

**UNIVERSITY OF DUNDEE****UNIVERSITY COURT**

A meeting of the University Court was held on 5 June 2017.

Present: Ronnie Bowie (in the Chair)  
Janice Aitken  
Anne Anderson  
Richard Bint  
Professor Dame Sue Black  
Dr William Boyd  
Shirley Campbell  
Professor Stuart Cross  
Principal Professor Sir Pete Downes  
Jo Elliot  
Professor Tim Kelly  
Bernadette Malone  
Jane Marshall  
Allan Murray  
Sean O'Connor  
Dr Alison Reeves  
Andrew Richmond  
Professor Mairi Scott  
Denis Taylor  
Indrè Urbanavičiūtė

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

Observing the meeting: Ezichi Kerstin Ekpe (Student Court member designate)  
Roddy Isles (Head of Corporate Communications)  
Naomi Jeffery (Senior Planning Officer) (Item 81)  
Iain McDonald (Corporate Affairs Officer)  
Dr Jean Robson (Lay Court member designate)  
Phil Welsh (Staff Council Court member elect)

Apologies: Lord Provost Iain Borthwick  
Mark Beaumont (Rector)  
Karen Reid  
Professor Nic Beech (Vice-Principal (Academic Planning & Performance))

**81. WELCOMES**

The Chair welcomed Ezichi Kerstin Ekpe (independent student member), Dr Jean Robson (lay member), and Phil Welsh (elected Staff Council member) to the meeting. Members noted that they were attending in a shadow capacity following their nomination, appointment and election respectively prior to taking up post from 1 August 2017.

**The Court decided:** to welcome the new members of Court, noting other nominations and elections as set out in minute 91(2)(ii) below.

**82. UNIVERSITY STRATEGY TO 2022**

The Principal introduced the new University Strategy to 2022 with a presentation outlining the key concepts behind its development. In doing so, he highlighted the extraordinary nature, ambition, and outlook of the University, the importance of this being underpinned by financial sustainability, and the critical role of the University's high performance community in both the delivery of these ambitions, and in providing the resilience and adaptiveness to respond to external risks, challenges, and opportunities. He also highlighted the way the new strategy had been structured to enable the institution's risk appetite to be reflected through action plans and composite Key Performance Indicators (KPIs) for each of eight key strategic priority areas. In this way, members noted that the strategy had the capability of responding dynamically to changes and external pressures, while remaining faithful to the overall vision of the University. The Principal concluded his presentation by outlining the time-line and process for the finalisation and launch of the new strategy and for the development of the KPIs and action plans. In this respect, members noted that approval was being sought for the strategy, and that action plans and KPIs would be subsequently developed for discussion at the Court Retreat alongside a detailed review of the Court's risk appetite.

The Court was supportive of the new strategy and welcomed the high degree of engagement with staff and students during its development. Through discussion members noted that the new strategy had intentionally moved away from a reliance on distinct enabling strategies, and that instead action plans, composite KPIs, and risks would be developed across eight core strategic priority areas: advancing our values; impacting locally and globally; interdisciplinary research & teaching; growing and diversifying our student community; sustainable ambition; One Dundee approach; University performance & reputation; and developing our people. Members were supportive of this approach, but highlighted the potential challenges around the complexity of reporting on composite KPIs. Some members also questioned how the new structure would, in the absence of distinct enabling strategies, maintain the necessary momentum and focus on financial sustainability, but noted that the strategic priority of sustainable ambition would encompass financial planning, asset planning and workforce planning.

Noting that the strategy had been developed with the intention of being inspirational and aspirational to the reader, members highlighted the need to ensure that staff were able to engage with the strategy to understand their role in its delivery. While a small number of members preferred a more traditional approach to defining quantitative objectives within the high level strategy, the majority were satisfied that this requirement would be fulfilled by the associated KPIs and action plans.

Turning to the eight key strategic priority areas, members considered illustrative examples of each of these themes. The Director of Strategic Planning went on to outline the manner in which performance might be assessed in terms of the delivery of each of the strategic outcomes and the efficacy of the action plans, and members were reassured to note that composite measures incorporating qualitative, quantitative and narrative assessments of progress would be used. In this respect, members highlighted the importance of the Court Retreat sessions on 7 and 8 September in terms of reviewing the action plans, composite KPIs and risks.

Members also highlighted a number of possible textual enhancements, and officers undertook to review these at the copywriting stage which would follow the approval of the strategy.

**The Court decided:** to approve the strategy and thank the Strategic Planning Team, UEG and all staff involved for their hard work in its development.

### 83. MINUTES

**The Court decided:** to approve the minutes of the meeting on 18 April 2017, including Minutes 75(1)b and 75(3)(b) which were considered as reserved business, subject to minor amendment.

### 84. MATTERS ARISING

#### (1) Action Log

The Court considered the action log and noted the updates provided. In response to questions, officers confirmed that the clarifications sought by the Court in relation to the minute from the meeting of the Audit Committee on 28 February 2017 had been made and subsequently approved by the Audit Committee at its meeting on 17 May 2016.

**The Court decided:** to approve the Court Action Log.

#### (2) Communications from the Senatus Academicus (Minute 77)

**The Court decided:** to ratify the decision taken at the meeting of the Court on 18 April 2017 to approve changes to Ordinance 18 as outlined in appendix 5 of the Court Minute for that meeting.

### 85. CHAIR'S REPORT

The Court received the regular report from the Chair detailing activities he had undertaken on its behalf at a University and sectoral level since the last meeting. In introducing his report the Chair highlighted his attendance at a recent meeting of the Deans' Group. The resulting discussion focussed positively on the collegiate approach of the Deans, and the benefits of providing a degree of flexibility within the budget to support the development and pursuit of opportunities and initiatives arising in year.

Noting a recent article in the national press relating to an incident at another Higher Education Institution (HEI), members noted the importance of the University's student support services, and in particular the accessibility of the mental health provision. Members were reassured to note that the budget for 2017/18 included additional resource in this area and that the level of provision continued to be kept under review by the Student Services Directorate and UEG.

The report outlined the Chair's participation in the interviews for the convenership of the Audit and Finance & Policy Committees from 2018/19, his attendance at meetings of the Committee of University Chairs, his engagement with the Universities Superannuation Scheme (USS) ahead of the forthcoming actuarial valuation, and observations from a HEPI dinner with respect to funding of the Scottish HE sector.

**The Court decided:** to note the update.

#### 86. **PRINCIPAL'S REPORT**

The Court received its regular report from the Principal (**Appendix 1**). The report highlighted the strong performance of the University in a number of areas during the previous twelve months, including student experience, student recruitment, excellence in learning & teaching and research. Discussions focussed on the University's performance in league tables published during the 2016/17 academic year, with members pleased to note that the University was now in the top 30 for all of the major UK rankings for the current year. Members heard that, in this respect, the University had improved its position in all but one major league table, and that work would continue toward strengthening this position given the importance placed on these rankings by students and parents of home and international students alike.

**The Court decided:** to note the report.

#### 87. **ANNUAL REPORT OF THE SPORTS UNION (SU)**

The Sports Union President, Megan Smith, presented the SU's annual report. In doing so, she highlighted the major successes of the SU during the 2016/17 academic year, along with the key challenges it faced and its aspirations for the future. In particular she highlighted the growth in membership over the last year, and members noted that there were now 45 clubs, and a membership of 2760 students.

In addition to the examples of sporting excellence highlighted by the President, members were pleased to note the success of both the volunteering scheme and a trial 'buddy system'. Returning to themes highlighted earlier in the agenda, members were pleased to note the Sports Union's ongoing commitment to student welfare and the positive impact of participation in sport on student health, social integration and wellbeing. The Court was also pleased to hear of the provision of support for disabled students, including links to local clubs and suggested that this aspect of the SU's work could be reflected more in the imagery within the report.

**The Court decided:** to thank the Sports' Union President for her report.

## 88. ANNUAL REPORT FROM DUNDEE UNIVERSITY STUDENTS ASSOCIATION (DUSA)

The Court received a report from the President of the Students' Association (DUSA), Indrė Urbanavičiūtė. The report focused on the achievements of DUSA relative to its 2016/17 manifesto, and on DUSA's approach to: DUSA advice; academic support; housing and welfare advice; international student support; representation; recognition; fundraising; feedback; and culture change. The President highlighted the financial performance of DUSA, changes to DUSA media, and the importance placed on partnership working with the University. Noting that the report mirrored the presentation from the DUSA President and the Independent Student Member on Court at the February meeting of Court, discussions focused on responses to a survey carried out by DUSA highlighting areas of concern for students. The Court also praised the strength of student engagement at the University, the dedication of the DUSA Executive, and the value the Court placed on the strong relationship between DUSA and the University.

**The Court decided:** to congratulate DUSA on its continued strong performance in league tables during 2016/17, and otherwise to note the report.

## 89. INTERNATIONALISATION

### (1) Strategic Presentation: International Strategy Update – Unregulated Income Generation

The Vice-Principal (Internationalisation) and Director of External Relations presented an update focused on unregulated income generation related to the Internationalisation agenda. In doing so, they provided the Court with an overview of the current income position, and drew members' attention to a wide range of supporting data sources which had been made available. They outlined investments and outcomes over the last 5 years, as well as the University's ambitions and approach for the coming five year period, and in doing-so highlighted trends in international recruitment data, and the challenges, opportunities and risks which were relevant to these future targets.

The Court was pleased to note the progress made in relation to increasing recruitment from the international student market, and the Vice-Principal highlighted the importance of this source of income to the University's future financial sustainability. In this respect the Director highlighted the specific ways in which the investments approved previously by the Court had positively impacted on the applicant journey, and had contributed to the notable improvement in the University's recruitment performance – in particular within core target markets. In response to questions, the Vice-Principal went on to highlight the growth targets set for international recruitment within the three year budget plan (minute 90 below), and the key risks in meeting these targets, and the Director briefly outlined the role of the International College Dundee (ICD) in delivering against these targets. Through discussion members were particularly pleased to note the importance placed on making appropriate investments in staff and infrastructure to ensure the maintenance of the quality of the student experience at the University as student numbers grew.

Discussions largely focussed on the balance of the three main routes for international recruitment: open recruitment; partnership through combined overseas and UK delivery; and partnership through overseas delivery. In particular, members noted the existing balance within these modes of recruitment, examples of current activities in

each area, and the relative risks and levels of net financial return associated with each approach. Focussing on the potential for growth in overseas delivery, the Court agreed that it was important to further explore the University's risk appetite for this type of activity in the context of likely levels of return, and for processes in this area to be frequently reviewed in light of this appetite to ensure that they enabled opportunities and risks to be taken forward appropriately.

**The Court decided:** to thank the Vice-Principal (International) and Director of External Relations for their update.

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

The Court received a report from the Director of Strategic Planning detailing performance against Key Performance Indicators (KPIs) within the internationalisation enabling strategy of the University Strategy to 2017, including the commentary from the Vice-Principal (Internationalisation). Members noted that the report had been considered by the University's Internationalisation Committee.

**The Court decided:** to note the report.

90. **BUDGET 2017/18, STRATEGIC PLAN FORECAST FOR THE SFC, AND CAPITAL PLAN**

The Director of Finance set out the proposed budget for 2017/18 and associated three-year plan, which had previously been discussed in detail by the Finance & Policy Committee at its meeting on 8 May 2017, and subsequently endorsed by the Committee by circulation. In presenting the budget, the Director drew members' attention to differences between the budget and last year's three-year plan. In particular, members noted that while it would be possible to ensure that the budget stayed within the parameters approved last year, it was proposed that additional spend in 2017/18 would better support longer term plans and financial sustainability. At the same time the cumulative result over the three years of the plan would be similar to that previously indicated and crucially would still remain within the requirements of the University's banking covenants. Members highlighted the importance of building toward a budget with increased resilience and, after exploring the risks and challenges faced over the coming three years, members agreed that the risks within the budget were proportionate and indicated their support for the approach taken within the budget and three-year plan.

Through discussion members further explored contingencies within the budget, the focus of the capital expenditure plan, the balance of teaching and research activity in terms of its affordability and the direction of travel, and the changing demography of the student recruitment market. With regard to the balance of teaching and research activity, members noted that this was moving toward a more sustainable level through a combination of growth in unregulated learning and teaching income and efficiencies/cost recovery in research. Turning to benchmarking in this area, members were advised that the ratio of research and teaching income differed between the Scottish and English HE sector due to the significantly higher Home student fee level in England, and that the University Executive Group were satisfied that the projected changes would lead to levels appropriate for a leading university.

Members explored in more detail areas where costs were projected to increase and, following discussions which focused on the One Dundee model for service delivery, levels of School demands for key services and sector benchmarking, were satisfied that the increases were

appropriate. Finally, in response to questions, members were content to note that the use of 'in-year savings' and/or contingency would be dependent upon the overall performance of the budget rather than being considered in isolation.

- The Court decided:**
- (i) to approve the proposed budget for 2017/18 and indicative budgets for the following two years; and
  - (ii) to approve the Strategic Plan Forecast for submission to the SFC.

## 91. COMMITTEES

### (1) Finance & Policy Committee

#### (a) Report of the Committee's Meeting on 8 May 2017

The Court received a report from the meeting of the Finance & Policy Committee on 8 May 2017 (**Appendix 2**). In introducing the report the Convener focussed on the Committee's discussion of the budget, and updates provided in relation to the CURE project with Arix Biosciences. The University Secretary also provided a further update on Business Transformation, and members noted the agreed revised timetable for implementation of the first phase of the programme.

**The Court decided:** to approve the minute.

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

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

At the point at which the exemptions are deemed to no longer apply the Court will be advised and will be asked to note the release of the minute. Minute 8 of the Finance & Policy Committee of 8 May 2017, and the corresponding minute of the Court's discussions on 5 June 2017 will be included as an appendix to the minute of the meeting at which its release is approved.

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

### (2) Governance

#### (a) Governance & Nominations Committee

The Court received a report from the meeting of the Governance & Nominations Committee on 8 May 2017 (**Appendix 3**). The Convener drew members' attention to the proposed institutional response to the consultation on the Scottish Code of Good HE Governance, and members approved its submission to the steering group leading the development of the Code. Members were also invited to consider the recommendations from the Committee in relation to the

convenership of the Audit and Finance & Policy Committees from August 2018 and, noting the process followed in reaching the recommendation, the Court approved the appointment of Karen Reid and Denis Taylor respectively to these roles as well as to their membership of the committees concerned during 2017/18.

Turning to Court membership for 2017/18, members were invited to approve the proposed membership for committees of the Court for the coming year and were advised of the on-going process for the appointment of a new lay member of the Court to replace Iain Howie who had resigned from Court effective from 1 May 2017.

The Court was also invited to approve the appointment of Karen Bassett as an external lay member of the Audit Committee from 1 August 2017, following an advertising, selection and appointment process overseen by the Committee.

Finally, the Court was advised of the discussions of the Governance & Nominations Committee, Human Resources Committee, and Senate in relation to changes to Ordinance 59 (Academic Freedom) following the approval by the Privy Council on 12 April 2017 of revisions to Statute 16 (Academic Staff).

