a future meeting.

The Committee agreed that the paper had provided a concise account of EDI objectives and that the proposed KPIs had offered clarity of focus. Members acknowledged that PODCO had a defined a role in holding management to account on meeting the outcomes from proposed KPIs and would consider the item periodically in its annual workplan.

Resolved: (i)   to endorse the EDI KPIs to the Court; and

(ii)   to invite the Institutional Academic Lead to the next meeting of the Committee.

6.   DIRECTOR'S REPORT/SECTORAL UPDATE

The Committee received a report from the Interim Director of Human Resources & Organisational Development (HR&OD) which provided an update on strategic activity since the last meeting. Members noted updates in respect of People & Talent Strategy project implementation, achievement of the Athena Swan Bronze Charter award, and the planned launch of the Staff Survey in April 2023.

The Interim Director of HR&OD invited comments from members on the format and presentation of the paper, specifically as to whether it provided a helpful guide to members in delivering updates on the enabling strategy. The Committee agreed that the structure and content offered a concise summary of strategy implementation milestones.

Members were advised that a number of system issues had been identified after implementation of the Payroll and Core HR OneUniversity module. Colleagues in HR&OD and Digital & Technology Services Directorate (DTS) had developed an action plan, agreed with the contractor, to resolve issues within 60 days. The Committee noted that resolution of outstanding issues was required to deliver confidence in the base system, and to allow further functionality to be delivered.

The Committee heard that the recruitment module had been implemented successfully and had proved to be beneficial in streamlining the recruitment process. It was noted that launch of the Talent module at a future date to support the staff appraisal process was an example of increased system functionality.

The Committee also received an update on planned industrial action, and members were informed that UCU strike days were due to resume imminently. Members noted that the impasse related to the national negotiations between the Universities and Colleges Employers Association (UCEA) and the UCU over pay and conditions.

With regard to industrial relations at a local level, the Committee noted a planned re-introduction of individual role reassessment under the Higher Education Role Analysis (HERA) job evaluation scheme, with preparations to commence this process in August 2023. This had followed agreement between UEG and campus unions. Furthermore, work to embed living wage accreditation criteria had commenced, with a commitment to completing the process in a timely manner. This would follow an evaluation of pay spines to accommodate changes required by the accreditation process.

Resolved: to note the update.

7.   ANNUAL REVIEW 2022 – PROMOTION FOR ACADEMIC AND RESEARCH STAFF

The Committee received the 2022 Annual Review of Promotion for Academic and Research Staff, presented for information. The report provided an analysis of promotion outcomes for 2021- 2022. It highlighted that a review of promotion criteria had been undertaken in 2019/20 to improve transparency and seek alignment with other people-related processes, and that a new framework had been developed and implemented in 2021.

The Committee heard that the number of academic and research staff who had applied for promotion had doubled to 127 in 2021/22, with 102 staff successful. Further breakdowns on applications and promotions were provided by role type, gender, age, ethnicity and disability. Members were advised that increased participation in the promotions process had been aided by more transparent criteria.

The increase in applications had required extensive engagement with external assessors, which had required lengthy follow-up work. Members were advised that this process differed from those at peer HE institutions, where smaller numbers of external assessors had been placed on Committees to improve engagement with the process, and which had resulted in the requirement for fewer external assessors overall.

Members were advised that this aspect was among several under review to streamline the process in future cycles and noted that a report would follow the conclusion of the review and would be considered by the Committee at a future meeting. Members were further advised that communication with staff on the next promotions round had been scheduled and would follow the review process.

Resolved: to note the Promotions Annual Review.

8.   **REVIEW OF HR POLICIES AND PROCEDURES**

   (i)   New policies/procedures for approval

      a.   Secondment Policy and Procedure
              The Committee received the Internal and External Secondment Policy and Procedures for consideration and, if so minded, approval. The policy outlined University commitments to working practices and policies which supported the ongoing development of staff and was designed to ensure that staff had opportunities to take advantage of the benefits that secondment opportunities provided.

              The policy had been developed in conjunction with members of the Policy Review Group, comprising members of HR&OD, union representatives and Legal. The policy had been further considered and endorsed by the Local Joint Committee at its meeting on 6 February 2023.

              Resolved: to endorse the policy to the Court.

      b.   Resolution Policy
              The Committee received the Resolution Policy and Procedure Guidance for staff and students for consideration and, if so minded, approval. Members noted that the Policy had been developed to support individuals in resolving conflict or disagreement through a process of Early Dispute Resolution (EDR). The Policy had outlined that early resolution was an effective informal approach to conflict resolution and to the maintenance of healthy working relationships.

The Committee heard that the Policy had been developed in conjunction with members of the mediation team, which had included a representative from the DUSA management team. It had also been considered by the HR Policy Review group and had been considered and endorsed by the Local Joint Committee at its meeting on 6 February 2023.

The Committee noted that the Policy promoted the role of the EDR team of accredited mediators, and its potential to intervene. Members noted that use of the Policy was voluntary and that trained mediators had a commitment to ensure mediation was used only where it appropriate.

Resolved: to endorse the policy to the Court.

(ii)   Amendments to existing policies/procedures for approval:

a.   Hybrid Working Policy
The Committee received the updated Hybrid Working Policy for consideration and, if so minded, approval. The Policy had been revised to reflect feedback provided after the initial pilot and had been future-proofed to reflect the post-pandemic working environment. The Committee thanked the Deputy Director of HR&OD for delivery of the revised Policy.

The Committee welcomed the Policy and discussed strategies to improve communication with staff to highlight changes to its contents. Members also acknowledged a requirement to improve staff communication on University policies more generally. This included improved signposting, location of policy documentation on the University website and further examples of where specific policies may be applicable. The Committee heard that following the review process, HR&OD had planned to develop internal messaging on new and revised policies with colleagues in External Relations.

Resolved: to endorse the policy to the Court.

b.   Alcohol, Drug and Substance Misuse Policy
The Committee received the Alcohol, Drug and Substance Misuse Policy and Procedure for consideration and, if so minded, approval. The Policy had been developed in conjunction with members of the HR team, Occupational Health and Safety Services, and had been discussed at the HR Policy Review Group. The policy had been endorsed by the Local Joint Committee, with minor amendments incorporated into the draft submitted for consideration. The Policy provided guidance on the management of alcohol, drug and substance misuse in the workplace, and highlighted support available to staff.

Resolved: to endorse the Policy to the Court.

9.   ANY OTHER BUSINESS

The Committee discussed the lessons learned review from the recent organisational change process which had created the School of Humanities, Social Sciences & Law. Members heard that a review meeting had recently convened to consider issues raised and feedback received on the conduct of the change process. Members heard that the main outcome of the meeting was the development a draft report by the Change Delivery team which presented outcomes and recommendations for future change projects. The report would be considered by UEG in the first instance and the Committee would receive a final version of the report in due course.

Resolved: (i)   to note the organisational change review update; and

             (ii)   to consider the final report at a future meeting.

10.   LOCAL JOINT COMMITTEE

Minutes of the Committee's meeting 6 February 2023

The Committee noted the minutes from the meeting of the Local Joint Committee on 6 February 2023.

Resolved: to note the minutes.

11.   DATE OF NEXT MEETING

Resolved: Wednesday 17 May 2023.

Jane Marshall (Convener)

Appendix 5, Annex A

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES

INTERNAL AND EXTERNAL SECONDMENT POLICY AND PROCEDURE

Internal Secondment Policy and Procedure

Table of Contents

1   Introduction

The University's policy on secondments supports its commitment to adopting working practices and policies which support the ongoing development of staff. It is designed to ensure that all members of staff are given an opportunity to take advantage of the benefits that secondments can give to individuals and the organisation.

Secondments allow staff to gain wider experience and acquire new skills whilst retaining continuous employment. During a secondment staff can develop and enhance their knowledge, skills and experience in another school/directorate of the University or another organisation and then utilise these skills in their substantive role on their return.

2   Further Information

2.1   Eligibility

All members of staff can apply for a secondment opportunity, provided they are not currently on secondment, probation or have a live disciplinary/capability warning. To be considered for secondment, the staff member must have at least two years' continuous service with the University before the start of the proposed secondment. In exceptional circumstances, applications may be considered from employees who have less than two years' service, on a case-by-case basis. Approval will be at the line manager's discretion.

2.2   Definition of a Secondment

A secondment is an agreement involving 3 parties:

1. The member of staff seconded (Secondee)
2. The school/directorate in which the staff member was originally employed (seconding school/directorate)
3. The school/directorate in which the member of staff is placed during the secondment (host school/directorate)

2.3   Duration of Secondment

2.3.1   Secondments are for a fixed term duration and the secondee's employment will continue with the seconding School/Directorate after the secondment ends.

2.3.2   The duration of a secondment will vary depending on the circumstances and can be on a short-term or long-term basis. It is expected the duration will normally be up to 12 months and for a maximum of 2 years. It can also be filled on a part-time or a full-time basis.

2.3.3   A secondment can be renewed; however, if it has already been extended once then the terms of the secondment should be reviewed in conjunction with the relevant HR Business Partner/HR Officer due to potential legal implications. This review would include an assessment of the future need for the role and a review of the terms and conditions of the secondment.

The secondee will be consulted if there are to be changes to their substantive role whilst on secondment and if there is no alternative role available because of redundancy then the University's Redundancy policy and procedure will apply.

