

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 30 April 2019.

Present: Ronnie Bowie (in the Chair);
Janice Aitken;
Principal, Professor Andrew Atherton;
Richard Bint;
William Boyd;
Catherine Cavanagh;
Lady Lynda Clark;
Professor Tim Kelly;
Rebecca Leiper;
Bernadette Malone;
Jane Marshall;
Allan Murray;
Dr Alison Reeves;
Dr Jean Robson;
Professor Mairi Scott;
Sofia Skevofylaka (DUSA President);
Jay Surti;
Sharon Sweeney; and
Keith Winter.

In Attendance: Wendy Alexander (Vice-Principal (International));
Claire Glancy (Executive Support Officer);
Professor Lynn Kilbride (Interim Vice-Principal (Education));
Dr Neale Laker (Director of Academic & Corporate Governance);
Dr Jim McGeorge (University Secretary and Chief Operating Officer);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Pam Milne (Director of Human Resources & Organisational Development);
Carol Prokopyszyn (Director of Finance);
Wesley Rennison (Director of Strategic Planning);
Professor John Rowan (Vice-Principal (Research, Knowledge Exchange & Wider Impact));
Dr Liz Rogers (Assistant Policy Officer (Risk & Audit)); and
Thomas Veit (Director of External Relations).

Apologies: Alan Bainbridge;
Lord Provost Ian Borthwick;
Shirley Campbell;
Rumana Kapadia;
Karen Reid; and
Professor Nic Beech (Vice-Principal (Provost)).

Prior to the start of the meeting, as part of a rolling programme of presentations, the Vice-Principal (Research, Knowledge Exchange & Wider Impact) presented an introduction to REF 2021 which outlined the mechanisms/process, implications, and outcomes of previous submissions alongside the approach to maximising institutional outcomes from the 2021 submission.

52. **MINUTES**(1) Minutes of the Meeting of the Court on 26 February 2019

The Court decided: to approve the minutes of the Court meeting on 26 February 2019.

(2) Reserved Business: Minute 36 of the meeting of the Court on 26 February 2019
The University asserts that the paper is exempt from public disclosure and claims exemptions in S.30(b) and 33(1)(b) of the Freedom of Information (Scotland) Act 2002. 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 meeting of the Court.

The Court decided: to approve minute 36 of the Court meeting on 26 February 2019.

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

The Court considered the action log and noted the updates provided. The Chair of Court drew members' attention to the item relating to the composition of the working group overseeing the quinquennial review of the effectiveness of the Court, and the Court endorsed the following membership:

- Dr William Boyd (Chair);
- Janice Aitken;
- Alan Bainbridge; and
- Rumana Kapadia.

Elsewhere on the Log the Court received an update from the Vice-Principal (International) in relation to Joint Education Institute (JEI) and Joint Education Partnership (JEP) opportunities and noted that a further update would be provided in due course.

Finally, the Court formally noted the appointment of Professor Blair Grubb as the Vice-Principal (Education) from 1 August 2019, under powers delegated to the Appointing Committee by the Court at its meeting on 11 November 2018.

- The Court decided:**
- (i) to formally homologate the decision of the Appointing Committee to appoint Professor Blair Grubb as the Vice-Principal (Education) from 1 August 2019;
 - (ii) to endorse the proposed membership for the Working Group overseeing the Quinquennial Review of the Effectiveness of the Court; and
 - (iii) otherwise to note the updates.

54. REF 2021 PREPARATIONS

The Vice-Principal (Research, Knowledge Exchange & Wider Impact) outlined to the Court the University's strategy and preparations for the REF 2021, and in doing-so focussed on actions, initiatives and processes in place to maximise the University's performance. He also highlighted the importance of the REF in terms of reputation and league table rankings as well as REG income, and outlined the University's ambitions for REF 2021. The Court noted in particular the importance of a centrally-managed approach to optimise the submission and ensure that it was representative of the University's quality and standing. The Court went on to consider areas where the Vice-Principal had indicated that performance across output quality, impact and environment submissions could be improved relative to the 2014 REF return and noted the potential impact on the overall GPA performance of improvements in these areas.