- The Court decided:**
- (i) to approve the submission of the proposed response to the consultation on the Scottish Code of Good HE Governance;
  - (ii) to note arrangements for the advertisement of the lay vacancy arising on the Court;
  - (iii) to approve the proposal that Karen Reid and Denis Taylor be appointed as conveners of the Audit and Finance & Policy Committees respectively effective from 1 August 2018, and that they be invited to serve on these committees during 2017/18;
  - (iv) to approve the appointment of Karen Bassett as an external lay member of the Audit Committee for a period of four years in the first instance, effective from 1 August 2017;
  - (v) to approve the proposed membership of the committees of the Court for 2017/18 as set out in appendix 3 annex a;
  - (vi) noting the urgent and uncontentious nature of the changes, to approve proposed changes to Ordinance 59 under the terms of the proviso to article 16.2 of the Charter, such that they be passed at a single meeting (annex b); and
  - (vii) otherwise to approve the report.



(b) Court Membership 2017/18

The Court received an update on nominations and elections to the Court, which had taken place since the meeting of the Governance & Nominations Committee on 8 May 2017.

- The Court decided:**
- (i) to note the nomination of Anne Anderson by the trade unions in accordance with Ordinance 65, to serve as the non-academic member of Court nominated by the trade unions from 1 August 2017, for a period of 4 years in the first instance, subject to her remaining a member of non-academic staff during this period;
  - (ii) to note that Janice Aitken had been re-elected by the Senate to serve on the Court for a further period of 4 years, effective from 1 August 2017;
  - (iii) to note the nomination of Sharon Sweeney by the trade unions in accordance with Ordinance 65, to serve as the academic member of Court nominated by the trade unions from 1 August 2017, for a period of 4 years in the first instance, subject to her remaining a member of academic staff during this period; and
  - (iv) to note the election of Phil Welsh by the Staff Council to serve on the Court for a period of 4 years in the first instance, effective from 1 August 2017.

(3) Audit Committee

The Court received a report from the meeting of the Audit Committee on 17 May 2017 (**Appendix 4**). The Convener highlighted the internal audit plan for 2017/18, and the outcomes of the recent operational readiness reviews carried out by the internal auditors in relation to the Business Transformation Programme. He also drew members' attention to the revised Risk Management Policy, and discussions relating to the forward plan for the review of risk during 2017/18.

- The Court decided:**
- (i) to approve the Risk Management Policy (**appendix 4 annex a**); and
  - (ii) otherwise to approve the report.

(4) People & Organisational Development Committee

The Court received a report from the meeting of the People & Organisational Development Committee on 15 May 2017 (**Appendix 5**). In introducing the report the Convener highlighted the richness of the Committee's debate on a number of topics including staff well-being and absence management, and the Committee's intention to

focus during the 2017/18 academic year on overseeing the implementation of aspects of the University Strategy to 2022 and associated action plans which were relevant to its remit. Following discussion it was suggested that the latter could be discussed in more detail at a meeting of the Court toward the end of the 2017/18 academic year. The Convener also drew members' attention to the Committee's discussion of the University Strategy to 2017 People Indicator Report.

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

**92. UNIVERSITY STRATEGY TO 2017: PEOPLE INDICATOR REPORT**

The Court received a report from the Director of Strategic Planning detailing performance against KPIs within the People Enabling Strategy of the University Strategy to 2017. Members noted that the report had been considered in detail by the People & Organisational Development Committee at its meeting on 15 May 2017 (Minute 91(4) above).

**The Court decided:** to note the report.

**93. COURT RETREAT**

Members noted that the annual Court Retreat on 7/8 September 2017 would focus on the University Strategy to 2022. Individual sessions would focus on discussion and engagement with the Court on different aspects of the strategy, including action plans, key performance indicators and the associated risk management framework. An external speaker had also been invited to give a presentation on equality and diversity on the first evening. Members noted that a programme would be circulated shortly.

**The Court decided:** to note the update and await the programme in due course.

**94. EMERGENCY COMMITTEE**

**The Court decided:** in accordance with accepted precedent, to remit the transaction of any urgent Court business over the summer to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairman of Court and the Convener of the Finance & Policy Committee), one other staff member, and a student member where available; noting that the precise composition would be subject to availability. A report on any action taken would be submitted to the first business meeting of 2017/18.

**95. COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

The Court received a report from the meeting of the Senate on 24 May 2017 (**Appendix 6**). Members noted in particular the Senate's discussion and approval of changes to Ordinance 59 (Academic Freedom), its discussion and approval for its part of the University Strategy, and the

Senate's discussion of a presentation from the Vice-Principal (Academic Planning & Performance) on budget planning and review.

Discussions focused on the Senate's consideration of the report from its Research and Knowledge Exchange Committee in relation to the REF 2021. Members noted that a number of changes had been proposed to the methodology used in the REF 2014, in particular in relation to the transfer of publications when staff moved between institutions. In this respect, the Vice-Principal (Research, Knowledge Exchange and Wider Impact) informed members that the University's existing research strategy and annual review process meant that the University was well placed, and that investments were made throughout the REF cycle to ensure consistency in the quality of both the research environment and research staff.

- The Court decided:**
- (i) to approve the recommendations concerning the conferment of the title of Professor Emeritus upon Professors Robert Steele (effective from 1 September) and Irene Leigh;
  - (ii) to note the approval of the Senate, for its part, of changes to Ordinance 59, subject to approval by the Court (as outlined in Minute 91(2)(i) above) ; and
  - (iii) otherwise, to note the report.

#### 96. **STAFF COUNCIL**

The Court received the report from the meeting of the Staff Council on 24 April 2017. Members were interested to note the Council's discussions of the University Strategy to 2022, the implementation of a workload model for academic staff, the REF 2021, and elections to the Senate and Court.

**The Court decided:** to note the report.

#### 97. **WELFARE AND ETHICAL USE OF ANIMALS COMMITTEE**

The Court received a report of the meeting of the Welfare & Ethical Use of Animals Committee on 12 April 2017 (**Appendix 7**).

**The Court decided:** to note the report.

#### 98. **STAFF**

The University Secretary updated members on arrangements for the advertisement, interview and selection of a successor for Professor Tim Newman as the University's Vice-Principal (Research, Knowledge Exchange & Wider Impact) which were in line with recent precedent. Lay members interested in participating in the interview and selection process were encouraged to indicate their interest and availability to the Director of Human Resources & Organisational Development in relation to three proposed dates.

**The Court decided:** to note the update and to ask lay members interested in participating in the interview and selection process to contact the Director of Human Resources & Organisational Development.

99. **ANNUAL REPORT FROM THE CHAIR OF COURT**

The Chairman presented his annual report to Court, in which he reflected on his activities and performance, and the performance of the Court during the 2016/17 academic year, relative to the objectives agreed by the Court in June 2016 and the focal themes of Court business which emerged from the Court Retreat in September 2016. Members noted the report and the updates and undertook to review them further as part of the Review of the Effectiveness of the Court and the Chair of Court.

**The Court decided:** to note the report.

100. **REVIEW OF THE EFFECTIVENESS OF THE COURT AND THE CHAIR OF COURT**

*[Secretary's note: The Chair of Court and officers in attendance of the Court, with the exception of the University Secretary and the Clerk to Court, left the room for the duration of discussions relating to the effectiveness and performance of the Chair of Court. The Deputy Chair of Court, Mr Jo Elliot, chaired the meeting for this part of the discussion].*

The Deputy Chair of Court highlighted themes within the feedback received from members of the Court and officers in response to a questionnaire on the performance and effectiveness of the Court. Members then considered the effectiveness and performance of the Chair in relation to the following areas: stewardship, communication, challenge, sectoral awareness, and objectives previously agreed.

The Court felt the performance of the Chair during the period being reviewed had been extremely strong, and highlighted a number of positive attributes and activities which supported this view. Members also suggested a small number of areas for future enhancement and it was agreed that a summary of its discussions should be provided to the next meeting of the Governance & Nominations Committee, which would work with the Chair to bring forward proposals for implementation in the coming year.

Noting themes emerging from the reviews of effectiveness and performance of the committees of Court, and from the Court questionnaire on the effectiveness and performance of the Court which had been circulated to members and officers in attendance of the Court, the Chair encouraged discussion around the focal areas proposed by the Governance & Nominations Committee as follows: the discharge of effective governance, the role taken in developing strategy, the focus on business, the quality of communications and information, the quality of debate and opportunity for participation, and support for members.

A number of areas were identified which members felt would improve the effectiveness of the Court, and the Chair proposed that these be considered by the Governance & Nominations Committee, with a view to identifying proposals for implementation in the coming academic year.

**The Court decided:** to note that the outcomes of the review would be summarised for consideration by the Governance & Nominations Committee.

101. **RETIREMENTS**

The Court noted that Dame Professor Sue Black, Professor Stuart Cross, and Indrė Urbanavičiūtė would reach the end of their terms of office following the meeting. The Chair of Court undertook to thank them for their contributions during their tenure, and to highlight the value the Court had placed on their input, commitment and judgment over this period.

**The Court decided:** to note the Court's thanks to the members leaving the Court.

Mr Ronald Bowie  
Chair of Court  
University of Dundee

## APPENDIX 1

### PRINCIPAL'S REPORT (Minute 86)

#### Introduction

1. The end of the academic session always brings the opportunity to reflect on the year past. I am pleased to say that it has been a strong year for the University, where we have performed exceptionally well in areas such as student experience, student recruitment, and in terms of research and learning & teaching excellence. We have also seen work begin on the implementation of a number of key systems through the Business Transformation programme, with the expectation that these will further unlock potential for efficiency and growth as we pursue our goal of being Scotland's Leading University. This is not to say that there have not been significant challenges, or areas where we will need to improve further to address the challenges to come, however I want to take the opportunity to thank all staff, students and Court members for their efforts, commitment and achievements over the past year, and to pause to celebrate their successes.

#### Looking ahead

2. The University, like the UK Higher Education sector as a whole, faces some significant challenges from the uncertainty generated by shifts in the political landscape like Brexit, the General Election and a possible second independence referendum in Scotland. It is important we recognise not just the scale of these challenges, but also the opportunities they offer us.
3. The focus of today's discussions will be on the 2017/18 budget, and the new University Strategy to 2022. With the external funding environment remaining exceptionally challenging, through flat-cash settlements with the Scottish Government and projected increases in pensions costs in relation to the USS Pension Scheme valuation, discussions have of late focussed on meeting the challenges within the three year budget approved by the Court last year, the University Executive Group and the Finance & Policy Committee have however remained cognisant of the need to balance short-term targets with long-term sustainability throughout this process.

#### Strategy

4. From the beginning, the new Strategy to 2022 has been developed as a high-level document, supported by operational action plans and KPIs which will transform high-level priorities into specific actions. Since the last meeting of the Court, we have focussed our efforts on refining the draft strategy presented to the Court in light of feedback regarding the reflection of our key risks within the strategy. The most significant risk to delivering the strategy is that of developing a culture which is consistent in its ambition while also being capable of flexing and responding to external risks as they emerge and crystallise. For this reason we have focused the Strategy to 2022 on culture and an inspiring vision, rather than on risks which are beyond our direct control, such as the financial risks associated with Scottish Government funding and pensions and the risk to our international strategy due to uncertainties around Brexit, IndyRef2 and immigration policy. The need to flex in response to these independent risks will however be reflected in the development of the action plans referred to above.

#### Court

5. The next time we meet as a Court will be the September Retreat, where we expect to spend significant time focussing on the operational action plans and KPIs, and exploring the Court's appetite for and tolerance of risk. The membership of the Court is however set to change significantly between now and then, and I wanted to thank those members leaving the Court for devoting their time, energy, and expertise to ensuring the effective governance of the University, while also welcoming the new members of the Court who are attending today's meeting in a shadow capacity.

#### Updates

6. I have previously highlighted the substantial improvements made in our performance across every major league table during 2016/17. It is therefore pleasing to start this update with news of our success in three further league tables.

- The [CWTS Leiden Rankings](#) where we were rated among the world's best universities in terms of impact of scientific research, being placed 28<sup>th</sup> in the world when looking at the proportion of a University's published scientific research that ranks in the top 1 per cent in the field.
- The [Guardian University Guide 2018](#) where we were ranked 24<sup>th</sup> in the UK (a climb of 23 places since 2015), rising to 3<sup>rd</sup> in Scotland, and topping the table in Dentistry and Design & Crafts nationally.
- The [Complete University Guide league table](#) where we have risen five places in the last year and now sit 30<sup>th</sup> in the UK in the 2018 rankings, a rise of 18 places since 2015.

This means we are now placed in the top 30 in all of the major rankings for the current year.

7. The Finance & Policy Committee has continued to receive regular updates on student recruitment figures for entry in the 2017/18. We have continued to make significant progress across all categories, in particular International and Widening Access recruitment where we have previously made strategic investments. The latest data show that we have outperformed the market in every category, with application trends showing an accelerating increase from unregulated RUK and overseas sources, which is expected to result in further growth in student numbers in 2017/18.
8. The Duncan of Jordanstone College of Art and Design (DJCAD) Degree show also once again proved to be an excellent event, and I was delighted to see so many Court members, and members of the public enjoying the outstanding work of our final year students.
9. Finally, I would like to highlight the outcomes of the 2017/18 Chancellor's award for teaching and the student-led teaching awards as reported in the People and Prizes annex to this report. This recognition of innovation and quality in teaching is an important element of the University's commitment to excellence in learning and teaching, and I hope that members will join me in congratulating the winners of these internally prestigious awards.

#### **50<sup>th</sup> Anniversary Alumni Weekend and Principal's Challenge**

10. At the time of writing this report, we have just hosted our 50<sup>th</sup> Anniversary celebration Alumni Weekend, and Alumni dinner. The level of interest in the events surpassed our expectations, and the pride and enthusiasm of those returning to the University made for a vibrant and pleasurable experience. My focus now moves to the Principal's 50<sup>th</sup> Anniversary Challenge on 14 June - training is going well, and we are aiming to raise £50,000 through sponsorship to support activities run by the Student Services team, enable students to take part in sport and exercise, and to make financial aid available to those most in need. There is still time to sign up to the 5k run!

#### **Summer Graduation**

11. I have been pleased, as always, to note the strong level of support and planned attendance of members of the Court at graduation ceremonies later this month. The participation of members of the Court is always greatly appreciated, and a summary of the ceremonies has been circulated to members along with details of the honorary graduands.

Professor Sir Pete Downes  
Principal and Vice-Chancellor

**University Executive Group Meetings**

Since the last report to the Court, the University Executive Group have met formally on 26 April, 10 May, 17 May and 24 May 2017 when the following matters were considered:

**Corporate Issues**

- University Strategy to 2022
- FutureLearn
- Growth project proposal from the Medical School
- KPI Reports (People and Internationalisation)
- Business Transformation Updates
- Risk Management Policy
- Student recruitment reports

**Financial Issues**

- Budget 2017/18, 3 year projections and capital plan
- Management Accounts

**Academic Management Issues**

- Review of operations within People's Republic of China

**Human Resources Issues**

- Athena Swan



**People and Prizes**

**Professor Irene Leigh** has been awarded the British Society of Investigative Dermatology Medal, the highest honour in UK dermatological research. She has also been given the highest honour of the Society of Investigative Dermatology, the leading US research society at their recent meeting in Portland, Oregon

My Diabetes My Way, the diabetes online platform created by University of Dundee for NHS Scotland, was given the eHealth Adoption Award at the eHealth Week 2017 conference (Clinical lead **Dr Deborah Wake**, School of Medicine)

**Professor Kate Storey** (School of Life Sciences) has been elected to the prestigious Fellowship of the Academy of Medical Sciences. The Fellows have been elected for their contribution to biomedical and health research, the generation of new knowledge in medical sciences and its translation into benefits to society.