2.4   Types of Secondment Roles

Types of work that might be considered suitable for secondment include:

- A project
- The introduction of a new initiative
- Policy development
- A specific task of limited duration or with an uncertain future
- A short-term appointment to cover a new area of work prior to making a permanent appointment
- Maternity or sickness absence cover
- The filling of a permanent role through a limited period secondment, to meet the individual's development needs

3   Procedure

3.1   Advertising
A secondment may be advertised as part of an internal recruitment process, where the opportunity is limited to University employees as it is a career development opportunity.

3.1.1   All roles that would lend themselves to a secondment opportunity should have this clearly stated in the description of the role.

3.1.2   Human Resources will ensure that consideration is given to opportunities for secondment being offered in suitable roles in conjunction with the employing manager.

3.2   Applying for a Secondment
The staff member wishing to apply for a secondment should discuss the matter with their line manager before making an application. For internal secondments, the line manager should then discuss the matter with the appropriate HR Business Partner/HR Officer if they have any concerns before continuing any in depth discussion with the employee.

3.3   The Recruitment Process

The standard selection process will be followed thereafter. This will normally involve a competency-based interview with possible additional selection tests. As with all standard selection processes, the decision of the selection panel is final.

3.4   Making an Offer/Formalising the Secondment Arrangement

3.4.1   The successful staff member, recruiting manager and current line manager will negotiate a mutually acceptable start date.

3.4.2   Once the start date has been agreed the recruiting manager will complete the required information on the University's recruitment system to advise HR of the successful candidate.

3.4.3   The Internal Secondment form should be completed by the recruiting manager and returned to HR.

3.4.4   The secondee will receive a secondment agreement for the period of the secondment which will set out in writing contractual details such as duration, salary, and main duties.

3.4.5 Whilst on secondment the employee's salary will be paid from their host school/directorate's budget for the duration of the secondment in order to allow the seconding school/directorate to backfill if need be.

3.5   Secondment to a different staff category

If the secondment position is in a different staff category from the substantive position, different terms and conditions, including annual leave entitlement, hours of work and pension scheme membership may apply.

In these circumstances the recruiting manager should refer the staff member being offered the secondment to the relevant HR Business Partner/HR Officer to discuss the terms and conditions of the role, which would apply during the secondment period.

If an individual wishes to remain in their current pension scheme on taking up a secondment in a different staff category where a different pension scheme applies, they should contact the Pensions Office directly to discuss the options available to them.

3.6   General Principles governing Internal Secondments

3.6.1   Underperformance during the secondment will be subject to standard capability procedures which will be invoked and managed by the host school/directorate.

3.6.2   If, having followed the Capability Procedure, the employee continues to perform to an unacceptable standard, the secondment will end and the secondee will return to their substantive post.

3.6.3   If the secondee wishes to end a secondment prematurely, they should discuss reasons for this with both the seconding manager and host school/directorate. Standard notice periods will apply, as laid out in the contract of employment.

3.6.4   However, if the substantive role has been back-filled, it is likely a 3-month notice period will be required on the part of the secondee. If circumstances change within the host school/directorate and the secondment must end prematurely, the secondee will be consulted with.

3.6.5   The secondee will report to a specified manager based in the host school/directorate (host manager) for the duration of the secondment for the purposes of ongoing task allocation, sickness and annual leave reporting and performance review.

3.6.6   Performance and development objectives must be agreed by the secondee's host manager and secondee, then documented, prior to the start of the secondment. The seconding manager must also be consulted and involved in this process.

3.7   Ending the Secondment

3.7.1   The secondee will have the right to return to their substantive post at the end of the secondment, should the duration of secondment be twelve months or less. If either party wish to extend the secondment beyond the originally agreed date, then this needs the approval of the seconding manager. Should the secondment be greater than twelve months, or the secondment be extended to more than twelve months in total, the University reserves the right to deploy the secondee into a different role at the end of the secondment. This role will be equivalent in grade and job type to the substantive role.

3.7.2   If the post is to become longer term or permanent then the normal recruitment process will be adhered to unless there is justification for following an alternative course of action.

3.7.3   The line manager from the seconding school/directorate is responsible for keeping the secondee up to date with all workplace developments or changes within the seconding school/directorate in order to ensure a smooth return to their substantive post.

3.7.4   In the last three months of the secondment, the line manager in the home school/directorate should contact the secondee to arrange a full briefing and make arrangements for the secondee's return. At the meeting, it will be important to manage expectations and be clear with the secondee what will be expected on returning to their original role. This could include clarifying details of the role and responsibilities, setting objectives and discussing how any new skills can be used.

3.7.5   Arrangements should be made to ensure delivery and return of all property, documents and data owned by the host school/directorate.

3.7.6   Where there has been organisational change affecting the secondee's substantive role during the secondment, the University will consult with the secondee about the impact of the changes and options which may be available. The University will seek suitable alternative employment should the secondee's substantive role no longer exist and normal redundancy procedures will be followed in these circumstances.

        If a substantive role is to be made redundant, the employee will be involved in the consultation process as normal and available redeployment opportunities should be explored. Under these circumstances clarity should be sought regarding funding and whether the secondment can continue until its completion.

        Guidance should be sought from the relevant HR Business Partner/HR Officer and the host school/directorate should be notified of the situation.

4   Document Information

4.1 Equality Impact Assessment

Please provide summary of Equality Relevance as identified through EIA along with a link to the document.

4.2. Approvals & Renewals

Document Name	Internal Secondment Policy & procedure
Status	Draft V1
Responsible officer/department/school	Human Resources
Policy owner	People & Organisational Development Committee
Date last approved	
Due for review	
Authorised and approved for publication	Yes/No
Date authorised for publication	
Information classification: public/internal	Public (most are public)
Location in repository	POD (the folder on BOX)
Approval route and history	People & Organisational Development Committee + date (Court etc.)
Code	e.g., POD_161031_STWO_v001

Appendix 5, Annex B

External Secondment Policy and Procedure

Table of Contents

5   Introduction

The University's policy on secondments supports its commitment to adopting working practices and policies which support the ongoing development of staff. It is designed to ensure that all members of staff are given an opportunity to take advantage of the benefits that secondments can give to individuals and the organisation.

Secondments allow staff to gain wider experience and acquire new skills whilst retaining continuous employment. During a secondment staff can develop and enhance their knowledge, skills and experience in another organisation and then utilise these skills in their substantive role on their return.

6   Further Information

6.1   Eligibility

All members of staff can apply for a secondment opportunity, provided they are not currently on secondment, probation or have a live disciplinary/capability warning. To be considered for secondment, the staff member must have at least two years' continuous service with the University before the start of the proposed secondment. In exceptional circumstances, applications may be considered from employees who have less than two years' service, on a case-by-case basis. Approval will be at the line manager's discretion.

6.2   Definition of a Secondment

A secondment is an agreement involving 3 parties:

4.   The member of staff seconded (Secondee)
5.   The Organisation in which the staff member was originally employed (Seconding Employer)
6.   The Organisation in which the member of staff is placed during the secondment (Host Organisation)

6.3   Duration of Secondment

6.3.1   Secondments are for a fixed term duration and the secondee's employment will continue with the University after the secondment ends.

6.3.2   The duration of a secondment will vary depending on the circumstances and can be on a short-term or long-term basis. It is expected the duration will normally be up to 12 months and for a maximum of 2 years. It can also be filled on a part-time or a full-time basis.

6.3.3   A secondment can be renewed; however, if it has already been extended once then the terms of the secondment should be reviewed in conjunction with the relevant HR Business Partner/HR Officer due to potential legal implications. This review would include an assessment of the future need for the role and a review of the terms and conditions of the secondment.

The secondee will be consulted if there are to be changes to their substantive role whilst on secondment and if there is no alternative role available because of redundancy then the University's Redundancy policy and procedure will apply.

6.4   Types of Secondment Roles

Types of work that might be considered suitable for secondment out of the University include:

- A project
- The introduction of a new initiative
- Policy development
- A specific task of limited duration or with an uncertain future
- A short-term appointment to cover a new area of work prior to making a permanent appointment
- An academic or research collaboration

7   Procedure

7.1   Secondments into the University

In certain circumstances secondments into the University may be offered. This may be part of a partnership arrangement with another organisation, research collaboration or as an opportunity for staff in certain professions who may be considering moving to an academic career path to experience an academic role.

7.1.1   Advertising

Any secondment opportunity would normally be advertised and the University's recruitment procedure followed.

7.1.2   The Recruitment Process

7.1.2.1 The standard selection process will be followed. This will normally involve a competency-based interview with possible additional selection tests. As with all standard selection processes, the decision of the selection panel is final.

7.1.3   Making an Offer/Formalising the Secondment Arrangement

7.1.3.1 The successful applicant will liaise with their current line manager to negotiate a mutually acceptable start date and inform the recruiting manager at the University.

7.1.3.2 Once the start date has been agreed the recruiting manager will complete the required information on the University's recruitment system to advise HR of the successful candidate.

7.1.3.3 The Secondment In form should be completed by the recruiting manager and returned to HR.

7.1.3.4 The secondee will receive a secondment agreement for the period of the secondment which will set out in writing contractual details such as duration, salary and main duties.

7.1.3.5 Whilst on secondment the employee's salary will be paid by their substantive organisation.   Costs associated with the salary payments will be reclaimed from the University for the duration of the secondment.