The Vice-Principal also highlighted changes to the academic profile of the University by staff contract type since the last REF, and the potential impact of this decreased research intensity on REF 2021 outcomes. In this respect, members were supportive of the longer-term aim of increasing the research intensity to a level comparable to benchmarked competitors. Members also noted the potential for tactical investments to be made before the REF census date to optimise the outcome in 2021. In response to questions the Principal confirmed that cost benefit modelling for such appointments had been undertaken and would be considered by the Planning & Resources Group which reported to the University Executive Group (UEG). The Court noted that it was too early in the process for Court to consider the full range of competing financial demands within the budget, but that the proposed REF appointments would be one element included in the budget presentation to the Finance & Policy Committee in May, and Court in June.

Turning to the future, the Court was pleased to note that the Vice-Principal and UEG were also working toward a longer-term strategy for REF 2028 and beyond.

- The Court decided:**
- (i) to endorse the centralised approach and indicate a low tolerance for difference in practice at a local level;
 - (ii) to support the aspiration that the University seek to achieve a top 30 ranking (by GPA) in REF 2021, and ask that the means by which the University may in future reach a top 20 position be explored;
 - (iii) to note the intention to address the University's research intensity; and
 - (iv) to recognise reputational outputs of the REF as being of as much significance as REG funding outcomes.

55. UNIVERSITY OF DUNDEE SCHOOL OF BUSINESS

[Secretary's note: The Deputy Chair of Court, Bernadette Malone, informed the Court of a family relationship which might be a potential source for a conflict of interest. Members noted that, in this case, there was no conflict of interest in her participation in the item. Rebecca Leiper highlighted her role as School Manager for the School of Social Sciences, and Dr Alison Reeves highlighted her role as an Associate Dean in the School of Social Sciences.]

Prior to considering the item the Vice-Principal (International) showed the Court a recruitment video created for the University of Dundee School of Business (UDSB) and members provided feedback. Members were also pleased to note the involvement of students in the recruitment process for the Dean of the new School. Members noted that a further [video](#) made by students from the School was being finalised and would be made available to members in due course.

The Court went on to consider the paper provided which, building on the paper considered at the meeting of the Court on 26 February 2019, set out the rationale for the establishment of an independent School of Business, and in doing so provided further information in relation to the academic, financial and business planning aspects of the proposed School.

The Court expressed an interest in the vision for the School, and in particular how existing and new staff would make its academic programmes distinctive and competitively attractive. Officers drew members' attention to the existing and proposed range of programme activity and the exceptional growth in UDBS recruitment over recent years. The Principal went on to highlight the vision to create a unique business school based around impact, the strengths of the University and input from leading entrepreneurs. In this respect, the Court recognised the need for this strategy to continue to be developed alongside the appointment of a Dean with strong leadership skills and a proven record.

With regard to staffing, the Court was pleased to hear of the formation and operation of UDSB and School of Social Sciences Planning Groups, and in particular the exemplary level and nature of communication with staff in both areas, led by the Dean and School Manager, and thanked all involved for their engagement.

Turning to space planning and the estate, the officers confirmed that estates proposals would be brought forward as one element of the capital plan which would be submitted to the Finance & Policy Committee and the Court in due course, but that no commitment was being sought from the Court at this time. The Court was, however, satisfied that appropriate preparatory work was being undertaken and agreed that it would be helpful to consider these requirements alongside competing financial demands.

- The Court decided:**
- (i) to approve the rationale as presented;
 - (ii) to note the proposed arrangements for the appointment of a Dean and senior team;
 - (iii) to note UDSB developments to date;
 - (iv) to note and refer to the Senate the academic vision for UDSB and the School of Social Science;
 - (v) to note the plans for people as presented;
 - (vi) to note the plans for Space Planning and Estate matters, further noting that these aspects would be brought for consideration as part of the Estates Strategy and Capital Plan;

- (vii) to approve the business cases for the UDSB and the School of Social Sciences;
- (viii) to note the Risk Register for UDSB, including areas for further development;
- (ix) to note that further updates would be provided to the Court in June in relation to student communications and governance implications; and
- (x) to note and thank members of staff in UDSB and the School of Social Sciences involved in the project for exemplary change management processes and the development of the business plans.

56. **RESERVED BUSINESS: BUSINESS TRANSFORMATION STRATEGIC BRIEFING**

The University asserts that the paper is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and 33(1)(b) of the Freedom of Information (Scotland) Act 2002.

The Court received an update from the University Secretary and the Director of Business Transformation which summarised the outcome of negotiations with the vendor, TechnologyOne (T1), in relation to the delivery of the OneUniversity system and progress in relation to the implementation of the OneUniversity modules. The Court formally noted the final outcome of the legal and commercial negotiations and the revised go-live dates agreed for the implementation of each of the modules. Members also noted that immediate-term contingency plans had been put in place to mitigate risks associated with the delays reported.