**Dr James Chalmers** (School of Medicine) has been awarded the Patrick Neill Medal by the Royal Society of Edinburgh for his outstanding research work on respiratory infections and his expertise in bronchiectasis.

Third-year student **Kirsty Killiard** (School of Nursing & Health Sciences) has been shortlisted for the national Andrew Parker Student Nurse Award.

Jewelry & Metal Design graduate **Kirsty Stevens** has been named as the first design champion for V&A at Dundee.

The 2016/17 Chancellor's Award for Outstanding Contributions to Teaching have been awarded to **Professors Rami Abboud, Mary Modeen and Colin Reid**.

The 2016/17 Student Led Teaching Awards winners are as follows:

- Most Inspirational Teaching Award: **Josephine Jules-Andrews, Nikki Doig, and Dominic Smith**.
- Innovation in Teaching: **Ashley Robertson**
- Best Feedback and Assessment: **Alice Young**
- Best Advisor or Personal Tutor: **Jamie Brown**
- Outstanding Enhancement of the Student Experience (Non-Teaching): **Neil Ryder**
- Best Post-graduate Supervisor: **Blair Smith**
- Outstanding Commitment to Student Welfare: **Iain Rennie**

### Major Grants and Awards

The following represents a selection of the grants and awards that have been awarded by funders in open competition since my last report. The awards have been selected to illustrate the range of strategic themes, interdisciplinary collaborations, funding sources, and alignment to the University's vision.

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

#### **Professor Paul Birch** (Plant Sciences)

*New Approaches to Undermine Late Blight Disease by Exploiting an Understanding of Ubiquitin E3 Ligases that Positively Regulate Immunity*

£395,295 (including £165,220 overhead) from Biotechnology and Biological Sciences Research Council

This grant aims to investigate the role in plant immunity of a process of protein modification called ubiquitination. Plant pathogens deliver proteins inside plant cells to target and manipulate enzymes involved in ubiquitination and the grant aims to determine why.

#### **Dr Benjamin Cerfontaine** (Civil Engineering)

*Development of Screw Anchors for Floating Marine Renewable Energy Systems Arrays Incorporating Anchor Sharing (SAFS) (Joint with University of Liege)*

£169,136 (including £13,500 overhead) from EC Horizon 2020 - Marie Skłodowska Curie Actions (MSCA)

This 2-year Marie Curie Research Fellowship will explore the possibility of using a new type of screw anchor for mooring large arrays of floating renewable energy systems, where we can share anchors across multiple devices/lines to reduce costs (i.e. investigate performance under multi-directional loading). This will build on current EPSRC-funded and previous FP7-funded work at Dundee in this area.

#### **Professor Mike Ferguson** (Life Sciences)

*The Innovative Targets Portfolio: Basic Life Sciences Research to Novel Therapies, through a Portfolio of Small Molecule Translational Projects*

£728,000 (including £301,914 overhead) from the Medical Research Council

The MRC-funded 'The Innovative Targets Portfolio: Basic Life Sciences Research to Novel Therapies, through a Portfolio of Small Molecule Translational Projects' grant is for activities that move discovery science (from the University of Dundee and other universities/research institutes) towards therapeutic development and commercialisation. The process involves scouting for and selecting innovative 'drug targets' (i.e., cellular systems that if modulated by a small drug-like molecule should have a beneficial medical effect) and developing assays appropriate for high-throughput screening of tens or hundreds of thousands of compounds, to find start points or 'hits' for subsequent elaboration by medicinal chemistry to drug-leads. The outputs of this research are novel drug targets with associated medicinal chemical matter that are in the language of the Pharmaceutical industry. This allows us to licence or partner assets with industry and/or seek further translational funding awards to move the drug-leads towards higher-value drug candidates.

#### **Professor Kevin Hiom** (Cancer Research)

*Investigating the Role of DHX9 in the Maintenance of Genome Stability*

£448,621 (including £207,358 overhead) from Biotechnology and Biological Sciences Research Council

The ability of the human cells to maintain the structure and fidelity of the genetic information encoded within the genetic material (DNA) is essential for the prevention of disease. This grant will investigate the important role played by the DHX9 protein to safeguard the cells genetic material, particularly while it is being duplicated for passing on to a daughter cell during cell division. We aim to determine why defects in DHX9 result in the failure of cells to synthesize new DNA resulting in their death and in diseases such as neurodegeneration and cancer.

#### **Dr Charis Marwick** (Population Health Sciences)

*Understanding and Improving Antimicrobial Prescribing in Care Homes: A Multidisciplinary Approach (Joint with City University, London, University of Belfast and University of Glasgow) (AMR Large Collaborative Grant)*

£756,878 (including £394,775 overhead) from Economic and Social Research Council

This novel multidisciplinary collaboration involving epidemiology, social anthropology, behavioural health psychology, and implementation science will examine determinants of antimicrobial use in care homes (high rates of antimicrobial use and resistance) to inform development and optimisation of an intervention to safely reduce use.

#### **Dr Ignacio Moraga** (Life Sciences)

*Mapping Cytokine Signalling Networks using Engineered Surrogate Ligands (Cytokine Signalosome) (ERC Starting Grant)*

£1,343,839 (including £268,768 overhead) from EC Horizon 2020 - European Research Council (ERC)

This ERC starting grant will allow the group to develop a multidisciplinary approach, including biochemical, biophysical, structural and protein engineering methodologies, to study the complex biological responses elicited by small secreted molecules known as cytokines that virtually control every aspect of the immune response. It is envisaged that the insights generated from these studies will allow the enormous potential of cytokine-based therapies to be harnessed.

**Dr Alison Munro** (Nursing & Health Sciences)

*Novel Psychoactive Substance (NPS) Injecting in Scotland: In Depth Study of Injecting Practices, Risk Behaviours, Health Implications and Service Utilisation*

£144,407 (including £79,599 overhead) from Chief Scientist Office

This Chief Scientist Office funded study will conduct qualitative research into the experiences, risk taking, health harms, and service use of people in Scotland who are injecting novel psychoactive substances. Many NPS substances have been implicated in drug related deaths in Scotland, as well as other adverse consequences, and the overall aim of the grant is to inform future service provision for people who are injecting NPS.

**Professor Pauline Schaap** (Cell and Developmental Biology)

Evolution of Multicellularity and Somatic Cell Specialisation (EVOSOM)

£1,729,786 (including £543,812 overhead) from EC Horizon 2020 - European Research Council (ERC)

The proposed research seeks to identify the genetic changes that caused the transition from uni- to multicellularity and enabled early multicellular organisms to specialize their cells for different functions. These fundamental questions will be addressed by comparison between genetically tractable unicellular amoebas and Dictyostelid social amoebas, which form multicellular structures with up to 5 cell-type.

**Professor Paul Wyatt** (Drug Discovery Unit)

A Pipeline of Drugs for Leishmaniasis and Chagas Disease (Portfolio Award)

£7,928,810 from Wellcome Trust

The award of £7.9 million over five years by Wellcome will enable the established Drug Discovery Unit/GSK team to continue their work to develop novel drugs to treat visceral leishmaniasis (VL) and Chagas' disease. The work is heavily supported by in kind contributions from GSK. The team has already delivered two preclinical candidates for VL within the previous funding.

## APPENDIX 2

### FINANCE & POLICY COMMITTEE (Minute 91(1)(a))

A meeting of the Committee was held on 8 May 2017.

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

**In Attendance:** Professor Nic Beech (Vice-Principal (Academic Planning & Performance));  
Jo Elliot (Chair, Audit Committee);  
Andrew Hewett (Director of Finance);  
Dr Neale Laker (Director of Academic & Corporate Governance);  
Professor Karl Leydecker (Vice-Principal (Learning & Teaching));  
Kevin Mallett (Deputy Director of Finance)  
Dr Jim McGeorge (University Secretary);  
Colin McNally (Director of Campus Services);  
Dr Christine Milburn (Policy Officer (Corporate Governance));

**Apologies:** Bernadette Malone  
Wesley Rennison (Director of Strategic Planning)

Noting that the meeting was the last for the Committee during the 2016/17 academic year, the Chairman gave thanks to Professor Dame Sue Black and Indrė Urbanavičiūtė who were attending their last meeting prior to the end of their respective terms of office on Court over the summer. The Chairman thanked them for the significant contributions they had made during their time on the Committee and he wished them well in their future endeavors.

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting of 20 March 2017.

#### 2. MATTERS ARISING

##### (1) Action Log

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

**Resolved:** to note the log.

##### (2) CURE (Minute 2(2))

The University Secretary updated members on preliminary discussions with Arix Biosciences. Noting that it was hoped that a business plan for the project might be brought to the next meeting of the Committee on 14 August 2017, members agreed that it would be helpful for such a plan to also highlight any differences from the original proposal arising from the fact that the IPO had not raised the level of funding originally envisaged.

**Resolved:** to note the update and await a report at the next meeting.

#### 3. PERIOD 8 MANAGEMENT ACCOUNTS

The Committee received the management accounts for the period to the end of March 2017 (Period 8 Accounts). In introducing the accounts the Deputy Director of Finance highlighted the improvement in the full year forecast for operational activities, with members noting that the revised end of year forecast was for a deficit of £3.0m, a positive variance of £2.6m relative to the budget. The Deputy Director drew members' attention to the report on

tuition fees and contracts, and in particular the fact that tuition fee income was ahead of budget. Members also noted that the cash position remained ahead of predictions, and following discussion were pleased to note that the University's ability to predict cash forecasting accurately should be improved once the finance data solutions element of the business transformation programme was fully implemented.

Turning to the report on research income, discussions focussed on the ability of the University to plan effectively for successful large research grant applications in terms of finance and budgetary decision-making, given only a proportion of such applications was successful. Members noted the challenges in predicting such awards, and highlighted the importance of appropriate budgeting mechanisms in terms of cash projections and bank covenants. The Committee also noted that the Audit Committee would be looking at 'Research Grant Partnerships' process arrangements in the near future. In response to questions regarding research post-graduate (RPG) fee income, the Vice-Principal (Learning & Teaching) provided a brief overview of changes to research student funding models, and in particular doctoral training grant awards, where there had been a significant increase. Nevertheless, members noted that research postgraduate fee income was one area where opportunities for growth were being explored.

**Resolved:** to note the accounts.

#### 4. **DRAFT BUDGET 2017/18, 3 YEAR PROJECTIONS FOR THE SFC AND CAPITAL PLAN**

The Director of Finance outlined a provisional budget for 2017/18 including plans for capital expenditure and the three year projections for submission to the Scottish Funding Council (SFC). Discussions focussed on the overall shape of the budget, with members noting that work was ongoing to improve the financial position further over the coming weeks, and that a final version would be circulated to members for approval following further review by the University Executive Group (UEG). Members also noted that the Main Grant Letter from the Scottish Funding Council (SFC) had been received on 5 May 2017 and that an analysis would be circulated to members once it was complete: (<http://www.sfc.ac.uk/communications/Announcements/2017/SFCAN092017.aspx>).

The Director of Finance went on to outline the process followed during the development of the budget. In particular members were advised that the target baseline remained as per year two of the three-year budget plan previously agreed in June 2016, but that the provisional budget was currently behind the targets set. The Director advised that this was expected to improve, but that care was being taken to balance longer term financial sustainability and growth against the achievement of shorter-term budget targets. Overall, members noted that most schools were expected to meet their targets, and that where this was not the case due to unexpected cost, structures were being put in place to address the issue and enable recovery.

Discussions focused on the budget position relative to the terms of the banking covenants, and members noted the scenario planning undertaken in this respect, as well as the consideration of risks relating to the USS Pension Scheme deficit. The report also highlighted projected changes to the pattern of contributions by Schools, and in particular the increases from the School of Social Sciences, and projected decreases from some of the larger schools, particularly Medicine and Life Sciences.

The Director also outlined capital expenditure proposals, which members noted focused on maintaining the quality of the estate.

- Resolved:**
- (i) to note that the provisional budget and three-year plan would be circulated for endorsement following further refinement; and
  - (ii) to note that a commentary on the main grant letter from the SFC would be circulated as soon as analysis was complete.

*[Secretary's note: the draft Budget and three-year plan was subsequently circulated on 25 May 2017 and endorsed to the Court by electronic communication.]*

#### 5. **CAMPUS SERVICES**

The Director of Campus Services verbally updated members on matters relating to the work of the Campus Services directorate. In doing so he focussed on priorities within the capital plan. He also informed members of the potential benefits to the University of the recently-announced £20m Scottish Funding Council loan initiative for capital works, and undertook to advise members further once more details of the scheme became available.

The Director updated members on progress in establishing the Estates Management Group which had been proposed at the last meeting. Members noted that the University Executive Group had considered and approved the objectives proposed for the Group, and the Director confirmed the membership for the Group as follows:

University Secretary (Convener), Mr Allan Murray (lay member of Court), Indrė Urbanavičiūtė/Sean O'Connor (DUSA President), Mr Mike Galloway (Dundee City Council), Mr Colin McNally (Director of Campus Services). Iain Howie had been originally proposed for the group, but since his subsequent resignation from the Court, the Convener asked members to indicate their interest in serving on the Group to the Clerk to the Committee.

In response to questions, the Director also provided an overview of the Estates Strategy at the Ninewells campus, and in doing so highlighted the consolidation of space over the last 5 years and the corresponding reduction in the University's footprint. Members noted the challenges presented in this respect.

- Resolved:**
- (i) to note the update; and
  - (ii) to ask that members interested in serving on the Estates Management Group indicate their interest to the Clerk to the Committee as soon as possible.

## 6. UPDATES

### (1) Reporting of Progress in Recruitment

The Committee received an update report on admissions trends for student recruitment in 2017/18. Members were advised of the timing of information relative to open recruitment, partnerships and distance learning. As information on distance learning recruitment was not yet centralised, and it was too early in the cycle to report on partnerships applications, the report focussed on open recruitment data to the end of April 2017. In this respect, members were pleased to note significant progress was being made across all categories compared with the previous year. In particular members noted that uncontrolled undergraduate applications and offers had increased by 33% and 45% respectively, and that the final acceptance figure for this group was expected to rise. Members also noted rises in the number of full fee taught post-graduate applications (24%), offers (38%) and acceptances (68%), and that home and EU taught post-graduate offers and acceptances had risen despite a 13% fall in applications.

Overall, members noted that application trends showed a continuing increase from unregulated RUK and overseas sources of students following investment in these markets, with an expectation that there would be further growth in student numbers in 2017/18.