7.1.4   General Principles governing Secondments into the University

7.1.4.1 Should any issue arise during the period of the secondment and the University/seconding employer, or the employee wishes to invoke an HR policy (e.g., absence, disciplinary, capability, grievance), in all situations the seconding organisation's policies will be utilised. The University will be asked for input to that

process. In cases of gross misconduct, this will be considered on individual circumstances but may result in termination from both the seconding employer and the University.

7.1.4.2 Underperformance during the secondment will be subject to standard capability procedures which will be invoked and managed by the University. If, having followed the Capability Procedure, the employee continues to perform to an unacceptable standard, the secondment will end and the secondee will return to their substantive post at the seconding organisation.

7.1.4.3 If the secondee wishes to end a secondment prematurely, they should discuss reasons for this with both their University line manager and the seconding manager. Standard notice periods will apply, as laid out in the secondment agreement.

However, if the substantive role has been back-filled, it is likely a 3-month notice period will be required on the part of the employee. If circumstances change within the host School/Directorate or seconding employer and the secondment must end prematurely, the secondee will be consulted with.

7.1.4.4 Performance and development objectives must be agreed by the secondee's University line manager and secondee, then documented, prior to the start of the secondment. The seconding manager must also be consulted and involved in this process.

7.1.5   Ending the Secondment

7.1.5.1 The secondee will have the right to return to their substantive post in the seconding organisation at the end of the secondment.

If either party wish to extend the secondment beyond the originally agreed date, then this needs the approval of the seconding organisation.

7.1.5.2 The line manager from the seconding organisation is responsible for keeping the secondee up to date with all workplace developments or changes within the seconding organisation in order to ensure a smooth return to their substantive post.

7.1.5.3 In the last three months of the secondment, the line manager in the seconding organisation should contact the secondee to arrange a full briefing and make arrangements for the secondee's return.

7.1.5.4 Arrangements should be made to ensure delivery and return of all property, documents and data owned by the University.

7.1.5.5 If the secondee's substantive role is to be made redundant in the seconding organisation, the secondee will be involved in the consultation process. Under these circumstances clarity should be sought from the seconding organisation regarding funding and whether the secondment can continue until its completion.

Guidance should be sought from the relevant HR Business Partner/HR Officer and the seconding organisation.

7.2   Secondments Out of the University

7.2.1   Applying for a Secondment

7.2.1.1 The staff member wishing to apply for a secondment should discuss the matter with their line manager before making an application. The line manager should then discuss the matter with the appropriate HR Business Partner if they have any

7.2.1.2 The staff member should keep their line manager updated on progress with their application.

7.2.2   On Receipt of an Offer/Formalising the Secondment Arrangement

7.2.2.1 The staff member as the successful applicant will liaise with their current line manager to negotiate a mutually acceptable start date and inform the recruiting manager in the other organisation.

7.2.2.2 The staff member will advise their line manager if they receive a secondment agreement from the other organisation and provide a copy of the agreement.

7.2.2.3 The line manager will send the copy of the secondment agreement to HR.

7.2.2.4 HR will update the HR and Payroll system with the dates of the secondment.

7.2.2.5 Where a secondment agreement is not provided by the other organisation the line manager should raise this with the relevant HR Business Partner/HR Officer who will arrange for an agreement to be put in place.

7.2.2.6 Whilst on secondment the employee's salary costs will be from their host organisation's budget for the duration of the secondment in order to allow the University to backfill if need be.

7.2.2.7 The staff member will continue to be paid via the University's payroll system during the period of the secondment.

7.2.3   Secondments Outside of the UK

Secondments to countries outside the UK need to be referred through the relevant HR Business Partner/HR Officer and to Finance for consideration of insurance requirements. Advice may need to be sought on the local right to work, tax and social security provisions for the country or countries involved. International secondments will be governed by the University's Global Mobility Framework policies.

7.2.4   General Principles governing Secondments Out of the University

7.2.4.1 Should any issue arise during the period of the secondment and the host/seconding employer, or the employee wishes to invoke an HR policy (e.g., absence, disciplinary, capability, grievance), in all situations the University's policies will be utilised. The host organisation will be asked for input to that process. In cases of gross misconduct, this will be considered on individual circumstances but may result in termination from both the seconding and host employers.

7.2.4.2 Underperformance during the secondment will be subject to standard capability procedures which will be invoked and managed by the host organisation. The University's Capability Procedure will be utilised. If, having followed the Capability Procedure, the employee continues to perform to an unacceptable standard, the secondment will end and the secondee will return to their substantive post at the University.

7.2.4.3 If the secondee wishes to end a secondment prematurely, they should discuss reasons for this with both their University line manager and the line manager in the host organisation. Standard notice periods will apply, as laid out in the secondment agreement. However, if the substantive role has been back-filled, it is likely a 3-month notice period will be required on the part of the employee. If circumstances change within the host organisation or the University and the secondment must end prematurely, the secondee will be consulted with.

7.2.4.4 The secondee will report to a specified manager based at the host organisation (host line manager) for the duration of the secondment for the purposes of ongoing task allocation, sickness and annual leave reporting and performance review.

7.2.4.5 Performance and development objectives must be agreed by the secondee's host line manager and the secondee, then documented, prior to the start of the secondment. The University line manager must also be consulted and involved in this process.

7.2.5   Ending the Secondment

7.2.5.1 The secondee will have the right to return to their substantive post at the end of the secondment, should the duration of secondment be 12 months or less. If either party wish to extend the secondment beyond the originally agreed date, then this needs the approval of the University line manager.

Should the secondment be greater than 12 months, or the secondment be extended to more than 12 months in total, the University reserves the right to deploy the secondee into a different role at the end of the secondment. This role will be equivalent in grade and job type to the substantive role.

7.2.5.2 The line manager from the seconding University School/Directorate is responsible for keeping the secondee up to date with all workplace developments or changes within the seconding School/Directorate in order to ensure a smooth return to their substantive post.

7.2.5.3 In the last three months of the secondment, the line manager in the seconding School/Directorate should contact the secondee to arrange a full briefing and make arrangements for the secondee's return.

At the meeting, it will be important to manage expectations and be clear with the secondee what will be expected on returning to their original role. This could include clarifying details of the role and responsibilities, setting objectives and discussing how any new skills can be used.

7.2.5.4 Arrangements should be made to ensure delivery and return of all property, documents and data owned by the host organisation.

7.2.5.5 Where there has been organisational change affecting the secondee's substantive role during the secondment, the University will consult with the secondee about the impact of the changes and options which may be available. The University will seek suitable alternative employment should the secondee's substantive role no longer exist and normal redundancy procedures will be followed in these circumstances.

If a substantive role is to be made redundant, the employee will be involved in the consultation process as normal and available redeployment opportunities should be explored. Under these circumstances clarity should be sought regarding funding and whether the secondment can continue until its completion.

Guidance should be sought from the relevant HR Business Partner/HR Officer and the host organisation should be notified of the situation.

8   Document Information

8.1 Equality Impact Assessment

Please provide summary of Equality Relevance as identified through EIA along with a link to the document.

8.2. Approvals & Renewals

Document Name	External Secondment Policy & Procedure
Status	Draft V1
Responsible officer/department/school	Human Resources
Policy owner	People & Organisational Development Committee
Date last approved	
Due for review	
Authorised and approved for publication	Yes/No
Date authorised for publication	
Information classification: public/internal	Public (most are public)
Location in repository	POD (the folder on BOX)
Approval route and history	People & Organisational Development Committee + date (Court etc.)
Code	e.g., POD_161031_STWO_v001

Appendix 5, Annex C

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES

RESOLUTION POLICY AND PROCEDURE

University of Dundee Resolution Policy and Procedure

1.   **Introduction**

The University of Dundee is committed to encouraging healthy working relationships for all staff and students and others engaged in University life. Personal wellbeing is important, and it is recognised that harmony in the workplace impacts positively on staff and student morale and performance.

However, it must also be recognised that in any dynamic and progressive organisation such as the University, where pursuit of knowledge thrives on challenge and discourse, disagreements are inevitable from time to time and when that happens it is important to support staff and students to help them to resolve a dispute or conflict as quickly and efficiently as possible.

Early Dispute Resolution (EDR) or Mediation is a service which is provided by the University to offer a confidential and safe space to help individuals resolve any difficulties they have within a workplace relationship. The EDR Team offer staff and students the opportunity to seek reconciliation to a dispute using a confidential, fair and dignified approach and in a non-adversarial manner.

2.   **Alignment with University Core Values**

The University defined a set of core values, which are fundamental to working and studying at the University of Dundee. The Resolution Policy aims to support the University in its desire to foster an environment of collegiate and respectful working practices.

The Resolution Policy particularly aligns with the following three core values:

Making a difference

Focus on working well with others to get results.

Valuing People

Treat everyone with equal respect, valuing their contribution to the University. Recognise and respect differences, actively promoting inclusion.

Integrity

Behave ethically and professionally, with the best interests of the University at heart.

Be open to challenge without defensiveness and willing to challenge without aggression. Have the courage to question actions that are inconsistent with University values.

The Policy aims to support staff and students if they feel these core values are not being upheld.

3.   **Purpose**

The Policy supports individuals to resolve conflict or disagreement as early as is possible and supports the University as it ensures its stated core values are upheld. The Policy accepts that early dispute resolution is an effective informal approach to conflict resolution and to the maintenance of healthy working relationships in the University.

4.   **Scope**

Early Dispute Resolution is available to all staff and students of the University at any time when there is a perception of a dispute or conflict between individuals or a group of individuals.

Early Dispute Resolution is an option to consider pursuing first in the event of a conflict or dispute. It should be noted that in doing so, it does not affect the rights of staff or students under any of the University's other policies or procedures which may be applicable in the event of a dispute or conflict.

The full list of University policies applicable to staff is available at Policies & Procedures - Human Resources - The University of Dundee.

The full list of policies applicable to students is available at Policy Statements, Regulations & Guidance : Academic and Corporate Governance : University of Dundee.

5.   **What is Early Dispute Resolution?**

Resolution through mediation is a confidential informal process which aims to help individuals find positive solutions to their dispute. An early dispute resolution approach focuses on the future working relationship of the individuals concerned as it attempts to resolve the conflict or disagreement. This is achieved without dwelling too much on the past and without apportioning blame, and instead by encouraging individuals to mutually acknowledge where issues have arisen and to develop strategies for working together in the future. The process ensures individuals in conflict maintain control of the process of resolution, without involving others or other procedures/processes - unless they decide to do so.

The University has a team of accredited mediators to help resolve disputes in any part of the University if required. The mediators remain neutral to the issues of the conflict and aim to professionally facilitate a dialogue between the individuals, leading to greater understanding of their differences.

The Resolution Policy assumes that the responsibility for the resolution of a conflict or dispute remains with the individuals concerned (the 'parties'). The accredited mediators will work with each of the parties both individually and then together, supporting them through facilitated meetings with the aim of achieving a resolution to the dispute in an informal and confidential manner.

It is recommended that students and staff consider whether an early dispute resolution approach is desirable to resolving their disagreement or conflict, before making the decision to invoke any formal grievance or complaint procedure.

Early Dispute Resolution is an entirely voluntary process. It may be suitable to consider for:

- Disputes between staff or students who work closely together.
- Disputes between groups of staff or students that work closely together.
- Disputes or grievances between staff and their manager or students and staff.
- Allegations of bullying or harassment (staff or student).
- Concerns about equity of treatment/opportunity.

There are a number of ways in which EDR may be able to help:

- Mediation between two or more individuals involved in a dispute.
- Development days (group mediation) for Teams who are not working well together.
- Individual support for staff or students who feel they're experiencing relational difficulty with someone in the University with whom they engage regularly.
- Individual support to managers of staff involved in a dispute.
- Conflict Management training via the Organisational & Professional Development Programme (OPD).

Dispute Resolution may also be helpful in cases of complaints about working environments/practices or about distribution of resource.

Early Dispute Resolution is provided by the EDR Team of mediators who are accredited by Scottish Mediation: https://www.scottishmediation.org.uk/.

For a mediation to go ahead, the parties must agree that this is an approach they both wish to take, to try to resolve their dispute. If one party does not wish to mediate and the dispute moves into a formal process, there will be no adverse consequence for the party who declined the opportunity of mediation.

Exclusions

1. Because engagement with EDR is voluntary, mediation cannot be used during formal University policy and decision-making processes.

2. It is also not appropriate to consider using Early Dispute Resolution to address allegations of illegal or criminal activities, including breaches of Health & Safety regulations.

6.   Procedure

The EDR Team may be contacted directly by email (edr@dundee.ac.uk).

A member of the team will respond within 48 hours and will arrange a discussion with the inquirer to ascertain how the service may be able to help.

Individual support for staff or students (or managers of staff) experiencing relational difficulties will be referred to an EDR team member. If mediation is considered appropriate, the mediator will offer to contact other parties involved to invite them to participate in a dispute resolution process.

If the informal dispute resolution process is accepted by all parties, mediators will meet each person individually to understand their issues/concerns with a view to bringing both parties together in a mediated discussion.

The EDR Team operate a policy of co-mediation. This means that all mediations will involve two members of the mediation team.

Before a mediation takes place, each party will be required to sign a confidentiality agreement. The mediation meeting aims to:

- Encourage an open and honest discussion between the parties.
- Encourage a mutual understanding of each perspective.
- Encourage mutual explorations of possible solutions or options.
- Assist the parties to find a mutually agreeable outcome.

There are no records or notes taken before, during or after a mediation except those recorded by the parties themselves as part of a mutual agreement and/or action plan (if appropriate). The outcomes of the mediation remain confidential to the parties involved unless they both agree to pass details on to others (e.g., line managers).

Staff referrals to EDR can be made by HR officers, by Trade Union representatives, by line managers or other supervisory staff.

Students may be referred by any member of staff in the University or by DUSA. Any individual may also self-refer.

7.   Confidentiality & Impartiality

Individual EDR team members do not work with persons where there is or perceived to be a conflict of interest, for instance where a party to a dispute is known socially or otherwise by the mediator.

Within the limitations of the law and unless there was a belief that someone may be harmed, everything discussed with a mediator before and during a mediation will be kept confidential.

Whilst it is hoped that a mediated approach will resolve a conflict or dispute, it may not do so. It should be noted that it is an independent process which stands apart from University statutes and formal policies. For this reason, participation in mediation does not prevent an individual invoking formal procedures at a later date. However, the confidentiality agreement signed by each party ensures that any detail revealed in the mediation process is inadmissible in a future formal procedure or process.

The EDR team are reflective practitioners and may use anonymised case studies in supervision or training.

email: edr@dundee.ac.uk

Appendix 5, Annex C

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES

REVISED HYBRID WORKING POLICY

Introduction

This policy sets out the University's approach to hybrid working, which allows a Professional Services member of staff to split their time between attending work on campus and working remotely.

Hybrid working is an important element of the University's strategy for embedding new and innovative ways of working for the benefit of the organisation, teams, and individuals; in addition to continuing to support a positive work-life balance for staff.

Appendix 1 is a track changed version of the policy, to highlight the changes made more easily.

Who is covered by hybrid working

Hybrid working is available to all roles that have been identified as having the potential to be a **'hybrid'** worker as described by the University's Working Personas guidelines. These are roles where work can be carried out effectively from different locations depending on the activity.

Academic staff are not eligible for consideration as hybrid workers as they already have significant flexibility in determining where they work, and these arrangements will continue to be managed locally by line managers. Arrangements with academic staff will take into account the need for a strong on campus presence to ensure that a first- class learning experience is provided within a vibrant learning and research environment.

Hybrid working is not currently suitable for roles that have been identified as 'campus' workers as described by the University's Working Personas guidelines as these roles have a critical role on campus supporting infrastructure, operations or providing essential frontline student services.

Factors impacting the suitability for hybrid working

- The suitability of the job and whether the work is capable of being undertaken equally effectively from home;
- The impact on the level of service, student experience, efficiency and/or effectiveness which ultimately take precedence, albeit staff preferences will be accommodated as far as reasonably possible;
- Whether any costs incurred are reasonable;
- The needs of the staff member for more flexible working arrangements;
- The suitability of the home environment and its technical accessibility/connectivity;
- Any potential negative impact on the staff member of working from home;
- Any potential negative impact on the staff member's colleagues/team;
- The potential for maintaining good communication with the staff member;
- The staff member's risk assessment and data protection assessment.

Any arrangement for hybrid working is discretionary and the University will have the right to terminate a hybrid working arrangement, for example, due to a change in business needs, performance concerns or if a staff members' role changes such that hybrid working is no longer suitable to hybrid working, subject to giving notice.

A member of staff can terminate their hybrid working arrangement by giving notice in writing to their line manager.

Any arrangement for hybrid working will need to be approved by the member of staff's line manager.

Split between attending work and working remotely

Expected level of attendance on campus

The expectation is that most staff will spend some of their working time on campus and that the specific working arrangement will be agreed with the member of staff's line manager.

The University contract of employment currently confirms the location of work on campus, but states that the staff member may be asked, according to the needs of the University, to carry out part of their duties at another location. If a staff member has been identified as a hybrid worker and is wishing to take advantage of this flexibility and split their work between campus and working remotely, they will need to discuss and agree this with their line manager. The specific arrangements agreed will be detailed on the approved form.

The expected number of days per week any member of staff will work on campus compared with working remotely will vary, depending on:

- individual circumstances;
- the nature of the role;
- what is happening within the role and team at any particular time; and
- the needs of the University, including the space available at the various work locations.

Taking individual circumstances into account

It is recognised that some staff may have challenges with their working environment at home which means that remote working is difficult, and they would like to attend work on campus more often than the norm for a 'hybrid' worker. It should be noted that although certain staff may have been identified as suitable for hybrid working, the University will not ask any member of staff to work in a hybrid way if they do not want to. Those that wish to return to full-time campus working will be able to do so.

Alternatively, a member of staff may wish to work less time on campus than originally envisaged for their role. In this case the member of staff should speak to their line manager and HR Business Partner. Depending on the nature of the additional flexibility being sought, the manager may be able to agree to the request, alternatively, the member of staff may be asked to make a formal flexible working request under the University's Flexible Working policy.

Flexibility of Workforce

Given the degree of flexibility that the University's hybrid working arrangements provide, there is an expectation that the workforce will be flexible.

This means that staff may be required to be on campus on particular days at the request of the line manager, for example for in-person training and for meetings that the line manager has determined are best conducted in person.