**Resolved:** to note the update.

### (2) Update on Efficiency in Teaching and Learning

The Vice-Principal (Learning & Teaching) introduced his second 6 monthly update on activities relating to efficiency in learning & teaching. In doing so he outlined progress in relation to: access to data and information; a shift toward online assessment; the development of a workload allocation model including considerations in terms of the procurement of an IT solution to aid managers in deploying teaching resource optimally; and improvements in the efficiency of the administration of teaching and assessment. He also outlined developments linked to curriculum reviews, and members were pleased to hear examples illustrating the engagement of schools in the agenda, and of the commitment and support for it.

**Resolved:** to note the update.

### (3) Business Transformation Update

The Committee received the minutes of the Business Transformation (BT) Steering Group meetings on 31 March and 24 April 2017, and an update from the Director of Business Transformation confirming the decision to proceed to Phase 2 (student lifecycle component) of the programme. In introducing the report, the University Secretary updated members on progress across the various elements of the programme, and in particular discussions with the vendor, in terms of its provision of the necessary resources for the development of certain elements of the software solution.

In response to questions, the University Secretary confirmed that the timescales involved with the various elements of the programme remained very tight, and that there had been some delays, but that there was a positive relationship with the vendor. Members also noted that the internal audit team had recently completed two further reviews relating to BT, and that these would be considered at the next meeting of the Audit Committee on 17 May, and had been seen as very helpful by the BT Team, especially in terms of recommendations relating to organisational readiness.

Members also noted that following the resignation of Mr Iain Howie from the Court, the BT Steering Group was seeking replacement membership from the Finance & Policy Committee, and members were asked to indicate their interest/willingness to serve in this capacity.

- Resolved:**
- (i) to note the update and await further updates in due course; and
  - (ii) to ask members to indicate their interest/willingness to serve on the Business Transformation Steering Group.

#### 7. PENSION SUB-GROUP

*[Secretary's note: The Director of Academic & Corporate Governance, Dr Neale Laker, in his capacity as a trustee for the University of Dundee Superannuation Scheme (UoDSS), declared an interest in the item and left the room for the duration of discussions.]*

The Committee received the minutes from the meeting of the Pensions Sub-Group on 20 March 2017.

**Resolved:** to note the report.

#### 8. RESERVED BUSINESS: DUNDEE STUDENT VILLAGES

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

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

#### 9. USE OF DELEGATED AUTHORITY

The Committee noted three instances of the use of delegated authority by the University Secretary and Director of Finance since the last meeting. The Committee was content that the authority had been used appropriately and was interested to note the details of the transactions.

**Resolved:** to note the update.

#### 10. REVIEW OF THE EFFECTIVENESS OF THE COMMITTEE

The Committee was invited to review its effectiveness and performance during the 2016/17 academic year. To support the process, members were provided with the work plan approved by the Committee and the Court in October 2016, a copy of feedback from an online questionnaire, and a copy of the focal questions which would be used during the review of the effectiveness of the Court. Noting the low response rate to the questionnaire (9/17 overall and 6 of 9 members), the Committee was satisfied that the feedback be shared with the Court.

**Resolved:** to endorse the inclusion of themes from responses to the questionnaire in the effectiveness review of the Court.

#### 11. DATE OF NEXT MEETING

The Committee noted the next meeting of the Finance & Policy Committee was scheduled for 14 August 2017.

**Resolved:** to note the date.

### APPENDIX 3

#### GOVERNANCE & NOMINATIONS COMMITTEE (Minute 91(2)(a))

A meeting of the Committee was held on 8 May 2017.

Present: Ronald Bowie (Convener);  
Janice Aitken;  
Richard Bint;  
Principal Professor Sir Pete Downes;  
Jane Marshall; and  
Sean O'Connor

In Attendance: Dr Neale Laker (Director of Academic & Corporate Governance);  
Dr Jim McGeorge (University Secretary);  
Dr Christine Milburn (Policy Officer (Corporate Governance)); and

Apologies: Bernadette Malone;  
Professor Mairi Scott;  
Professor Tim Newman (Vice-Principal (Research, Knowledge Exchange & Wider Impact)).

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting of 24 March 2017.

#### 2. MATTERS ARISING

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

The Committee received the action log for Committee business and noted progress updates where provided. In particular, members noted that the Annual Staff Recruitment Report would be circulated to members following its consideration by the People & Organisational Development Committee at its meeting on 15 May 2017.

**Resolved:** to note the log.

(2) Register of Interests (Officers)(Minute 8(1))

The Director of Academic & Corporate Governance updated members on the completion of register of interest declaration forms by officers as part of the 2017 review. Members noted that there was now a 100% completion rate for forms issued to senior officers/officers considered to be in a position to significantly influence the strategy and financial/reputational well-being of the University.

**Resolved:** to note the update.

#### 3. CONVENER'S UPDATE

The Convener provided his regular update on matters highlighted in his discussions with Court members outwith meetings. The Convener summarised key matters of discussion at the 6 monthly Committee of University Chairs (CUC) meeting, including a number of sectoral challenges highlighted by institutions in England, Wales, and Northern Ireland. He also provided an overview of topics covered at a HEPI dinner where the consequences of the current funding situation for the sector were explored. Noting the Convener's recent attendance at a meeting of the University of Dundee Deans' Group, discussions largely focussed on the governance of partnerships, both educational and research/commercial, and members expressed an interest in receiving further information on the governing framework in place and the process by which partnerships and collaborations were supported within this framework.

**Resolved:** to note the update.



#### 4. SECTOR UPDATE

The Director of Academic & Corporate Governance updated members on sectoral matters relating to the governance of Higher Education Institutions (HEIs). He highlighted his attendance at a round-table discussion between the sector, Scottish Government advisers and Privy Council officers in relation to the implementation of the Higher Education Governance (Scotland) Act 2016, and members noted that the University was seen to be a sector-leading example of good practice in the implementation of the requirements of the Act.

**Resolved:** to note the update.

#### 5. SCOTTISH CODE OF GOOD HE GOVERNANCE

The Director of Academic & Corporate Governance advised the Committee of the publication of a draft revised Scottish Code of Good HE Governance, and an associated consultation exercise which would close on 21 June 2017. He went on to introduce a paper which summarised the main areas of change proposed to the existing Code, and highlighted in particular matters which, if included in the finalised Code, would require the University to make changes to its governance arrangements. Members were encouraged to provide feedback to the Director to inform the development of an institutional response to the consultation.

While members were supportive of the seven themes which formed the core of the draft Code, overall members expressed disappointment and concern at the highly-prescriptive approach taken, and consequently the impact on institutions' ability to individually manage their own governance within established principles of good governance. Furthermore, while members were supportive of institutions being held accountable, they expressed concern that the volume of reporting requirements would lead to a 'box-ticking' approach to governance rather than an enhancement of practice, and that the prescriptive nature of the Code ultimately had the potential to discourage future innovation in this area which would have enhanced practice. The Committee was also wary of the additional burden on university administration in terms of evidencing compliance. Members went on to suggest that the draft would benefit from being further focussed on the primary role of the sector as members felt that the draft had, through its broad approach, lost this sense of identity.

Turning to the specific areas highlighted where the University would need to modify its governance arrangements to adhere to the new Code, discussions focussed on Section 28, which makes clear that no category of membership of Court should for that reason alone be precluded from membership of any committee. Members noted the distinction between not precluding any category of membership of Court and requiring membership from all categories of Court to be included, but were supportive of membership being primarily based on ensuring that members have the relevant skills and time to contribute fully to the committees. Members were however concerned that in the case of the Audit Committee, the recommendation contradicted the requirements of the Committee of University Chairs Guide on Audit Committees, and suggested that this inconsistency would need to be resolved before the Code was finalised.

Members also noted the need to fully consider implications of the revised Code in relation to the Remuneration Committee in terms of both its membership, and the requirement set out in Section 88 for consultation with staff and students.

Lastly, the Committee suggested that the feedback should also encourage consideration of how compliance would be monitored, and the substantial workload placed on both institutions required to report on compliance, and those required to monitor it.

**Resolved:** to ask the Director of Academic & Corporate Governance to draft a response to the consultation for circulation to the Committee for endorsement and comment before the next meeting of the Court.

#### 6. LAY COURT VACANCY

The Committee noted the lay vacancy arising on the Court with effect from 1 May 2017 as a result of the resignation of Mr Iain Howie which had been announced at the meeting of Court on 18 April 2017. Members considered a paper setting out considerations in relation to the appointment of a successor for Mr Howie, and agreed that the position should be advertised in accordance with previously approved practice.

Following discussion of the skills matrix and equality and diversity data, members agreed that the advertisement should focus on skills areas relating to: business and financial management, internationalisation, legal, marketing, HR, and business development. Members also expressed a preference that, if possible, the appointment process be carried out on a timeframe which would enable the appointed individual to attend the Court Retreat on 7 and 8 September 2017, and asked officers to make suitable arrangements in terms of an appointing panel.

- Resolved:**
- (i) to approve the advertisement of the vacancy in the national press and on websites as had been used in previous rounds;
  - (ii) to ask officers to make arrangements for the shortlisting and interview panel, with the composition including two lay members, one elected staff member and one student member of the Court, who were preferably also members of the Governance & Nominations Committee;
  - (iii) to approve the proposal that the Governance & Nominations Committee consider recommendations from the appointing panel by electronic means; and
  - (iv) to recommend to the Court that it consider and if minded approve the resulting recommendation from the Governance & Nominations Committee for appointment of a lay member of the Court by electronic means, in order that the appointed member may attend and benefit from the discussions at the Retreat.

## 7. MEMBERSHIP OF THE COURT AND ITS COMMITTEES

### (1) Convenership of the Finance & Policy and Audit Committee 2018/19

The Convener of the Committee verbally reported on the interviews held to consider the appointment of Conveners for the Finance & Policy and Audit Committees from 2018/19, that being when the current conveners of these Committees were due to retire from the Court. Members noted that a panel consisting of Mr Ronnie Bowie, Professor Stuart Cross and Ms Indrė Urbanavičiūtė had met with a total of three candidates for the two roles, and that the panel had been impressed with the exceptional quality and forward looking vision of all three candidates.

Members noted that the interview panel had recommended that Ms Karen Reid be appointed as the Convener of the Audit Committee from 2018/19. Members also noted that the interview panel had recommended that Mr Denis Taylor be appointed as the Convener of the Finance & Policy Committee, subject to his agreement to cease involvement in projects within the University which he had previously declared to the Committee. The Committee also agreed that both individuals should be invited to join the respective Committees for the 2017/18 academic year to allow for a 'designate year' where they would have the benefit of shadowing the existing Convener, working with key officers and exploring the business of the Committee further.

Members also considered the longer term benefits of appointing a Vice-Convener for the Committees of Court, and following discussion recommended that the Chair of Court speak with a member of Court in relation to this position for the Finance & Policy Committee.

The Committee was supportive of the recommendations set out and asked that the Convener take forward discussions with the candidates as proposed prior to their appointments being proposed to the Court.

- Resolved:**
- (i) to recommend to the Court that Ms Karen Reid be appointed as the Convener of the Audit Committee from 2018/19, and that she be appointed to the Audit Committee for 2016/17; and
  - (ii) to recommend to the Court that Mr Denis Taylor be appointed as the Convener of the Finance & Policy Committee from 2018/19, subject to his agreement to cease involvement within the University as previously declared to the Committee, and that he be appointed to the Finance & Policy Committee for 2017/18, subject to the same agreement;

*[Secretary's note: the Convener subsequently confirmed that Ms Reid and Mr Taylor had accepted the positions as outlined, subject to the approval of their appointments by the Court. The Convener also proposed that the Governance & Nominations be asked to further develop the Code of Conduct for Court members to provide more detailed guidance for the engagement of lay members with Schools and Directorates in a paid or unpaid capacity. ]*

(2) Membership of the Court and its Committees 2017/18

*[Secretary's note: The Director of Academic & Corporate Governance, Dr Neale Laker, in his capacity as a trustee of the University of Dundee Superannuation Scheme (UoDSS) declared an interest in discussions relating to UoDSS.]*

The Committee received a paper which summarised membership of the Court for 2017/18 as currently known, the attendance of members at meetings and other events during 2016/17, and considerations relating to the membership of the Committees of the Court for 2017/18. In particular, members noted the importance of ensuring an appropriate balance on the Committees of the Court in terms of both skills and diversity.

Following discussion, members agreed that detailed consideration of the membership of Committees should be postponed until issues relating to: the Convenership of Committees as outlined in Minute 3(1) (above); the election of staff members of the Court; and the nomination of trade union members of the Court, were resolved to the extent that the balance of skills on each committee could be sufficiently considered. The Committee therefore asked that officers circulate draft proposals to the Committee for approval by electronic correspondence before the next meeting of the Court once this information was known. Members also stressed that it was important that in developing the proposal, officers did not pre-judge the outcome of consultation on the review of the Scottish Code of Good HE Governance.

Noting that the resignation of Mr Iain Howie from the Court also created a vacancy as an employer-nominated trustee of the UoDSS, members discussed the importance of the University nominating an individual with the right skills and expertise to serve in this capacity. At the conclusion of discussions, the Committee asked the University Secretary to investigate a number of options, including the potential for the appointment of a professional trustee, and implications of any such appointment in terms of existing employer-nominated trustees for the scheme.

- Resolved:**
- (i) to ask the Director of Academic & Corporate Governance to circulate proposals for membership of the Committees of the Court for 2016/17 for approval in due course;
  - (ii) to ask the University Secretary to further consider options for employer nominated membership of the UoDSS.

*[Secretary's note: The Director of Academic & Corporate Governance subsequently circulated proposals for membership of the Committees of the Court for 2017/18 to members by email on 25 May 2017. Proposals as endorsed by the Committee by electronic circulation are enclosed as annex a].*

8. **AUDIT COMMITTEE MEMBERSHIP**

Members received an update on the appointment process for the external lay member of the Audit Committee. Members noted that 26 applications had been received in response to the advertisement (7 female, 19 male). The Committee also noted that shortlisting would take place on 9 May 2017, with interviews scheduled for 29 May 2017, and approved the proposal that given the timing of the interview relative to meetings of the Committee and the Court, the panel make a recommendation directly to the Court in relation to the appointment on this occasion.

The Committee was also advised of the final composition of the shortlisting panel as follows: Mr Jo Elliot (Convener of the Audit Committee and lay member of the Court), Mr Richard Bint (lay member of the Court), Professor Mairi Scott (elected member of the Court), Mr Kevin Burns (student member of the Court), the University Secretary and the Director of Academic & Corporate Governance. Members also noted that the interview and selection panel would have the following membership: Mr Jo Elliot (Convener of the Audit Committee and lay member of the Court), Mr Richard Bint (lay member of the Court), Professor Mairi Scott (elected member of the Court), Ms Indrė Urbanavičiūtė (student member of the Court), and the Director of Academic & Corporate Governance.

- Resolved:** to note the update and to approve the recommendation that the appointing panel be authorised to make a recommendation for appointment directly to the Court.