Similarly, there may be circumstances in which we ask staff to work remotely, or to work from such other place as we may reasonably require, when they would otherwise expect to attend work on campus, for instance:

- for operational needs, for example if there are too many members of a particular team on campus on specific days; or

- in the event of government guidance requiring that employees work from home if they can. In such cases, staff will be given as much notice as possible.

Arrangements while working on campus

Working hours

For days on which you are attending the workplace, your normal hours of work are set out in your contract of employment.

Workspaces

Each School and Directorate has different arrangements in place relating to the utilization of space in their buildings and the workspace to support hybrid working will vary:

If you are provided with your own permanent workstation, which includes lockable desk drawers/a lockable cupboard. At the end of each day on which you are attending work, please ensure that your laptop is either taken with you or secured away in your desk drawers/cupboard.

Alternatively, if you are hot-desking, at the end of each day on which you are attending work, please ensure that you leave the hot desk clean and tidy. Your laptop and other equipment and any personal items should not be left on any of the hot desks overnight. You will also have access to a lockable cupboard/locker and at the end of each day on which you are attending work, please ensure that your laptop and other equipment are either taken with you or secured away.

Safe-working measures

Your safety is our priority, and all the usual workplace health and safety measures will continue to operate on campus. However, due to the use of flexible working arrangements and hot desking, staff need to pay particular attention to certain aspects of health and safety:

- Ensure you have complied with any sign-in procedures, which are necessary to identify building occupation in the event of an emergency.

- Ensure that you know how to evacuate the building/space in an emergency and where to assemble.

- Ensure that you know about local first aid arrangements (who the first aiders are and how to summon help if needed).

- Ensure that your workstation is kept tidy during the day and especially that bags and trailing cables do not represent trip hazards (this is especially important where "hot desks" are being used).

- Ensure that your workstation and chair are adjusted properly and set up correctly for you. When using a new workstation, a DSE self-assessment should be undertaken. More information is contained in the DSE policy (again, this is especially important for "hot desks").

- In addition to general workplace health and safety measures that must be followed, specific COVID-19 measures may still be in place and must be complied with. Up to date information is available on the [University SharePoint site](#).

We encourage staff to let us know if they have any concerns, have identified any potential risks, or have any suggestions for further adaptations we can make. You can do this by raising concerns or making suggestions to your line manager, HR, your union representative or your local H&S advisor.

You have a role to play in ensuring our staff can work in a safe environment and you must follow our safe-working instructions. A failure to do so may be considered a disciplinary matter and dealt with in accordance with our disciplinary procedure.

Arrangements while working remotely

Working hours

While working remotely, you must be available and working during your normal hours of work, as set out in your contract of employment.

We ask you to be mindful that you are not overworking - "downtime" from work is essential. To help maintain your wellbeing, please make sure that you take adequate rest breaks:

- Take a lunch break each day.

- Even if you are busy, it is essential that you find the time to take a break of at least 20 minutes during each working day that lasts more than six hours.

- Ensure the time period between stopping work one day and beginning the next is not less than 11 hours.

Please be as clear as possible with your line manager about your hours of work for days on which you are working remotely. Making use of tools such as shared calendars and out-of-office messaging can help colleagues to be aware of your availability on these days.

Sickness

When working remotely, you should not work if you are unwell. If you are sick and unable to work, please follow the University's Absence reporting procedures and notify your line manager (by telephone or by message) as early as possible on the first day of absence (normally within one hour of notional starting time) to explain the reason for your absence and to give an estimate of its probable duration.

Technology and equipment

The standard set up that will be provided is:

- a laptop computer (to be used both remotely and on campus)
- a docking station
- a set of headphones
- 2 monitors
- a keyboard and mouse

If you are hybrid working, it is for you to decide what equipment you want at keep at your on-campus location and what to set up remotely. So, for example, some staff may prefer to have two

monitors on campus while others may wish to have one monitor on campus and one at their remote location.

Staff may also require other equipment, such as an operator chair and/or desk, footrest, copy holder, etc. Where equipment is required for the work done or to remove a hazard identified in a DSE risk assessment and it is agreed that the staff member will work in a hybrid way, the equipment will be provided (note that the University reserves the right to decline hybrid working in situations where it considers the equipment requirements to be unreasonable. In such circumstances, the staff member would be required to work at an appropriate workstation on campus).

Staff must take care of any equipment provided to them, and notify their line manager or Help4U of any faults with the equipment. If you do need any equipment, you should notify your line manager.

The suitability of the home environment in terms of its technical accessibility/connectivity may impact on your ability to work to work from home and may require you to work on campus.

Key policy facts and responsibilities and processes in relation to the management of client devices for university staff can be found at https://www.dundee.ac.uk/corporate-information/client-device-policy.

Financial assistance

The University will not provide any additional financial assistance for any member of staff wishing to work from home.

You may be able to claim tax relief for any household expenses incurred as a result of working from home, provided the expenses are solely work related. If you wish to benefit from this tax relief, see the Government's guide on claiming tax relief for your job expenses at www.gov.uk/tax-relief-for-employees/working-at-home.

The costs (and time) for a member of staff travelling from a home-work base to a campus place of work will be met by the staff member.

Health and safety

You should liaise with your line manager and/or health and safety advisor to ensure that your remote working set-up is appropriate and that you are working in a safe manner. However, you must also take responsibility for your own health and safety and that of anyone else who is affected by your work (for example others in your household when you are working from home). In particular, you must keep your remote work area clean and tidy, avoiding trip/slip hazards. You must undertake a DSE self-assessment of your remote workstation and implement any changes required to ensure it is suitable.

Guidance is available on the Safety Services website (https://www.dundee.ac.uk/safety/hybrid-working).

You must notify your line manager if:

- you feel any discomfort due to working remotely (such as back pain); or
- you believe that there are any work-related health and safety hazards;
- any work-related accidents occur in your home (these must also be reported via the University system: Safety Services website).

Your line manager will escalate the matter to your local H&S advisor who will discuss with Safety Services if appropriate, to review what action can be taken.

Data protection

Staff who are working remotely are responsible for keeping information associated with our organisation secure at all times.

Specifically, remote workers are under a duty to:

- practise good computer security, including using a unique password for your work laptop and any other devices you use for work;
- use one of our corporate systems as outlined in the University's data protection guidance for remote working
- keep your, and others', data secure and make sure personal data is stored, shared, and used lawfully and appropriately;
- keep all hard copies of work-related documentation secure, including keeping documents locked away at all times except when in use; and
- ensure that work-related information is safeguarded when working in public spaces, for example by:
  - o positioning your laptop so that others cannot see the screen;
  - o not leaving your laptop unattended; and
  - o not having confidential/business-sensitive conversations in public spaces.

In addition, the laptop and other equipment provided by us must be used for work-related purposes only and must not be used by any other member of your household or third party at any time or for any purpose.

Requesting flexible working

This policy focuses on how our organisation operates hybrid working, but there are many other forms of flexible working. **If you have 26 weeks' service with us**, you retain the right to make a formal request for flexible working, whether or not hybrid working is available for your role.

Examples of other types of flexible working that can be requested are:

- reducing the number of hours that you are working;
- changing your start and finish times;
- working flexitime.

If you would like to request another form of flexible working, or if we do not currently offer you hybrid working but you would like to request it, you can make a formal request (i.e., a statutory application) under the University's Flexible Working policy.

Procedure to request hybrid working:

1) A member of staff must submit a Hybrid Working request form, to their line manager, confirming that they wish to opt into the policy and setting out their proposed arrangement.

2) This request will be considered, and either accepted or rejected, according to the University's business and operational requirements.

3)   To assist the application process, it is recommended that the member of staff would beforehand discuss their proposal with their line manager to identify any potential issues, which can then be addressed.

It should be noted that:

• being categorised as "hybrid" does not automatically mean that the staff member will get the arrangement that they have requested; and

• a hybrid working arrangement is unlikely to be agreed if an employee's most recent appraisal identifies any aspect of their performance as unsatisfactory, they have an unexpired warning, or they need training and/or supervision to deliver an acceptable quality or quantity of work.

Appendix 6, Annex E

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES

ALCOHOL, DRUG AND SUBSTANCE MISUSE POLICY STATEMENT

The University of Dundee wishes to maintain and support a healthy and safe working environment, for all its staff, not only through its obligations under the Health and Safety at Work Act (1974), and the Misuse of Drugs Act (1971) but also through its commitment to providing a supportive, and rehabilitative environment, in which to support staff experiencing difficulties with alcohol, drugs or substance abuse. This supportive framework is set against the context that the University does not condone the excessive and/or inappropriate use of alcohol, nor the misuse of drugs/substances, whether illicit or prescribed.

The University recognises that a safe and healthy working environment is put at risk by employees who use alcohol and other drugs/substances in such a way that their health, work performance, conduct or relationships at work are adversely affected. As such staff must ensure that they are fit to carry out their duties safely free from the effects of alcohol, drugs, or substances and are not permitted to consume alcohol during their contracted working hours, whether on or off campus with the exception of arrangements relating to social events as outlined within Section 6 (iv).

The University therefore encourages staff with alcohol and drug/substance related problems to seek help voluntarily and is committed to supporting the member of staff through this process in accordance with the Policy on Alcohol, Drug and Substance Misuse. A member of staff who is undergoing treatment in accordance with this policy shall suffer no detriment in the application of promotion or any other procedure.

If a member of staff refuses to engage in an identified treatment programme, or discontinues their engagement whilst treatment is ongoing, the University may regrettably invoke the Capability or Disciplinary procedures as appropriate.

2.   Scope

The policy applies equally to all members of staff regardless of contractual status. Individuals working within the University, but not employed by the University, e.g., students, contractors, visitors, external service providers and customers are required to adhere to the Policy guidelines even although not covered by procedural details. Issues arising in relation to individuals working within the University, but not employed by the University should be reported to the member of University staff directing this work, or designated Health and Safety Representative who will take immediate action or escalate as required. This may include being required to leave University premises if suspected of being under the influence of alcohol or drugs.

3.   Definition

Alcohol, drug and substance misuse is defined as "the intermittent or continual use of alcohol or any drug or other substance which causes detriment to the member of staff's health, functioning, or performance at work, and which affects efficiency, productivity, safety, attendance, time keeping or conduct in the workplace".

4.   Aims of the Policy

The aims of the policy are:

- to reduce the incidence of alcohol and drugs/substance related work impairment, thereby ensuring a safe and healthy workplace for everyone.
- to create a climate which encourages the member of staff not to conceal or deny alcohol and drug/substance related problems but to seek appropriate help;
- to ensure that any case which involves alcohol/drugs/substance misuse is treated in the strictest confidence;
- offer staff, who are known to have alcohol or drug/substance related problems affecting their work, referral to Occupational Health and/or an appropriate agency for guidance and, if necessary, treatment;
- whenever possible, to secure the complete rehabilitation of staff with alcohol or drug/substance related problems and their return to an acceptable level of performance at work;
- to reduce the likelihood of disciplinary action resulting from alcohol or drug/substance misuse.

5.   Responsibilities

i.   Individual

It is the responsibility of each individual member of staff to ensure that they are in a fit state to work. All staff are responsible for timely attendance at their work, and for ensuring that their perception and performance of duties are unimpaired by alcohol or drugs. If a member of staff does feel that they might have a problem with alcohol or drugs, they should try and seek help voluntarily, and as soon as they can. Their first point of contact may be with their own GP, Occupational Health, a specialist/help organisation (details at end of policy) or the University (or external) Counselling.

Contact can also be made with the member of staff's line manager, Dean/Director, HR Business Partner, or Union Representative. Enquires will be kept confidential but reference may need to be made to Occupational Health or other agencies with specialist expertise. This will not be done without the individual's consent.

ii.   Dean of School/Director/Line Manager

The Dean of School/Director has a direct responsibility for all staff in his/her area including any member of staff who appears to have an alcohol or drugs/substance misuse problem.

If the Dean of School/Director is concerned about a member of staff and believes that they have a drugs/substance misuse problem, they should raise this directly with the member of staff's line manager in the first instance.

iii.   Line Manager

Line Managers are best placed to identify any concerns in relation to staff reporting to them. They should raise any concerns with the member of staff, highlighting aspects of performance or behaviour giving rise to the concern and encouraging the member of staff to talk freely about any problems. If an alcohol or drugs/substance related problem is acknowledged or suspected, an immediate referral should be made to Occupational Health via Human Resources and the steps outlined in this procedure followed.

It is recognised that other members of staff and students may be affected by a colleague's alcohol or drugs/substance related problem, and that during the treatment of a member of staff, the Dean of School/Director involved does also need to take reasonable steps to safeguard their interests and to identify and assess risks within their area of responsibility.

iv.   Role of Human Resources

The Human Resources representative will be responsible for providing advice and guidance to managers and staff on the understanding and application of this policy. They will also be responsible for facilitating the provisions of appropriate professional support and treatment for the member of staff and will liaise with Occupational Health and the line manager or Dean of School/Director regarding the work situation.

v.   Role of Occupational Health

Where it is suspected that a member of staff has an underlying dependency problem, a referral will be made to Occupational Health who will assess the member of staff and advise on the support that is likely to be most helpful. If an employee is suspected of being under the influence of something whilst at work, arrangements should be put in place to send them home safely. If deemed necessary, the emergency services may need to be called. In either circumstance, Human Resources will notify Occupational Health of the circumstances and decision as soon as possible, so that they can provide additional advice, and support, if required. Once seen by Occupational Health consent will be gained from the member of staff to write a report, a copy of which will be shared with the member of staff's Line Manager and HR Business Partner in order that the appropriate support can be implemented in the workplace.

Any agreed framework of support will be implemented in accordance with the University's Capability Procedure, where deemed appropriate. Occupational Health will review the member of staff's progress as and when deemed necessary by the Practitioner.

vi.   Role of Counselling

The Counselling Service cannot provide a stand-alone, comprehensive treatment for serious long-standing drug or alcohol misuse concerns. However, counsellors can support and facilitate access to other high-level specialist services. Alongside this they can provide consistent and in-depth support to address the issues that may have led to the need to misuse drugs or alcohol.

They can also provide emotional support during a process of recovery or abstinence from drug or alcohol misuse. The content of counselling sessions will remain confidential unless the staff member in question or others are in danger of harm.

Professionals assisting the staff member, including the Counselling Service, will share information to an extent made clear to, and agreed by, the individual concerned, in order to ensure that the work of various services complement each other and provide the most appropriate support package possible. Those attending counselling

under the influence of drugs or alcohol may not be seen during their planned appointment and may be asked to return at another time when they are more able to fully engage in the counselling process.

6.   Managing Alcohol, Drug and Substance Misuse in the Workplace

i.   Conduct related issue

Whilst the underlying premise of this policy is to provide a supportive framework for staff, this is underpinned by the expectation that staff are always fit to undertake their duties. If a member of staff is deemed unfit to perform their duties due to alcohol, drug, or substance misuse they will be sent home, and a disciplinary investigation will be initiated. Consideration will be given to whether the member of staff should be suspended from work pending the investigation, and the Line Manager should seek advice from Human Resources before taking this action.

Members of staff found to be in the possession of illegal substances will be automatically suspended pending an investigation, and where deemed necessary may be reported to the Police.

The Line Manager should consider whether the member of staff is able to go home by themselves, or whether arrangements should be made to assist them in returning home. Under no circumstances, should a member of staff deemed unfit to work due to alcohol, drug or substance misuse be allowed to drive themselves home.

The University reserves the right, where there is reasonable case to do this, to conduct searches for alcohol, drugs, or substances, included but not limited to, searches of lockers, filing cabinets, University vehicles or workstations which are on University premises. If alcohol, drugs, or substances are found this may result in a disciplinary investigation being initiated.

ii.   Ongoing Health Related Issue

When an employee's usage of alcohol, drugs or substances repeatedly interferes with their health and/or work then this should initially be addressed by the Line Manager, and where required Human Resources. The following characteristics, whether in isolation, or combined may indicate an alcohol, drugs, or substance related problem, but equally may be indicators of other health problems:

- Absenteeism: instances of unauthorised leave, frequent Friday and/or Monday absences, leaving work early, lateness (especially returning from lunch), excessive sickness absence, unusually high levels of short-term and intermittent absences with, or without explanation;

- High accident level either at work or elsewhere such as at home;

- Work performance: difficulty in concentration, work requires increased effort, individual tasks take more time, problems with remembering instructions or increased number of mistakes;

- Mood swings: irritability, depression, and general confusion;

- Appearance: deterioration in physical appearance and/or wellbeing;

- Often smelling of alcohol, possibly accompanied with attempts to mask this

Staff who are experiencing difficulties with alcohol, drugs or substances are encouraged to seek help voluntarily, but where this is not forthcoming the Line Manager should raise this with the member of staff, taking advice from Human Resources where required.

Health related issues will be progressed under the University's Capability Procedure and the Sickness Absence Management Policy. Once a problem has been identified the member of staff will be referred to Occupational Health. Occupational Health will assess the member of staff and advise on a treatment programme which will be progressed under the Informal Capability Procedure.

The timescale for progressing the health-related issue will be agreed between Occupational Health, the Line Manager and Human Resources, on an individual basis, taking into consideration individual circumstances and the operational impact of the health issue,

Periods of sickness absence which occur during the treatment period will be progressed under the Sickness Absence Policy, as per any other sickness absence. Where considered appropriate, any treatment programme may be amended, or ceased, in response to concerns over a member of staff's absence regardless of whether the absences are related to the underlying concerns with alcohol or drugs misuse or an unrelated condition.

Where advised as appropriate by Occupational Health, the member of staff will be allowed reasonable time off to attend external appointments to support their treatment. The University reserves the right to write to an external source of support for confirmation of attendance of appointment, if considered necessary.

If a member of staff does not complete the treatment programme within the agreed timescale, this will be progressed under the Formal Capability Procedure. Failure to attend Occupational Health appointments or any other meeting scheduled as part of the treatment programme may result in disciplinary action.