*[Secretary's note: the appointing panel subsequently met on 29 May 2017 and recommended that Ms Karen Bassett appointed as an external lay member of the Audit Committee for a period of four years in the first instance, effective from 1 August 2017. Ms Karen Reid also replaced Mr Richard Bint as a member of the interview panel.]*

## 9. ANNUAL REPORT FROM THE DIRECTOR OF QUALITY ASSURANCE

The Committee received a report from the Director of Quality & Academic Standards (QAS) which summarised and evaluated the activities of the Quality and Academic Standards Committee (QASC) during the past year, including key considerations and outcomes. Members expressed their gratitude to the Director of QAS for the detailed report, and commented very positively on the effectiveness of the Committee.

The Committee noted that the Court was asked annually to provide an annual Statement of Assurance on Quality to the Scottish Funding Council (SFC), for inclusion with the University's annual report to the SFC on quality, and was content to recommend to the Court that it provide the statement of assurance.

Following discussion of the recently-published CUC practice note on Academic Governance, members suggested that the Director of QAS be invited to attend the next meeting of the Governance & Nominations Committee to explore the University's readiness for compliance with the recommendations within the guide, and options for the further development of the annual report in this respect.

- Resolved:**
- (i) to recommend to the Court that it should be comfortable in approving the annual statement of Assurance on Quality to the SFC; and
  - (ii) to invite the Director of Quality & Academic Standards to attend the next meeting of the Committee on 2 October 2017 to explore implications of the CUC practice note on Academic Governance.

## 10. ORDINANCE 59 – ACADEMIC FREEDOM

The Director of Academic & Corporate Governance introduced a paper outlining proposals relating to Ordinance 59 (Academic Freedom). The Committee noted that the Ordinance had originally been developed and approved in 2011 as a result of discussions at that time relating to the proposed revision of Statute 16 (Academic Staff). However, as a result of reviews in Scotland relating to HE governance, Statute 16 had not been formally submitted to the Privy Council for approval at that time, and as a result the Ordinance had not come into force. The Director advised members that following the approval of Statute 16 by the Privy Council on 12 April 2017 there was now a need to revive Ordinance 59 in order to fulfil the requirements in the new Statute for a mechanism to consider the case of any member of academic staff who believes their academic freedom has been adversely affected.

The Director highlighted a number of minor changes to the Ordinance which reflected changes to the University structure in the period since it had been originally drafted, and the requirements of the Higher Education Governance (Scotland) 2016 Act, and members noted that the campus unions had been supportive of the Ordinance in this form. The Committee recommended, for its part, the approval of the Ordinance.

- Resolved:** to recommend to the Court that it approve the updated Ordinance 59 (annex b).

## 11. REVIEWS OF EFFECTIVENESS

### (1) Senatus Academicus

The Committee received an update from the Policy Officer (Academic Governance) outlining progress in relation to the Review of the Effectiveness of the Senate. Members were pleased to note progress to date. The Committee also noted that Dr William Boyd had volunteered to serve as the lay Court member on the review group and recommended that he be invited to attend the next meeting in this capacity.

- Resolved:**
- (i) to confirm that Dr William Boyd would serve as the lay Court member of the review group; and
  - (ii) to await further updates in due course.

### (2) Annual Review of the Effectiveness of the Court

The Committee considered proposals relating to the approach and format of the annual review of effectiveness of the Court which was due to take place immediately following the meeting of the Court on 5 June 2017. Members highlighted the importance of capturing the themes emerging from the reviews of the effectiveness of the Committees of Court as part of the overall review of effectiveness of the Court.

- Resolved:** (i) to approve the focal question areas proposed; and

- (ii) to approve the circulation of the questionnaire subject to minor amendment.

(3) Annual Review of the Effectiveness of the Chair of Court

The Committee considered proposals relating the annual review of effectiveness of the Chair of Court which was due to take place immediately following the meeting of the Court on 5 June 2017. Members noted that the Chair had proposed to circulate alongside the questionnaire a self-assessment of his performance against his objectives as approved by the Court for 2016/17.

- Resolved:**
- (i) to approve the focal question areas proposed; and
  - (ii) to approve the circulation of the questionnaire.

(4) Annual Review of the Effectiveness of the Governance & Nominations Committee

The Committee was encouraged to consider its effectiveness and performance during the 2016/17 academic year relative to the work plan approved by the Court in October 2016, the focal questions which would be used during the review of the effectiveness of the Court, and feedback from members and officers in attendance of the meeting in response to a questionnaire on the effectiveness and performance of the Committee. The Director of Academic & Corporate Governance also circulated a summary of achievements of the Committee during 2016/17.

Through discussion of the information provided members highlighted an opportunity for the Committee to enhance the quality of its input and assurances to the Court. Members also highlighted the improvement in the balance of activity of the Committee in terms of governance and nominations work and the momentum of improvements made by the Committee, but also agreed that there was further work to be done. Looking to the future, members outlined areas where enhancement was sought, including the Committee's role in providing guidance to Court on the style and approach to governance. The Committee also praised the work carried out in relation to the Higher Education Governance (Scotland) Act 2016, which had put the University in a sector-leading position.

- Resolved:** to note the key themes for discussion during the review of the effectiveness of the Court, and when developing the 2017/18 work plan.

12. **DATE OF NEXT MEETING**

The Committee proposed that an additional meeting be organized prior to the Court Retreat to ensure that all recommendations from the Committee, and any matters of business arising over the summer were dealt with in a timely manner.

- Resolved:**
- (i) to arrange an additional 1 hour meeting of the Committee in August 2017, to take place by teleconference; and
  - (ii) to note that the next meeting would take place at 10 am on 2 October 2017.

**Committee Membership 2017/18****1. Audit Committee (AC)**Members

Mr Jo Elliot (Convener)  
Dr William Boyd  
Mr Neil Menzies  
Ms Karen Reid  
Ms Karen Bassett  
New External Lay Member

Normally in attendance

Convener of Finance & Policy Committee  
University Secretary  
Vice-Principal (International)  
Director of Finance  
Director of Academic & Corporate Governance  
Policy Officer (Risk & Audit) (Secretary)  
Other officers at the discretion of the Director of Finance

**2. Finance & Policy Committee (F&PC)**Members

Mr Andrew Richmond (Convener)  
Principal  
Mr Ronald Bowie  
Ms Jane Marshall  
Professor Mairi Scott  
President of the Students' Association  
Mr Phill Welsh  
Mr Richard Bint  
Mr Allan Murray

Normally in attendance

Convener of Audit Committee  
University Secretary  
Vice-Principal (Learning & Teaching)  
Vice-Principal (Academic Planning & Performance)  
Director of Finance  
Director of Academic & Corporate Governance  
Director of Campus Services  
Director of Strategic Planning  
Policy Officer (Corporate Governance) (Secretary)

**3. Endowments Sub-Committee**

Mr Andrew Richmond (Convener)  
Ronnie Bowie  
President of the Students' Association  
Mr Alan Young (lay Endowment Committee member)

**4. Governance & Nominations Committee (G&NC)**Members

Mr Ronnie Bowie (Convener)  
Principal  
Mr Richard Bint

Ms Bernadette Malone  
Ms Jane Marshall  
Professor Mairi Scott  
Ms Toni McKinney  
Mr Phil Welsh

Officers normally in attendance

University Secretary  
Vice-Principal (Research, Knowledge Exchange & Wider Impact)  
Director of Academic & Corporate Governance  
Policy Officer (Corporate Governance) (Secretary)

5. **Human Resources Committee (HRC)**

Members

Ms Shirley Campbell (Convener)  
Anne Anderson  
Dr William Boyd  
Professor Tim Kelly  
Dr Alison Reeves  
Mr Denis Taylor  
Ms Bernadette Malone  
Dr Jean Robson  
Ms Janice Aitken

Officers normally in attendance

University Secretary  
Vice-Principal (Academic Planning & Performance)  
Director of Human Resources  
Deputy Director of Human Resources  
Policy Officer (Risk & Audit) (Secretary)  
Other officers at the discretion of the Director of Human Resources

6. **Remuneration Committee (RemC)**

Members

Ms Bernadette Malone (Convener)  
Mr Ronald Bowie  
Ms Shirley Campbell  
Mr Richard Bint

Officers normally in attendance

Principal (as required)  
University Secretary (as required)  
Director of Human Resources (as required)

7. **Welfare and Ethical Use of Animals Committee**

Dr William Boyd

8. **TAHScN (Tayside Academic Health Science Network)**

Ms Karen Reid

9. **University of Dundee Superannuation Scheme Employer-Nominated Trustees**

Mr Keith Swinley (Convener)  
Mr Ian Ball  
Employer Nominated Trustee Vacancy

10. **Pensions Sub-Group**

Mr Ronnie Bowie,  
Mr Jo Elliot,  
Mr Andrew Richmond,  
Ms Jane Marshall.

Officers normally in attendance

University Secretary  
Director of Human Resources  
Director of Finance  
Policy Officer (Corporate Governance) (Secretary)



**Ordinance 59 – Academic Freedom**

1. In determining and maintaining policies and procedures in relation to the University's staff, the Court, in accordance with Statute 16, must ensure the academic freedom of those members of staff engaged in teaching, the provision of learning or research. Academic freedom, as defined in Statute 16(1)(b), is the freedom to **hold and express opinions**, question and test **established ideas or** received wisdom, **develop and advance** ~~and to put forward~~ new ideas **or innovative proposals, and present** controversial or unpopular **points of view**, without placing oneself in jeopardy of losing one's job, **entitlements** or privileges, provided always that such freedom is exercised lawfully and respects the academic freedom of others.
2. This Ordinance sets out, in accordance with Statute 16(2), the procedure which applies to any such members of staff who believe that their academic freedom has been adversely affected.
3. Any member of staff engaged in teaching, the provision of learning or research who believes that their academic freedom has been adversely affected shall submit a written account of the specific matter to the University Secretary. The University Secretary shall arrange for the matter to be assessed to ascertain whether it should properly be investigated under this Ordinance.
4. Such an initial assessment shall be carried out by a committee of three senior members of academic staff, all of whom shall be members of the Senatus. The committee shall be known as the Academic Freedom Assessment Committee (the 'Committee') and its membership shall be drawn from a pool to be determined **annually as required** by the Senatus: Provided that its membership shall not include more than one member from any given ~~School College~~, nor a Vice-Principal, ~~Head of College~~ or Dean.
5. If the Committee determines that the **matter does not fall within the terms of this Ordinance, member of staff's academic freedom has not been adversely affected**, then the Committee shall recommend that the matter be considered under the appropriate general **grievance** procedure as approved and maintained under Statute 16(3).
6. If the Committee determines that the member of staff's academic freedom may have been adversely affected, then the matter shall be considered by a panel which shall comprise:
  - a) a Vice-Principal with no prior involvement in the case, who shall be Chair;
  - b) a professor nominated by, but not necessarily a member of, the Senatus with no prior involvement in the case;
  - c) a member of staff engaged in teaching, the provision of learning or research who has an understanding of the area of expertise of the member of staff raising the matter and who has no prior involvement with the case. In cases where there is no suitable member of the University's staff, an external assessor may be appointed to the panel.
7. The member of staff raising the matter shall have the right to be accompanied by a work colleague or trade union representative at any meeting convened as part of the investigation under this Ordinance.
8. **The panel convened under paragraph 6 shall reach a decision on whether the academic freedom of the member of staff bringing the case has been affected and shall make such recommendations for resolution of the matter as it shall think fit to the University Secretary.**
9. **If the panel determines that the member of staff's academic freedom has not been adversely affected, that member of staff shall have the right of appeal against the decision of the panel** ~~established under paragraph 6 above~~. Such an appeal shall be heard by an appeal panel which shall comprise:
  - a) a lay member of Court with no prior involvement in the case, who shall be Chair;
  - b) a member of Senate with no prior involvement in the case;

- c) an external assessor with an expert understanding of the academic discipline of the member of staff raising the matter.
- 10. The procedures and timescales to be followed in determining the matter shall in all other respects be in accordance with those set out for the consideration of matters as approved and maintained under Statute 16(3).
- 11. If the member of staff is subject to any other procedures as approved and maintained under Statute 16(3), these shall be suspended until the procedures under this Ordinance have been exhausted.

## APPENDIX 4

### AUDIT COMMITTEE (Minute 91 (3))

A meeting of the Committee was held on 17 May 2017.

**Present:** Jo Elliot (Convener);  
Richard Bint;  
Dr William Boyd;  
Neil Menzies;  
Allan Murray.

**In Attendance:**

Andrew Richmond	Convener, Finance and Policy Committee;
Dr Jim McGeorge	University Secretary;
Wendy Alexander	Vice-Principal (International);
Dr Neale Laker	Director of Academic & Corporate Governance;
Ian Leith	Director of Business Transformation (items 4(2) and 4(3));
Andrew Hewett	Director of Finance;
Umrans Sarwar	Director of Legal;
Kevin Mallet	Deputy Director of Finance;
Angela Hamilton	Change and Communications Manager (items 4(2) and 4(3));
Geoff Endersby	Programme Manager (items 4(2) and 4(3));
Krystelle Evans	Programme Management Office Manager (items 4(2) and 4(3));
Keith MacPherson	(Ernst & Young);
Gary Fraser	(Scott-Moncrieff);
Fraser Nicol	(Scott-Moncrieff);
Matthew Swann	(Scott-Moncrieff);
Dr Liz Rogers	(Assistant Policy Officer (Risk & Audit))

**Apologies:** Sandra Morrison-Low, Chris Brown (Scott-Moncrieff), Wendy Alexander.

Prior to the meeting Committee members attended training sessions on Dundee Student Villages Ltd and on the Business Transformation Programme.

#### 1. MINUTES

**Resolved:** to approve the minutes from the meeting of 28 February 2017.

#### 2. MATTERS ARISING

##### (1) Action Log

The Committee considered a log of Committee actions ongoing in 2016/17. Members were content that the log offered a comprehensive record of outstanding actions and also noted progress updates where provided. The Committee noted that members would receive the proposed communication to raise awareness of the University's Whistleblowing Policy to their Dundee email accounts.

Members noted new RCUK guidelines relating to research misconduct and were advised that the University had already taken steps to update its policies in that regard.

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

##### (2) Health & Safety

The Committee reviewed an update provided by the Acting Head of Safety Services on the recommendations from the internal audit carried out on Health & Safety in session 2015/16. Discussions focussed on training completion rates and ways in which the University could enhance compliance with mandatory health and safety training.

Members noted that all Schools had now appointed designated Health & Safety advisors and asked that the Health, Safety & Welfare Sub-Committee bring forward a report to the September meeting on health & safety inspections across Schools and Directorates

- Resolved:**
- (i) the Health, Safety & Welfare Sub-Committee to provide a report on annual inspections; and
  - (ii) to note the update.

### 3. CONVENER'S REPORT

The Convener reported that he had met with the internal and external auditors since the last meeting and had attended the usual pre-meeting with officers. The Convener informed members that he had participated in shortlisting for a new lay member of the Committee on 9 May and that interviews would take place on 29 May 2017.

**Resolved:** to note the update.

### 4. INTERNAL AUDIT

#### (1) DUSA

The Committee reviewed the recently-completed audit report on DUSA (Dundee University Students' Association). The report contained one grade three, two grade 2 recommendations and one grade 1 recommendation, all of which had been accepted by DUSA management. It was noted that the University Secretary and other officers met regularly with the DUSA Executive and he was confident that the Trustee Board would proactively address the recommendation to develop a formal Business Plan.