Where a member of staff relapses following a successful treatment programme the treatment programme will recommence as outlined above. However, the length of time during which this will be progressed under the Informal Capability Procedure will again be determined on an individual basis taking into consideration the extent of the health issues at the time, operational requirements, and the timescale between the previous treatment programme completing and the relapse. Where deemed applicable the Formal Capability process may be implemented immediately. In exceptional circumstances, following assessment, a decision may be taken to proceed directly to a Capability Hearing.

iii.   **Prescription Medication**

The University recognises that members of staff may be required to take prescription medication whilst at work for short- or long-term use. Whilst this is entirely acceptable, members of staff have a responsibility to notify their line manager, or Occupational Health, if it is indicated that the medication has side effects which may impair their behaviour or performance, particularly in relation to their ability to undertake tasks safely or develop symptoms which impact their performance which they attribute to the medication. Depending on the nature of the underlying condition for which the medication has been prescribed, a member

of staff may not be willing to discuss this with their line manager but should self-refer to Occupational Health.

iv.   Social Events

University staff are not permitted to consume alcohol during their contracted working hours. Outside contracted working hours, staff may only consume alcohol within a campus building if it is a licensed premises or a private residence. The only exception is at functions that have been thoroughly risk assessed and are sanctioned by Deans or Directors to recognise special events (e.g., retirement presentations). Any such event where alcohol is served must also provide an equal amount of non-alcoholic drinks, and the event must be managed to prevent excessive alcohol consumption by anyone attending the event. Work social events involving alcohol must not commence at a time of day when there will be any perception that people should return to work following the event. Any member of staff consuming alcohol at a work social event must not return to work after leaving the event or pass through any high-risk areas (e.g., laboratories, workshops) on their way out of the building.

v.   Roles Involving Driving or Safety Critical Work

There are roles within the University for which the consumption of alcohol, drugs or substance misuse during working hours carries greater risk. Roles that are not covered under standard safe working measures and require a separate documented risk assessment to be carried out for part, or all their duties under the Management of Health and Safety at Work Regulations (1999). Other roles outwith this classification may be determined as Safety Critical Work following advice from Safety Services. Roles involving driving are also subject to the Road Traffic Act (1988).

Given the nature of safety critical roles, Line Managers who employ staff to undertake such work must emphasise to staff as part of their induction and risk assessment, the importance of disclosing any issues relating to the consumption of alcohol, drugs, including prescription medication, or substance misuse should they arise. Line Managers must emphasise that any disclosure would be treated in a confidential, and supportive manner, unless there is a risk to self, others or property. It must be emphasised that due to the nature of the work undertaken, failure to disclose may lead to disciplinary action.

Where a member of staff employed to undertake Safety Critical Work discloses a health issue in relation to the consumption of alcohol, drugs or substance misuse, consideration will be given to the impact that this has on the member of staff's ability to undertake their role, whilst the treatment programme is ongoing. Where possible, adjustments will be made to the role, such as the removal of driving duties. Where this is not possible, in conjunction with Occupational Health, consideration will be given to whether the member of staff should be placed on sickness absence.

If a line manager has concerns about a member of staff undertaking a Safety Critical Role who has not disclosed any information, they should raise it with them immediately, taking any necessary action in the first instance, and seek further

advice from Human Resources, Occupational Health and Safety Services as appropriate.

vi.   Homeworking

The University recognises that as a consequence of the pandemic, working from home has become more prevalent and, for some staff, may continue under the University's Hybrid Working Policy. This pattern of work does makes it difficult to identify, and support staff who may be experiencing problems with alcohol, drugs, or substance misuse. Managers are advised to refer to the list of potential health indicators outlined in section 4 (ii) above to identify any concerns. Similarly, to working on campus, the consumption of alcohol, is not permitted whilst undertaking work and the responsibility of staff to disclose any issues they are experiencing applies equally to homeworking.

Line managers should be clear with staff working from home as to what the University's core working hours are, and their own contracted hours if they differ from these. In circumstances whereby more flexible arrangements have been agreed, there should be clear communication regarding these revised arrangements, and the expectations of these. The University's Wellbeing and Workload Guidelines provide a good framework for facilitating and guiding these discussions. [Wellbeing and workload guidelines (4 Feb 2021) | University of Dundee](#)

vii.   Leave for Treatment

Members of staff experiencing problems with alcohol, drugs or substance misuse, will normally be granted reasonable paid time off to undergo treatment (whether as an inpatient or outpatient), counselling, or attendance at self-help groups.

Where arrangements for external treatment is made on a voluntary and individual basis, these appointments should be disclosed to the member of staff's line manager and Occupational Health in order that any treatment programme arranged under the Capability Procedure takes this additional support into consideration.

Leave for treatment will be treated as sick leave within the terms of the University Sick Pay scheme and must be reported in accordance with the University policy on reporting sickness absence. Alternatively, absence may be for a specific appointment in which case procedures relating to hospital appointments apply. It should be noted that in many cases there need be no absence from work.

viii.   Training for Managers

The University is committed to providing training to support the management of alcohol, drugs, and substance misuse problems in the workplace. Training to develop recognition of early signs of alcohol, drugs and substance misuse is available on the OPD programme.

7.   Sources of Advice / Voluntary Agencies

- Own GP/Health Centre
- University Occupational Health Service: 01382-345410, email: OccupationalHealth@dundee.ac.uk

- University Counselling Service: 01382-384164
- Tayside Council on Alcohol, Alcohol and Advice Information Centre :01382-456012
- Cairn Centre Harm Reduction Service, 12 Rattray Street, Dundee: 01382-200532
- Alcoholics Anonymous, National Helpline (for those requiring help with a problem only) 0800 9177 650
- Drug Problem Centre, Constitution House, 55 Constitution Rd, 01382-424544
- Drinkline, 0800 7 314 314 free) (weekdays 9 am – 9pm, weekends 10 am – 4 pm) [Webchat](#) function also available.
- Scottish Drugs Forum, 0141-221-1175,
- Relate, Relationship education and support, http://relate.org.uk/
- National Drugs Helpline, 0800-77-66-00 (24 hour)
- FRANK (Drug Advice), 0300 1236600
- Know the Score (Drugs Advice):0333 230 9468

Appendix 6

STAFF COUNCIL

A meeting of the Council was held on 27 February 2023 in Dalhousie LT3 and online via MS Teams.

Present: 790 (online) and 30 (in person) Members of University Staff

Professor Shane O'Neill	Senior Vice-Principal
Professor Wendy Alexander	Vice-Principal International
Professor Blair Grubb	Vice-Principal Education
Dr Jim McGeorge	University Secretary
Peter Fotheringham	Director of Finance
Alex Killick	Interim Director of Human Resources
Claire Martin	Convener Staff Council Standing Committee
Dr Martine Van lttersum	Deputy Convener Staff Council Standing Committee

In Attendance: Dr Martin Glover Secretary to the Council

Preliminary Remarks: Council noted that the Senior Vice-Principal would act as Convener in the absence of the Principal due to illness.

1. **PRINCIPAL'S QUESTIONS**
    (for this item the Convener of the Standing Committee took the Chair)

    Will the University continue to support Public Engagement activity at the same levels as in previous years during the period without a Vice-Principal for Research? Or has there been a decision taken to scale back activity?

    The Senior Vice-Principal explained that the University was not scaling back Public Engagement activity and intended to increase activity in the future. He noted that the University was seeking to recruit two new Vice Principals, with Public Engagement being an important part of the Vice-Principal Research portfolio but interfacing with the other incoming Vice-Principal and with contributions from other members of the Executive Group.

    The Senior Vice-Principal noted the Discovery Days and Stephen Fry Awards as examples of recent Public Engagement activities, and these are ongoing supported by the team in RIS. He explained that Public Engagement was a key element of our delivery of the University Strategy, noting its strong emphasis on social purpose.

    Staff Council noted that although the Public Engagement Forum had not met this Semester, there was a commitment to convene a meeting soon, chaired by either the Principal or the Senior Vice- Principal. It was noted that the University holds an NCCPE Engage Watermark Award and would continue to support colleagues with Public Engagement ambitions.

    The Senior Vice-Principal noted that it was unfortunate if anyone had the impression of scaling back when, in fact, the opposite was true. He noted that there was also a

continued emphasis on the importance of Public Engagement with partners, research funders and other stakeholders, including government.

The Director of Research & Innovation Services reported that the Public Engagement team continued to be very active and that their services were in demand from across the University.

The Senior Vice-Principal reported that new Vice-Principals would hopefully take up their posts by the start of the next academic year and that a meeting of the Public Engagement Forum would be arranged at some point in the current Semester to help maintain momentum.

Staff were concerned that Welcome Week in January 2023 turned into Welcome month, with new students still arriving in February. What is the University doing to help manage the increased intake at the start of Semester 2?

The Vice-Principal Education noted that the significant increase in the number of new students starting their studies in Semester 2 had been challenging and thanked staff for their efforts to provide a positive experience for newly arrived students. He observed that the increase in international student numbers was very good news for the University's diversity and its financial sustainability.

The Vice-Principal reported that the University's success in attracting students from new geographies had raised additional challenges, including visa issues, supporting some late arrivals and the need to respond to changing accommodation needs. He noted in particular the rise in demand for family accommodation and issues relating to affordability for some international students.

Staff Council noted plans for greater levels of advanced intelligence gathering to help improve the management of future intakes, with the Admission Chairs Policy Group taking a leading role. The Vice- Principal reported that the existing Accommodation Working Group had secured additional capacity and that a new Welfare Working Group would take forward the University's response to the changing pastoral requirements of new international students.

The Vice-Principal reported that the post-pandemic bounce in international student numbers had been much larger than expected across the sector and that Dundee had experienced the third- highest increase, behind Glasgow and Edinburgh. He noted that the University would continue to take steps to ensure that appropriate resources, including additional staff numbers, were allocated to the Schools and Programmes that had experienced very high growth.