Members noted the importance of the proposed business plan in enabling an assessment of the longer-term financial sustainability of DUSA and asked that the University Secretary and Director of Academic & Corporate Governance liaise closely with DUSA on the production of the plan.

- Resolved:**
- (i) to await the production of a DUSA business plan; and
  - (ii) to note the report.

#### (2) Business Transformation - operational readiness

The Committee reviewed the recently-completed audit report on Business Transformation (Operational Readiness), which comprised the results from the Business Transformation survey which had been distributed to all members of staff. The Director of Business Transformation stated that the review had been a very useful experience as it had informed the development of the action plan which accompanied the report.

Discussion focussed on the clarity of objectives, with members suggesting that the Business Transformation Senior Stakeholder Group could ensure that the desired objectives were all aligned. Members learnt that another survey was planned for July, which would give an indication of the progress made.

**Resolved:** to note the report

#### (3) Business Transformation - project and programme governance

The Committee reviewed the recently-completed audit report on Business Transformation (Project and Programme Governance). The report contained five grade 2 recommendations and one grade 1 recommendation, all of which had been accepted by management and certain of which had already been implemented. The internal auditors were of the view that the Business Transformation team were taking a proactive approach to engaging stakeholders. Members noted that they would be able to continue to view progress through the Steering Committee minutes which were enclosed with papers at Audit Committee meetings.

**Resolved:** to note the report.

(4) Performance Management

The Committee reviewed the recently-completed audit report on Performance Management. The report contained one grade 3 and two grade 2 recommendations, all of which had been accepted by management. Officers indicated that the report provided a helpful summary of the strengths and weaknesses of the approach to reporting on performance under the outgoing University Strategy and therefore identified 'lessons learned' that would be taken into account in the development of performance reporting under the new University Strategy to 2022. Members were reminded that action planning, risk appetite and performance management aspects of the new strategy represented the key focus of the Court Retreat in September.

**Resolved:** to note the report.

(5) Internal Audit Plan Progress Report 2016/17

The Internal Auditors provided the Committee with a report summarising the audit activity during the year to date. Members noted that there had been a delay to the review of financial systems, and that the draft report would be circulated to the Committee once available. Members questioned the new HMRC PAYE IR35 legislation, which aimed to ensure that individuals classed as self-employed (i.e. consultants) were included on payroll and noted the steps being taken within the University to ensure compliance.

**Resolved:** to note the report.

(6) Internal Audit Plan 2017/18

The Committee received a report from the internal auditors outlining a plan for internal audit work over the academic year 2017/18. Members suggested that the reviews of business continuity, procurement and Schools should be advanced, whilst reviews of endowments and investments, operational planning and strategic planning could be deferred. Members discussed the scheduled review of student experience and provided feedback on possible themes for management consideration.

Members questioned arrangements for ensuring borders agency compliance. Members learnt that the Director of Academic & Corporate Governance was the University's Authorising Officer for its Tier 4 Sponsorship Licence. He convened a monthly compliance group, under the authority of which an independent review had within the past 12 months contributed to the development of an action plan to address any areas of concern. This action plan had now been fully implemented.

- Resolved:**
- (i) to ask the Director of Academic & Corporate Governance to provide an update on borders agency compliance at the next meeting; and
  - (ii) to ask Scott-Moncrieff to liaise with officers to update their plan in light of discussions referenced above.

5. **EXTERNAL AUDIT**External Audit Planning Report

The external auditors presented their audit plan to the Committee. The paper outlined the approach to be taken in carrying out the external audit for the year ending 31 July 2017, and set out the scope, fee and materiality thresholds for the audit. The external auditors also formally confirmed their independence.

Discussion focussed on the implications of raising the level of materiality, with members noting that this would not change reporting, unless there were errors in the accounts identified in the risk assessment.

The external auditors confirmed that as they had been in touch with the auditors for Dundee Student Villages and that a delay to the accounts was not anticipated for the year ending 31 July 2017.

**Resolved:** to note the report.

## 6. RISK MANAGEMENT

### (1) Risk Management Policy and Risk Management Forward Plan 2017/18

The Committee viewed papers from the Assistant Policy Officer (Risk & Audit) comprising a risk management policy (annex) and a risk management forward plan. Members commented that the inclusion of a Vice-Principal in the Risk Management Oversight Group would be worth considering, and suggested that the Group might report to UEG and also to Audit Committee.

**Resolved:** (i) to endorse the risk management policy to Court for approval; and  
(ii) to note the update.

### (2) Risk Appetite

The Committee had an open discussion on risk appetite. Members learnt that officers were working with the internal auditors to facilitate a workshop on risk appetite at the Court Retreat in September. Members recognised that risk appetite and tolerance levels would be dependent on the type of risk: for example, it being noted that the University would have little appetite for health and safety risks, but that a degree of risk required to be accepted in the pursuit of meeting strategic objectives around unregulated income generation.

Members commented that risk appetite was important in shaping thinking in relation to innovation, and that a continued focus on identifying new growth projects was needed across the institution.

**Resolved:** to note the update and look forward to the discussion at the Court Retreat.

### (3) Deep dive discussion of risk

The Committee undertook detailed discussion and review of risk 6 [Degradation of estate as a result of poor maintenance] and 8 [Loss of prestige of staff experience].

Members acknowledged that the amount of capital spent on the campus infrastructure impacted on the staff and student experience. Members felt that the brand and image of the University were significantly influenced by the quality of its estate, and as such, there was a degree of reputational risk associated with the inability to invest as much as we would wish over recent years. The current work on a new estates strategy and associated funding plan was therefore of central importance in that regard.

In relation to Risk 8, members queried whether non-financial rewards could be identified as a means to recognise performance and act as an incentive staff to remain at the University. It was felt that if succession planning and development was in place and working well, the level of residual risk (12) could be reduced.

Members noted that as a new University Strategy would be coming into play, a new Institutional Risk Register and action plans would be developed following discussions at the Court Retreat.

**Resolved:** to note the update.

## 7. BUSINESS TRANSFORMATION

### Minutes from the Steering Committee meeting

The Committee noted the minutes from the meetings of the Business Transformation Steering Committee on 31 March and 24 April 2017.

**Resolved:** to note the update.

## 8. LEGAL RISK REPORT

The Director of Legal provided the Committee with a paper providing a thematic view of legal risks. The report focused on compliance issues and provided the Committee with an update on potential cases, with discussion focusing on the reputational risk associated with international partnerships and the importance of establishing risk appetite in that regard.

**Resolved:** to note the update.

9. **REVIEW OF EFFECTIVENESS**

The Committee reviewed a report from the Director of Academic & Corporate Governance and Assistant Policy Officer (Risk & Audit) outlining the findings of the review of effectiveness for the Audit Committee. Members felt that the recommendations proposed were sensible and stated that it would be useful if seminars arranged by the internal and external auditors were better advertised to the Committee as it was felt that these were of value.

Members discussed and agreed the recommendations relating to value for money and asked that officers give further consideration to ways to further enhance the Committee's oversight of this area

In addition, it was agreed that the private meetings with officers and the internal and external auditors were only required at every other meeting.

**Resolved:** (i) to approve the recommendations; and  
(ii) to note the report.

10. **COMPLIANCE WITH INFORMATION LEGISLATION**

Members viewed a report from the Head of Information Governance on compliance with information legislation.

**Resolved:** to note the update.

11. **HEALTH, SAFETY & WELFARE SUB-COMMITTEE**

The Committee considered the minutes from the meeting of the Health, Safety & Welfare Sub-Committee on 2 May 2017. Members commented on the importance of carrying out desktop exercise to test procedures in the event of emergencies or major incidents. It was noted that this would be incorporated into ongoing work in business continuity planning.

**Resolved:** to note the minutes.

12. **ANY OTHER BUSINESS**

Ransomware

The University Secretary tabled a short report from the Director of IT in light of incidents of ransomware in recent days.

Discussion focussed on incident and crisis planning, and it was noted that this would be encompassed in ongoing work on business continuity. Members noted that the risk appetite discussions planned for the Court Retreat would further ensure oversight of this kind of risk. The Committee questioned whether a ransomware strategy would be beneficial to the University and acknowledged that there was also potentially a risk from moral hackers.

**Resolved:** to note the update.

13. **DATE OF NEXT MEETING**

**Resolved:** the next meeting would be held on Tuesday 19 September 2017.

## Risk Management Policy

### 1. Overview

- 1.1 Risk is the possibility that an action, event or set of circumstances will have an impact on the University's ability to achieve its objectives. Risk management is the process by which the institution attempts to minimise the likelihood of a risk materialising whilst ensuring that steps are in place to mitigate the impact of the risk should it occur.
- 1.2 In delivering its strategy, the University of Dundee recognises that there will be risks involved and sets out its policy on the identification and management of risks that it faces in achieving its objectives. The University is committed to effective risk management which will increase the probability of successful outcomes whilst protecting the sustainability of the University.
- 1.3 The purpose of this policy is not to eliminate risk altogether, but rather to seek to prevent or mitigate those risks that the University deems unacceptable in the context of its prevailing risk appetite in the area concerned. Its aims are to ensure that risk is taken into account in the development and delivery of the University's activities, including risk analysis, the development of actions to manage risks, and to monitor, review and evaluate such activity.

### 2. Who this policy applies to

- 2.1 This Policy extends to all of the University's activities and operations.

### 3. Policy Statement

- 3.1 The University of Dundee aims to:
  - Ensure that the achievement of the objectives of the University of Dundee is not negatively impacted by significant risks that have not been anticipated;
  - Ensure the achievement of objectives and have in place reliable contingency plans to deal with unexpected risks;
  - Promote an innovative and less risk-averse culture in which the taking of risks within the University's risk appetite range in pursuit of opportunities is encouraged and supported;
  - Embed risk management into decision making processes.
- 3.2 The University of Dundee will have an established framework for identifying and managing risks, a tool of which will be risk registers.
- 3.3 Risk registers allow for clear oversight of risks so that should a risk come to pass, it can be managed. The collation of risk registers relating to individual risks helps the University decide which risks it is able and unable to tolerate, and inform decisions on what activities to proceed with.
- 3.4 Risks must be assessed in relation to the likelihood of their occurrence and their potential impact on the achievement of operational objectives.
- 3.5 The University of Dundee recognises that risk appetite and tolerance varies according to the activity and that its acceptance of risk is subject to ensuring that the potential benefits and risks are clearly identified and that measures to mitigate risk are established before activities are approved.
- 3.6 The University aims to minimise its exposure to compliance, reputation and health & safety risk, while encouraging and accepting a degree of risk in pursuit of its vision and strategic objectives.
- 3.7 Where the risk is unacceptably high and inevitable, a plan must be developed to mitigate the risk. These risks must be monitored and reported on.

### 4. Responsibilities

- 4.1 The University is responsible for issuing relevant procedures and guidance for the implementation of effective risk management.
- 4.2 The University will engender and sustain a culture of risk management throughout the University.



- 4.3 University management has prime responsibility for establishing robust strategic risk management processes, and the Court has overall responsibility for overseeing it. In accordance with accepted best practice, the Court has delegated responsibility for the oversight of risk management processes to the Audit Committee.
- 4.4 The Institutional Risk Register will be reviewed by the Professional Services Group, University Executive Group, Audit Committee and Court at least twice a year.
- 4.5 Employees of the University must understand the nature of risk and accept responsibility for managing the risks associated with their area of authority.
- 4.6 Risks associated with projects (including, for example, capital building or other infrastructure projects, collaboration and partnership agreements, business improvement, IT projects, etc.) will be examined as an integral part of the authorisation and project management processes.

#### Risk Management Oversight Group

- 4.7 There will be a Risk Management Oversight Group.
- 4.8 The Risk Management Oversight Group will monitor the University's performance in identifying, assessing, prioritising and preventing key risks related to all aspects of the University's activities.
- 4.9 The Risk Management Oversight Group will oversee institutional risk management and also risk management at a Directorate/School level.
- 4.10 The Risk Management Oversight Group will meet twice a year as a minimum requirement, but additional meetings will be arranged as and when required. It will report to the University Executive Group, and its minutes shall also be shared with the Audit Committee.

The remit of the Risk Oversight Group will be to:

- i. Identify high-level strategic risks affecting or likely to affect the University as a whole;
- ii. Monitor performance at an institutional level and at the level of individual Schools and Directorates in identifying, evaluating and mitigating (or eliminating) key risks related to all aspect of the University's activities;
- iii. Review actions plans for risks where the risk is deemed to be outside the risk appetite;
- iv. Ensure that there are adequate and effective plans across the University for crisis management, disaster recovery and business continuity;
- v. Advise the Audit Committee and Court in relation to institutional risk appetite.

The membership of the Risk Management Oversight Group will comprise:

- i. The University Secretary (Convener);
- ii. Director of Academic & Corporate Governance;
- iii. Vice-Principal;
- iv. Nominee to represent School Managers;
- v. Nominee to represent School Deans;
- vi. Finance Manager (Insurance);
- vii. Director of Legal;
- viii. Director of Estates & Buildings;
- ix. Director of IT;
- x. Head of Safety Services;
- xi. Assistant Policy Officer (Risk & Audit) (Clerk to Committee).]

#### Academic & Corporate Governance

The Directorate of Academic & Corporate Governance will coordinate risk management activity, and specifically will:

- i. Champion the aims of the Risk Management Strategy;
- ii. Develop standardised procedures for identifying, evaluating and reporting on key risks;
- iii. Maintain and update an institutional risk register.

#### Deans, School Managers and Directors

- 4.11 The University's Schools and Directorates must have risk registers in place and these must be reviewed regularly. Deans, School Managers and Directors of Professional Services will take devolved responsibility for:

- i. Identifying key risks associated with their particular activities;
- ii. Assessing the threat posed by each risk;
- iii. Defining and implementing the steps required to minimise or prevent risk;
- iv. Identifying areas where disaster recovery and business continuity plans are required, and developing and maintaining such plans;
- v. Reporting on the above.

5. Further Information

[University of Dundee - Guidance on Managing a Crisis](#)

[University of Dundee - Policy on Business Continuity Management](#)

[University of Dundee - Risk Management Webpage](#)

6. Document Information

<b>Document Name</b>	Risk Management Policy
<b>Status</b>	Pending
<b>Responsible officer/department/school</b>	ACG
<b>Policy owner</b>	Audit Committee
<b>Date last approved</b>	
<b>Due for renewal</b>	2019
<b>Information classification: public/internal</b>	Public
<b>Location in repository</b>	Court
<b>Approval route and history</b>	
<b>Code</b>	

## APPENDIX 5

### PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE (Minute 91(4))

Present: Shirley Campbell (Convener);  
Anne Anderson;  
Dr William Boyd;  
Professor Stuart Cross;  
Professor Tim Kelly;  
Dr Alison Reeves;  
Denis Taylor

In Attendance: Professor Nic Beech Vice-Principal (Academic Planning & Performance);  
Gillian Jones Human Resources Officer;  
Dr Jim McGeorge University Secretary;  
Pamela Milne Director of Human Resources and Organisational Development;  
Julie Strachan Deputy Director of Human Resources and Organisational Development;  
Dr Liz Rogers Assistant Policy Officer (Risk and Audit);  
Ajit Trivedi Head of Equality & Diversity (items 1-4 and 7)

Apologies: Karen Reid

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting on 24 January 2017.

#### 2. MATTERS ARISING

##### (1) Action Log

The Committee considered a log of Committee actions ongoing from 2016. Members were content that the log offered a comprehensive record of outstanding actions and also noted progress updates.

**Resolved:** to approve the People & Organisational Development Committee action log as presented.

##### (2) OSaR Report

The Director of Human Resources & Organisational Development provided the Committee with an update on OSaR completion rates in the Schools of Humanities and Life Sciences for the academic year 2015/16. It was confirmed that completion rates in the School of Humanities had been lower than expected due to the strategic review project, which involved one third of staff in this school, but that the Dean and School Manager had indicated that completion rates were on track for 2016/17.

In relation to Life Sciences, the Director of Human Resources & Organisational Development informed members that she suspected research assistants were most at risk of being missed, and that she had spoken with the Dean and School Manager of the School who were both committed to improving completion rates. It was also noted that the implementation of the new Business Transformation systems would lead to better recording of data, and more accurate information on OSaR completion rates.

**Resolved:** to note the update.

#### 3. COMMITTEE OPERATIONS

At the meeting on 31 October 2016, members had agreed that it would be beneficial to remind themselves of the Terms of Reference and Remit for the Committee at each meeting. Members noted that this was useful, particularly in terms of the new University Strategy.

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

#### 4. CONVENER'S REPORT

The Convener reported that she had spoken with the Chair of Court since the last meeting and had attended the usual pre-meeting with officers. The Convener discussed the different interplays and interfaces between Committees of Court, and spoke about developing further clarity regarding which Committee has accountability for certain aspects of the Court's work. The Convener stated that it was important to ensure that matters discussed at the People & Organisational Development Committee (such as 'people' risks) which related to the business of other Committees of Court were referred to those committees.

It was noted that a review of risk management across the University was ongoing, and that there would be the opportunity to further engage with this at the Court Retreat.

**Resolved:** to note the update.

#### 5. PEOPLE STRATEGY

##### (1) People Strategy 2017

The Director of Human Resources & Organisational Development introduced the key performance indicator report for the People Strategy 2017. Members were reminded that the strategy referred back to the staff survey, equal pay audit results and the uptake of equality & diversity training.

The Committee's discussions mainly focused on the issue of ensuring appropriate systems of recognition and reward for staff in Professional Services. It was noted that HERA was currently suspended due to the high levels of organisational changes taking place across Professional Services in both Schools and Directorates and that consideration would be given to its reinstatement in due course. The Committee noted that the unions were being consulted on organisational change proposals, including the re-grading of posts as a result of restructuring.

Members were pleased to note that the University had maintained its Bronze award for Athena SWAN.

**Resolved:** to note the update.

##### (2) People Strategy 2022

Members viewed an early draft People Strategy 2022 which was being developed as an action plan in parallel with the new University Strategy to 2022. There was some discussion on the phrase 'world class talent' and the need to ensure that this did not make staff in certain kinds of roles feel excluded, as well as on the importance of communicating the document effectively once finalised.

Thereafter members welcomed the progress made and encouraged officers to continue to develop the document taking into account their feedback.

**Resolved:** (i) to provide any comments and feedback to the Director of Human Resources to assist with the further drafting of the document; and

(ii) to note the update.

#### 6. ENGAGEMENT

##### (1) Change and Communication Strategy

The Committee was provided with an update on the Change and Communication Strategy for Business Transformation. Members learnt that stakeholder groups were in place and that change champions had been identified and that two meetings with these groups had so far taken place. Members noted that the ADKAR model was being used, and commented that this was a very good model for change but that training on using the model would be beneficial. It was noted that no academics had come forwards to become change champions, and that further work was being done in that respect.

Members noted the importance of continuing to enhance the approach to communication as the programme rolled out and to place the emphasis on a positive tone.

**Resolved:** to note the update.

(2) Staff Survey

The Director of Human Resources & Organisational Development provided the Committee with an update on the staff survey. Key updates included: the UEG team review, a staff survey that would be carried out by Unite (the results of which Unite had agreed to share), and the use of the HSE wellbeing survey in the School of Education & Social Work and in the School of Humanities.

**Resolved:** to note the update.

7. **DIVERSITY AND INCLUSION**

The Head of Equality & Diversity attended to discuss the Public Sector Equality Duties. The Committee viewed: an executive summary of activity; the Mainstreaming Report 2017; the Equality Outcome Plan Progress Report; Equality Staff Data April 2017; and the Equal Pay Statement 2017 with the Gender Pay Report. The Head of Equality & Diversity discussed outcomes and progress made towards meeting the 2013 objectives, and explained how this had informed the 2017 report. Particular advances included the introduction of the new equality and diversity framework and the appointment of equality and diversity coordinators in each of the Schools and in Professional Services. It was noted that the agenda was now much broader than just looking at single equality characteristics. The Head of Equality & Diversity discussed the four main objectives with members and explained how these would tie in with external impacts, such as the Higher Education Academy curriculum framework (due to be made public in June 2017).

Discussion focussed on how the impact of this could be measured. The Committee discussed the possibility of using completion rates for training as a measure of success, or using the questions within the staff survey. The Committee stressed the importance of being able to evidence progress.

The Committee discussed the gender pay report and noted the gap in favour of male staff at grade 10, asking that further analysis on this be brought to their next meeting. Members noted that the next equal pay audit would be carried out in April 2018. The Director of Human Resources & Organisational Development confirmed that the University used the HERA job evaluation methodology to ensure equal pay for work of equal value.

Members also questioned whether mandatory training on unconscious bias would be beneficial. The Head of Equality & Diversity stated that all equality and diversity modules were due for review, and as such, this could be considered. It was noted that training was also available to students on MyDundee and that DUSA was working proactively to ensure that students were aware of how to report issues such as sexual harassment.

**Resolved:** (i) to approve the submission; and  
(ii) to provide more information on the gender pay gap in relation to grade 10 staff at the next Committee meeting.

8. **HEALTH, SAFETY AND WELLBEING**(1) Report on staff wellbeing and absence management

The Deputy Director of Human Resources & Organisational Development provided the Committee with a report on staff wellbeing and absence management. Members noted that this report was a starting point in work being undertaken by Human Resources to support effective absence management in Schools and Directorates.

Members were advised that there was likely to be underreporting of absences (particularly amongst academic members of staff) and noted that the nature of work could often influence how long an individual was signed off for. The Committee noted that it would be possible to undertake further benchmarking of the data in due course.

**Resolved:** (i) to ask officers to consider an appropriate frequency for a more regular report on absence; and  
(ii) to note the update.

9. **TALENT ATTRACTION**

(1) Annual Recruitment Report

The Deputy Director of Human Resources & Organisational Development provided the Committee with an update on staff recruitment. Members noted that, despite Brexit, recruitment of EU had increased slightly over the period. Members learnt that work was ongoing with External Relations on enhancing employer branding and engagement for staff recruitment purposes and that the Head of Equality & Diversity was also looking at equality characteristics in regard to recruitment.

**Resolved:** to note the update.

10. **ORGANISATIONAL CHANGE AND STRATEGIC PROJECTS**

(1) Business Transformation

The Committee was provided with an update on the implementation of the new Business Transformation system in Human Resources and Payroll. Members noted that the project was in the design phase, and that the target for implementation (1 October 2017) was currently on schedule but subject to revision depending on the feedback TechOne received from Human Resources on the Solution Design Documentation. Members noted that a timeline for the project was available on BOX and that the Audit Committee were keeping track of Business Transformation progress.

**Resolved:** to note the update.

(2) Other Strategic Projects

The Deputy Director of Human Resources & Organisational Development updated the Committee on strategic projects. Members noted that the project in the School of Medicine was coming to the end of Phase 1 and that whilst a small number of staff had been displaced, the Director was hopeful that all would be redeployed. Phase 2 of the project had merged with the Biomedical Sciences project, and the Vice-Principal (Research) was leading on this. Regarding the project in Campus Services, it was noted that it was on track, with the transfer of certain groups of staff onto the HERA framework being a key target. The Committee noted that Human Resources were working closely with the campus unions on these projects.

**Resolved:** to note the update.

11. **HIGHER EDUCATION GOVERNANCE (SCOTLAND) ACT 2016 AND ORDINANCE 59**

The Committee viewed the revised version of Ordinance 59, drafted by the Director of Academic & Corporate Governance. Members noted that the Ordinance had been developed in order to have in place a process to handle cases where an individual felt that their academic freedom had been adversely affected.

**Resolved:** for its part, to endorse Ordinance 59 to Court for approval.

12. **REVIEW OF EFFECTIVENESS**

Members viewed a summary of responses to the survey for the People & Organisational Development Committee. The survey had been distributed as part of the Court Review of Effectiveness. Members discussed the Committee's effectiveness and stated that they felt an extra meeting a year would be beneficial from a practical point of view, but also to ensure that staffing and people issues had greater profile at Court. The Convener stated that she was happy to work with the Chair of Court to help achieve these aims and to ensure that issues arising from the Committee were appropriately flagged for discussion at Court. Members were invited to provide any further comments they had to the Assistant Policy Officer (Risk & Audit) in advance of June Court.

**Resolved:** (i) to arrange an additional meeting in the next academic year; and  
(ii) to note the update.

**13. COMMITTEE REPORTS****(1) Early Dispute Resolution**

The Committee viewed a report from the Lead Mediator which provided members with information on the progress of the Early Dispute Resolution team. Of note was the recruitment of 4 new mediator candidates for training, the new Development Model for groups/teams, and plans for the 10 year anniversary event on 20 September 2018.

**Resolved:** to note the update.

**(2) Staffing Profile update**

The Committee noted for information an update on the current staffing profile of the University, which was provided on a 'snapshot' basis as context for each of its meetings. Members noted that trend data on staffing levels was provided in a detailed report to the Committee on an annual basis.

**Resolved:** to note update.

**(3) Equality & Diversity Committee**

The Committee viewed the minutes of the Equality & Diversity Committee meeting on 19 April 2017.

**Resolved:** to note the minutes.

**(4) Health, Safety & Welfare Committee**

The Committee viewed the minutes of the Health, Safety & Wellbeing Committee meeting on 2 May 2017.

**Resolved:** to note the minutes.

**(5) Local Joint Committee**

The Committee viewed the minutes of the Local Joint Committee meeting on 28 April 2017.

**Resolved:** to note the minutes.

**14. ANY OTHER BUSINESS****(1) Recruitment**

The Committee noted an issue raised by a member in relation to possible equality issues raised by policy initiatives to recruit MD20 and MD40 students, which it was agreed would be referred to the Audit Committee.

**Resolved:** to note the update.

**15. DATE OF NEXT MEETING**

**Resolved:** the next meeting would be held on Wednesday 27 September 2017.

## APPENDIX 6

### COMMUNICATIONS FROM THE SENATUS ACADEMIS (Minute 95)

#### 1. PRINCIPAL'S REPORT

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

The Principal introduced his Report by welcoming newly elected members of Senate from Schools and Staff Council.

He also drew attention to sustained improvements in the University's league position in all of the major compilations that had been published in recent months.

Senate was asked to note the progress made in its Effectiveness Review and to thank Janice Aitken (School of Art & Design) for agreeing to lead the Review Group.

#### University Strategy to 2022

Moving to other aspects of his Report, the Principal explained that Senate had been provided with the most recent iteration of the University Strategy to 2022 document in advance of its submission to Court on June 5<sup>th</sup> 2017. Senate agreed that although members had had a number of opportunities to contribute to the development of the Strategy it was important that they should have a chance to consider the final version for feedback.

Members discussed the opening section of the Strategy document and there was general agreement that the University's achievements and ambitions were set out in a way that emphasised what was unique and distinctive about the institution.

Other members of Senate observed that the global impact of the University's research might be emphasised more in the themes identified in the strategy. The inclusion of life-enhancing creativity and design as part of the thematic approach was welcomed given the focus of the transformation agenda underpinning the strategy.

Professor Tim Newman (Vice-Principal Research & Knowledge Exchange) explained that the themes had been articulated in the context of large shifts in the research landscape that required a clear demonstration of capacity to deliver high-impact research but did not seek to narrow the research agenda of the University.

The Principal reflected on the primary purpose of the document to inspire and guide the work of the University and explained that it should also be adaptable to the needs of other audiences both internal and external. He thanked members for their contributions to the development of the Strategy.

The Principal concluded discussion of his Report by thanking the outgoing Students' Association representatives for their valued contribution to Senate and the wider University community.

- The Senatus decided:**
- (i) to endorse to Court the final draft of the University Strategy to 2022 document;
  - (ii) to record a note of thanks to staff and students participating in local and national democratic processes; and
  - (iii) to note the Principal's Report.

#### 2. UNIVERSITY COURT

The Senatus received a communication from the Court meeting held on 18 April 2017.

**The Senatus decided:** to note the report.

#### 3. BUDGET PLANNING & REVIEW

Professor Nic Beech (Vice-Principal Academic Planning) gave a presentation on recent budget and planning meetings with Schools and Directorates.



In his presentation the Vice-Principal emphasised that the planning and budgeting process involved levels of interacting complexity that needed sustained focus and engagement of those involved. He thanked Deans, Directors, School Managers and the Planning Team for helping to provide this focus. He explained that internal ambitions and external constraints needed to be balanced and that some of these constraints, while having the potential for significant impact, were not always within the University's control.

Senate noted that the budgeting process worked best when the individual expertise of a variety of staff could be brought together and focused on risks and opportunities. The Vice-Principal explained that the process had been based around clearly timetabled and defined agendas in order to improve consistency and accuracy while at the same time offering opportunities for creativity and increased transparency.

Members of Senate discussed the financial performance in the current year and how this might lead to a growing confidence of financial recovery and future sustainability. It was noted that decisions had been taken in the knowledge that a controlled level of planned deficit in the short term would enable continued resourcing and investment for projects and programmes that would deliver growth in the medium term. Professor Beech agreed that greater confidence around budgets and financial performance would be provided by the development of shared and realistic expectations on delivery.

The Principal reflected on the significant culture change and that had been required to improve the budget and planning process. He noted that while the approach had delivered in a number of areas to produce a better than expected position against budget in the current year there was still a need to control costs as well as meet targets on growth. Senate noted that the University's plans for sustainable growth and the rationale behind planned deficit had been broadly supported at a recent meeting of the Graduates' Association. Senate also noted the relative health of the institution's cash flow and the indication that current performance had been well within the limits agreed with the University's bankers.

In response to a question, the Principal outlined the important role of Court and its Finance & Policy Committee to provide strategic oversight and ensure that the University's ambitions were supported by a sustainable financial position.

Senate discussed the need to develop operational agility, the wisdom of avoiding over-reliance on a single market for recruiting international students and the benefits of a vibrant and diverse academic community.