The Senior Vice-Principal explained that while growth in international student numbers was very positive it needed to be carefully managed and that ideally it would be more evenly distributed across the University. He also assured Staff Council that additional posts had been approved in Schools experiencing significant growth.

Why has the University decided to introduce an academic appraisal process, when will it be implemented and what comes next in terms of training and implementation?

The Senior Vice-Principal explained that it was a long-term ambition of the University to reform its academic staff appraisal process, and this was previously discussed as part of the Academic Excellence and Sustainability Project.

The Senior Vice-Principal noted that a new set of paperwork and guidance had been developed in order to ensure that the appraisal system was valued and used consistently across the University. He also noted that an effective academic appraisal process was important for supporting staff in their professional development and career planning ambitions.

Staff Council noted that the new process had been agreed upon after full consultation with Dundee University & College Union and feedback from colleagues in Schools. The Senior Vice-Principal reported that there had been a good discussion at Senate and that the plans had been warmly endorsed.

The Senior Vice-Principal noted the intention for academic staff appraisal to become embedded in the annual business cycle and that the processes would run between April and July each year. He confirmed that the new process would start in the current academic year, noting that the previous OSAR process had already been suspended for academic staff groups. He also confirmed that training for those conducting appraisals would be rolled out in the coming weeks.

The Senior Vice-Principal confirmed that a similar review was planned for professional services staff appraisal processes in line with the University's People & Talent Strategy.

Online question: In what way will academic-related work by academic-related staff be considered/included?

The Senior Vice-Principal confirmed that the staff appraisal process would be able to include input from third parties, where appropriate, to help properly reflect the complexity of roles across the institution.

The Senior Vice-Principal agreed that appraisals needed to be much more than tick-box exercises and they should be informed by University and School strategic plans as well as related processes such as academic promotions. This will ensure that appraisal is meaningful and valuable to staff. He noted that the appraisal would involve both a review of the previous year and objective setting for the year to come, as a key part of planning and prioritisation for both individuals and academic units.

There continues to be a lack of online training for Equality, Diversity and Inclusion, despite this being mandatory for staff and for some students. When will the new Training Module be released?

The Senior Vice-Principal explained that the launch of the new Training module had been delayed due to issues with the assessment element. He reported that these issues had now been resolved and that the module would become available within the next week.

Council noted that the initial module would be foundational in nature with additional

modalities planned. The Senior Vice-Principal confirmed that completion of the online training would continue to be mandatory and encouraged all staff to undertake the new module in the coming months.

Online Question: The University has nailed its LGBTQ+ colours to the mast quite literally, by flying a rainbow flag on the Tower. How does it propose to deal with any apparent contradiction between EDI policies it proclaims and its announcement of a new deal with the Indonesian Institute of Life Sciences on the very day the BBC reported the Indonesian government's outlawing of all sexuality outside heteronormative marriage?

The Vice-Principal International explained that while the actions of the Indonesian government would be strongly condemned by individual members of the University community, the University's agreed approach to international partnerships in countries with autocratic or repressive governments focused on the benefits of promoting liberal education, provided that the partnership's practical applications were not in conflict with the University's values.

The Vice-Principal International noted that each international partnership proposal was risk assessed and decisions taken on a case-by-case basis. Council noted that in the past proposals had been rejected in cases where the collaboration would have provided benefits to a repressive regime's policing functions in ways inconsistent with the University's values.

The Vice-Principal International emphasised that the University's approach sought to avoid punishing individuals or institutions for the character of the political regime in which they must operate and to provide benefits in terms of promoting liberal educational values and academic freedom.

Online question: We're in the middle of a recruitment crisis with lots of experience walking out of the door. What is being done to address this and recruit the best talent to the University?

The University Secretary explained that recruitment and retention of staff had emerged as an issue across the higher education sector and in other areas of the economy. He noted that the University needed to ensure that its processes were up to date, and that induction, support and development opportunities were effective in order to recruit and retain staff in a competitive market.

The University Secretary noted that it was normal for some level of staff turnover and explained that this could have positive benefits, such as allowing internal promotion opportunities. He praised those areas of the University with well-developed succession planning in place, which had enabled a number of highly effective internal promotions in recent months.

The Senior Vice-Principal noted that our recruitment procedures had been reviewed recently and that we were constantly seeking to enhance them so as to be as agile and competitive as we can be in attracting the talented professionals to join us.

Online question: Does the university allow breastfeeding in lectures?

The University Secretary confirmed that there were dedicated facilities on campus for use by students and staff.

The Vice-Principal Education explained that instances of children being left alone on campus had required a clear message sent out to staff and students to address a very serious safeguarding issue. He noted that University has family-friendly policies that allow flexible and hybrid working. He acknowledged that some parents had been unhappy with the message but that it was necessary to deal with the specific emerging problem of children being left unattended in the workplace.

The University Secretary noted that some of the issues had arisen due to the changing international student profile, with many more students arriving with families. He suggested the need for adaption and confirmed that further guidance would be circulated soon.

Staff continue to report significant problems with University Systems, especially the new HR system which seems to have been launched prematurely. What is being done to help improve performance and address the many issues adding to stress experienced by staff using the system?

The University Secretary explained that the new Human Resources system had been in operation for several months, with an initial focus on delivering payroll, staff recruitment functionality. He noted that the system also allowed staff to request and approve annual leave online.

The University Secretary noted that it was not unusual for implementation issues to arise with new complex systems. He thanked HR and DTS staff who had been working hard to address problems and reduce the amount of manual intervention needed for some HR and Payroll processes. He noted that the new system had needed to cope with unexpected novel events, such as the one-off January payment to staff and ongoing industrial action, at a time of change in leadership. He explained that the University had appointed Claudette Jones as the Interim Director of Digital Technology Services to ensure that there was no loss of momentum.

The Standing Committee Convener noted that there were concerns from staff that the new system did not display accrued annual leave in the overall balance and that the system could not be used by honorary staff in clinical schools. Staff Council noted plans for a dashboard and further communications with staff on the operation of the new HR system. Staff were advised to continue to report issues or problems via the Help4U helpdesk.

The Standing Committee Convener explained that staff had also raised concerns about the Finance System with some reporting that invoices were not being paid on time. The Director of Finance explained the system had been fully implemented for some time and was used to successfully pay 1000s of invoices on a regular basis. He noted that some challenges had been identified, related to new suppliers and staff training. He asked staff

with any concerns to contact their finance partner, to discuss specific training needs.

The Standing Committee Convener noted that some staff had reported on plan for reverting to paper registers due to continuing problems with the Student Engagement and Attendance System (SEAtS).

The Vice-Principal Education explained that the system had been implemented in the post-pandemic period after a trial period in two Schools in 2079. He noted that the effectiveness of the system depended upon the stability and accuracy of the teaching timetable. He explained that the majority of problems seen in the first year of use related to the quality of data behind the system, the functioning of beacons, mobile phone compatibility and training issues. He noted that most of these problems had been resolved and thanked the Director of Registry and team for leading work in the area. Council noted that the introduction of student ambassadors had been very effective and that the Student Pulse Survey had indicated a year-on-year improvement of student satisfaction with the system (up from 25% in 2022 to 59% in 2023).

The Vice-Principal Education emphasised that the University must not revert to paper-based recording systems as these were inefficient and could lead to non-compliance with attendance monitoring obligations. He advised that efforts to ensure earlier stability of student timetables and better training and communications would help bring improvements in the use of the SEAtS system.

Online Question: Will the University be observing the UK Bank Holiday on Monday 8 May 2023 associated with the Coronation?

The Senior Vice-Principal explained that a Paper on the issue would be discussed by the University Executive Group next week and details of the agreed arrangements would be circulated soon.

Online Question: What does the university intend to do with the withheld pay from striking staff? (e.g., Student hardship fund?)

The Vice-Principal Education reported that the Student Hardship Fund Student currently had sufficient funds to cover expected demand and had received extra support from the University due to the cost-of-living crisis. He noted the success of the provision of free breakfasts for students, in partnership with DUSA and the support offered through the Campus Pantry. Council noted that students in need could continue to apply to the Hardship Fund for support, in line with normal provision.

The Senior Vice-Principal explained that no decision on the issue of internal reallocation of withheld salary in relation to the most recent periods had been taken by UEG, but he confirmed that reallocation to Hardship Funds had taken place in the past with regard to previous periods of industrial action.

The Standing Committee Deputy Convener asked for an update on the current strike action by the University & College Union related to pay, pensions and low pay for some

academic staff, e.g., Teaching Assistants/Tutors.

The Senior Vice-Principal noted that the University was undertaking a review of the role of tutors as it needed a clearer understanding of roles and designation of part-time teaching support staff in order to address any issues of inconsistency and ensure best practice.

The University Secretary reported that there had been some progress at national level, with both sides agreeing to ACAS intervention and the UCU pausing plans for further strike action.

The Standing Committee Convener concluded the meeting by reminding staff that questions can be raised in advance of each Staff Council meeting by contacting their Standing Committee representative as listed on the Council Webpage or by email: questiontime@dundee.ac.uk

2.   **FUTURE MEETINGS**

      Wednesday 26 April 2023

                                   Professor Shane O'Neill
                                   Senior Vice-Principal
                                   March 2023