On the planning and budget-setting process, members broadly welcomed the approach taken, asked if in subsequent years the process could be started earlier in the year and agreed that improvements in the quality of management data afforded by business transformation developments might help bring the process forward in 2017/18.

**The Senatus decided:** to thank the Vice-Principal for his presentation.

#### 4. **ORDINANCE 59 – ACADEMIC FREEDOM**

The Director of Academic & Corporate Governance introduced a tabled paper that proposed changes to Ordinance 59 dealing with the protection of Academic Freedom. Senate noted that the Ordinance had been approved by Court and Senate six years ago but had not been implemented due to the Review of HE Governance and the subsequent Higher Education Governance (Scotland) Act 2016.

Senate noted additional amendments to the Ordinance that clarified the range of possible outcomes from an Academic Freedom Panel Review.

**The Senatus decided:** subject to the concurrence of Court, to approve amendments to Ordinance 59.

#### 5. **QUALITY & ACADEMIC STANDARDS COMMITTEE**

The Senatus received a Report from the Quality & Academic Standards Committee meeting of 27 March 2017.

**The Senatus decided:** to approve the Report.

#### 6. **LEARNING & TEACHING COMMITTEE**

The Senatus received a Report from the Learning & Teaching Committee meeting of 9 May 2017.

(1) Mitigating Circumstances & Penalties for late submission

Members discussed the Committee's recommendation that Schools implement a clear and consistent process for dealing with students' mitigating circumstances affecting submission of assessments. Members agreed that while retrospective decisions had the potential for causing some students a great deal of anxiety many prospective applications were misconceived and might cause students additional problems in their academic progress.

Senate agreed that each School needed to implement a clear policy approved by the School Board to avoid causing unnecessary anxiety to students. However, members drew attention to the importance of ensuring that students on programmes provided by more than one School were treated in a fair and consistent way by both.

DUSA representatives reported that in some cases students were confused by the different approaches taken, sometimes within the same School or programme. Members agreed that all Schools should avoid ad hoc processes and communicate very clearly with all students.

- The Senatus decided:**
- (i) to ask that the Learning & Teaching Committee seek to bring as much consistency as possible to arrangements and consider making recommendations on processes relating to cross School programmes; and
  - (ii) to ask the Committee to consider how best to monitor compliance with implementation of each School's Policy.

(2) Copyright Audit

Members also noted the planned audit of the University's online learning environments to help ensure full compliance with copyright regulations. Some members expressed a concern that the removal of learning materials might coincide with resit examinations.

Dr Richard Parsons (University Librarian and Director of the Library & Learning Centre) reassured Senate that the audit would be carried out in a supportive and collegial manner and indicated that he was happy to discuss any specific concerns members might have on a case by case basis.

Senate welcomed the partnership approach to be taken and agreed on the importance of effective and unambiguous communication about the need for full compliance with copyright law.

(3) FutureLearn

Senate noted the Committee's consideration of changes to the FutureLearn business model that would include an institutional subscription. Members noted that the University would seek to recoup costs by prioritising modules that had the potential for income generation.

- The Senatus decided:**
- (i) to ask that the Learning & Teaching Committee seek to bring as much consistency as possible to arrangements and consider making recommendations on processes relating to cross-School programmes;
  - (ii) to ask the Committee to consider how best to monitor compliance with implementation of each School's Policy; and
  - (iii) to approve the Report.

7. **INTERNATIONALISATION COMMITTEE**

The Senatus received a Report from the Internationalisation Committee meeting of 9 May 2017.

Wendy Alexander (Vice-Principal Internationalisation) introduced the Report and emphasised the Committee's concentration on developing the University as a uniquely welcoming community for international students, boosting the number of Dundee students taking advantage of international exchange opportunities, expanding in-session English language programmes and the development of an International Summer School.

The Vice-Principal also outlined work to ensure that business programmes aligned to the international market, identification of academic leads for each international collaboration and boosting the University's position in

countries and regions that could support growth in student numbers (i.e. China, Nigeria, India and ASEAN countries). Senate noted that support of the Liberal Arts Programme aimed at the US market would also be a priority for international operations.

Senate noted that the focus for academic activity overseas in support of international student recruitment would be to build contacts with agents in country using existing networks and additional resources in partnership with Oxford International. Members noted recent improvements in the University's approach to marketing on the web and welcomed plans for further development in support of international student recruitment.

The Vice-Principal explained that future expansion of international student numbers at the University would be linked to its ability to maintain and improve its standing in International League Tables as this was an increasingly important consideration for international students and their sponsors.

Members discussed the Key Performance Indicator on student mobility and observed that opportunities for students to undertake shorter periods of study abroad offered by some Schools needed to be included in a full assessment of exchange activity.

Senate noted that work to promote and develop a step change in student mobility opportunities at the University would be taken forward on a technical level by Dr Lesley McLellan (Director of Quality and Academic Standards) and operationally by Dr Kim Dale (Associate Dean International School of Life Sciences). Members welcomed the developments and advised that students needed to be more aware of the proven benefits of study abroad in terms of academic attainment and employability.

**The Senatus decided:** to approve the Report.

#### 8. RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE

The Senatus received a Report from the Research and Knowledge Exchange Committee meeting of 15 May 2017.

Professor Tim Newman (Vice-Principal Research & Knowledge Exchange) introduced the Report by explaining that as he was standing down it was anticipated that a new Vice-Principal would be in place by the end of the calendar year to lead the research community as it prepared for the Research Excellence Framework in 2021.

The Vice-Principal highlighted the Committee's discussions on the second round of annual research reviews that had recently concluded. He thanked those Schools that had taken part in the Reviews and noted that the process had been very positive for both Schools and individual researchers. In response to a question Professor Newman emphasised that the reviews were not designed as "mini-REFs" and that efforts to reassure staff about the holistic and supportive nature of the Reviews would continue.

On the question of REF 2021 methodology, the Vice-Principal explained that the first decisions would be announced by the Higher Education Funding Council for England (HEFCE) in late July 2017 with further information expected in September. Senate noted that the University had already formed a REF Steering Group to help with the University's internal preparations.

Senate noted that full implementation of the Stern Report recommendations continued to pose difficulties and that the Scottish sector would have an opportunity to discuss the issues with HEFCE at a specially convened meeting in June 2017.

Professor Newman congratulated those involved with the healthcare disciplines' Athena Swan bronze award renewal. Members noted that the renewal was a good outcome for the University and would help with any future institutional bid. Senate noted that the level of the renewed award would not have a negative impact on research funding from the National Institute for Health Research.

Senate noted the Committee's consideration of the Global Challenges Research Fund and the related event hosted by the Dundee Interdisciplinary Forum. Senate also noted the development of criteria for research degree supervisor accreditation that would be published in the 2017/18 Research Degrees Quality Code.

**The Senatus decided:** to approve the Report.

#### 9. SUMMARY REPORTS OF SCHOOL BOARDS

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

School of Art & Design

Professor Jeanette Paul highlighted the successful Degree Show and thanked staff from External Relations and other Professional Services on behalf of the school.

School of Humanities

Professor Jim Livesey (Dean of Humanities) congratulated those involved with the successful bid to the Scottish Graduate School for Arts & Humanities to lead the Creative Economy Hub. Senate noted that the wider project aimed to build connections between arts and the cultural economy through collaborative doctoral research projects.

**The Senatus decided:** to approve the Report.

10. **FINANCE AND POLICY COMMITTEE**

The Senatus received a Report of the meeting of the Finance & Policy Committee held on 20th March 2017, for information.

**The Senatus decided:** to not the report.

11. **STAFF COUNCIL – PRINCIPAL'S QUESTION TIME**

The Senatus received the Report of a meeting of the Staff Council held on 24 April 2017 for information.

**The Senatus decided:** to note the report.

12. **ADVISORY GROUP ON APPEALS & COMPLAINTS**

The Senatus received the Report of a meeting of the Advisory Group on Appeals & Complaints held on 23 November 2016, for approval.

**The Senatus decided:** to approve the report.

13. **TERMINATION OF STUDIES (APPEALS) COMMITTEE**

The Senatus received the Report of a meeting of the Termination of Studies (Appeals) Committee held on 10<sup>th</sup> March 2017 for approval.

**The Senatus decided:** to approve the report.

14. **HONORARY DEGREES COMMITTEE**

The Senatus received the Report of a meeting of the Honorary Degree Committee held on 26 April 2017 for approval.

**The Senatus decided:** to approve the report.

15. **UNDERGRADUATE APPEALS COMMITTEE**

The Senatus received the Report of a meeting of the Undergraduate Appeals Committee held on 6<sup>th</sup> April 2017 for approval.

**The Senatus decided:** to approve the report.

16. **PROFESSOR EMERITUS**

**The Senatus decided:** Subject to the concurrence of Court, to confer the title of Professor Emeritus to:

Professor Robert Steele (effective 1 September 2017)  
Professor Irene Leigh

17. **ACADEMIC CEREMONY**

**The Senatus decided:** to approve under Statute 14(3) the nomination of Professor Margaret Smith to preside at an Academic Ceremony of the University to be held in the State of Eritrea in September 2017.

18. **STAFF COUNCIL ELECTIONS**

**The Senatus decided:** (i) to note the Staff Council Election to Court: Phil Welsh elected for a 4 year term from 1 August 2017

(ii) to note the Staff Council Election to Senate: Professor Rami Abboud and Dr Lucina Hackman elected for a 4 year term from 1 August 2017

19. **THE CHANCELLOR'S AWARD FOR OUTSTANDING CONTRIBUTIONS TO TEACHING**

**The Senatus decided:** in warmly congratulating all winners, to ratify the Judging Panel's decision to make an award to Professor Rami Abboud, Professor Mary Modeen and Professor Colin Reid

## APPENDIX 7

### WELFARE AND ETHICAL USE OF ANIMALS COMMITTEE (Minute 97)

A meeting of the Welfare and Ethical Use of Animals Committee was held on 12 April 2017.

Present: The Convener, the Director of Biological Services (DBS), the University Veterinary Surgeon (UVS), four NACWOs, one holder of a Home Office licences and two other Members

In Attendance: The secretary to the DBS, one animal care technician

#### 1. MINUTES OF LAST MEETING

The minutes of the meeting held on 11 January 2017 were approved.

#### 2. MATTERS ARISING

##### (1) Barrier Units

The DBS will provide posters in the resource units and will email users about the policy on declaring exposure to pets at home.

#### 3. EFFICIENT BREEDING OF GENETICALLY ALTERED ANIMALS

The DBS reported that a fairly complete list of “colony managers” had been constructed from enquiries made to project licence-holders.

A proposal to create a standard definition of “surplus animals” was discussed and approved.

##### **Resolved:**

- The DBS to analyse the animal numbers in the return of procedures for 2016 and to circulate the data to the Committee;
- The DBS to send the definition of “surplus animals” to all colony managers, requesting them to compute the proportion of animals falling into this category in the colonies they are responsible for.

#### 4. PROJECT LICENCE APPLICATION

The Committee discussed a project licence application in private, before inviting the applicant to present the proposed work and to answer questions.

##### **Resolved:**

- To approve the application, subject to a number of changes being made to the satisfaction of the DBS and UVS.

#### 5. REPORT FROM THE UNIVERSITY VETERINARY SURGEON (UVS)

Standing agenda item. The UVS reported on a number of matters, some following on from issues raised in her previous report:

- Significant improvements in animal welfare had been achieved in a second bone-marrow chimaera experiment. A combination of measures had most likely contributed, including vigilance as to the weights of animals entering the study, provision of dietary supplements and the delivery of analgesic-dosed jelly for the animals to eat in the immediate post-irradiation period. Early data suggested that there had also been effective reconstitution, i.e. the refinement measures had not interfered with the experimental outcomes, on the contrary they had prevented premature withdrawal of animals from the scientific study.
- A number of scientists had experimented with carprofen jelly for post-operative analgesia and were happy with the outcomes. Further trials of delivering the active agent in the drinking water as an alternative were being planned.

- There were on-going discussions with other veterinary surgeons about the design of an optimal microbiological screening programme for the resource units.
- A form to capture requests to transfer animals between project licences in the University had been designed, in order to ensure legal compliance of such transfers;
- Trials were underway of preparing hepatocytes immediately after an animal had been killed by a Schedule 1 procedure, rather than under terminal anaesthesia (the historical default procedure).
- In a few instances, studies were being set up without all the necessary people being trained in advance. This could put unreasonable pressure on resource unit staff to provide training at short notice and against a very tight deadline. Study plans should indicate such training needs in advance, so that the study start date can be adjusted if necessary to accommodate training.
- There had been unexpected events in a dosing study, but these had been handled very well. A condition 18 report would be sent to the Home Office.

#### 6. **CONCORDAT ON OPENNESS ON ANIMAL RESEARCH IN THE UK**

Standing agenda item. The DBS reported that a route to setting up a publically-accessible website had been identified. Some initial text was in preparation.

The DBS reported on a recent meeting that he and another member of the Committee had had with members of the University's outreach programmes. Those present had agreed that the first outreach "event" should be to lay members of the University Court, prior to engaging with local politicians, schools, etc. A member of this Committee suggested that this initiative should be widened to include those Vice-Principals of the University who might not have a scientific background too.

##### **Resolved:**

- The DBS to engage with the University's Executive Management Team as to how best to deliver background information on why and how the University uses animals in its research programmes.

#### 7. **TRAINING**

Standing agenda item.

- The UVS reported that two training events for project licence-holders have taken place in the current academic session. A further two, using different material, will be delivered in the summer.
- The UVS reported that training for personal licence-holders was delivered in a total of four sessions in February and March. Two further sessions using the same material will be delivered in May. The intention is then to provide different materials for another six sessions (effectively one a month).
- The UVS reported on the successful deployment of cross-facility training on oral gavage, with intra-nasal dosing to be tackled next. The UVS and NACWOs would discuss how best to coordinate such training opportunities across the sites.
- The UVS reported that development of descriptions of directly observed practical skills (DOPS) has started. This will form the basis of a consistent programme for training and assessing competence in common interventions.
- The Committee debated a proposal to enforce a sequence of preparatory training before members of the University attend the mandatory course for personal licence-applicants. All those planning to hold personal licences in the future would first be required to train and be assessed as competent in handling animals. They would then undertake theoretical training in the Schedule 1 killing of animals, and practical training and assessment as competent in at least one method. Only then would their attendance at a training course for personal licence applicants be supported. Those presenting with a certificate of completion of such a training course undertaken elsewhere would have to complete the handling and Schedule 1 training before their applications for personal licences would be supported. The Committee approved the proposal.

##### **Resolved:**

- The DBS to circulate the new training requirements to all relevant Principal Investigators.

#### 8. **REPORT FROM THE DIRECTOR OF BIOLOGICAL SERVICES**

Standing agenda item. The DBS reported that one application for a new project licence had been reviewed by the Committee by email since its last meeting. Four applications for amendments to existing licences had been approved by the full Committee, and another four had been approved via its fast-track procedure. The Committee

had also approved a proposal from an investigator to collaborate on a project which would involve the use of animals in another member state of the EU.

9. **ANY OTHER COMPETENT BUSINESS**

None

10. **DATE OF NEXT MEETING**

The next meeting is due to be held on Monday, 3 July 2017.