The Court also noted that, while maintaining the drive towards successful implementation of the OneUniversity system, work was also being taken forward in relation to the realisation of financial and organisational benefits in line with the original business case approved by the Court. The Court highlighted its expectations that the Finance & Policy Committee would continue to monitor progress in this respect.

The Court decided: to note the update.

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

The Court received a report from the Chair of Court outlining activities undertaken on behalf of the Court and the University since the last meeting of the Court. In introducing his report, the Chair highlighted the importance of enhancing Scottish Government and Scottish Funding Council (SFC) awareness of the University's excellence and building a positive and productive relationship to the benefit of all parties.

The Court decided: to note the report.

58. PRINCIPAL'S REPORT TO COURT

In his regular report to the Court (**appendix 1**) the Principal highlighted strategic priorities, emerging sectoral issues, and internal strategic and operational matters of potential interest to the Court.

The Principal highlighted the recent confirmation from the Scottish Government that for 2020/21 new entrant EU citizens would be charged the same fees and receive the same support as Scottish students for the entirety of their course. The Court also noted the approval of the Joint Education Programme (JEP) between the University and Northeastern University (NEU) China by the Chinese Ministry of Education (MoE), and members agreed that the programme represented an exciting opportunity to collaborate with a world class institution which was well aligned with the University's aspirations. The Principal also updated the Court on the outcome of correspondence with the Scottish Government regarding its decision to limit the recruitment of RUK students to Scottish medical schools in a manner which disproportionately impacted on the University of Dundee. The Court was pleased to note that following representations from the University, an alternative, and fairer model would now be put in place.

Turning to accolades, the Principal highlighted the University's placement as 20th in the World in the Times Higher Education (THE) University Impact Rankings which recognised its achievements in the areas of engagement, knowledge transfer and innovation for societal good. The Court agreed that this illustrated the University's continued strength in impact and innovation. The Court was also pleased to note the University's continued strong performance in the International Student Barometer (IBS), where it was ranked 2nd in the UK and 6th out of 199 institutions on a global scale, with a satisfaction rate of 89.6% among its international students.

The Principal drew members attention to the work undertaken by the University Executive Group (UEG) to develop a strategy to address the University's structural financial deficit position and make progress towards financial sustainability. The Court noted that the University was not unique among Scottish institutions in facing this challenge, that the underlying issue was complex and that its resolution would likely require a combination of growth, productivity, cost management and strategic project strategies. The Court agreed that it should devote time at its meeting in June and at the Court Retreat to ensuring a shared understanding of the scale, causes and nature of the challenge, and to explore the variables and implications of potential structural deficit reduction solutions. Through discussion members noted that the UEG was not advocating any particular solutions at this time and remained fully committed to valuing staff and students as it developed proposals and actions. Members also highlighted the volatility of the environment and associated ongoing uncertainties, including BREXIT and pensions matters, and their potential financial implications for the University.

The Court decided: to note the report.

59. ENHANCING STUDENT EXPERIENCE

The Court received a paper from the Dundee University Students' Association (DUSA) President and University Secretary which summarised the outputs and actions arising from workshops held to explore key areas of the student experience and to identify ways in which the University and DUSA could enhance key strategic aspects of their partnership. The President highlighted actions of particular relevance to the Court including: the promotion of the role of the Court to students and the DUSA Executive; challenging the Court on how it assured itself that student support practices are good; and providing the Court with evidence from students in terms of the University's commitment to student support.

The Court endorsed the actions identified and noted that work would continue to prioritise and develop the action plan for implementation and subsequent monitoring.

The Court decided:

- (i) to commend the report and endorse the actions outlined; and
- (ii) otherwise to await further information on the implementation and monitoring of the identified actions, the approach to which would be communicated to the Court at its next meeting.

60. ELIR OUTCOME – UPDATE

Following on from discussions at the meeting of Court on 26 February 2019, the Court received an update from the Interim Vice-Principal (Education) and the Director of Quality and Academic Standards outlining commendations and recommendations within the ELIR 4 report published by QAA Scotland, and steps taken to address the findings including the development of an action plan. The Court was satisfied that the 'priority' recommendation related to an area where the University was already taking action to enhance practice. Through discussion Court also noted that the Governance & Nominations Committee would continue to receive annual reports from the Director of Quality and Academic Standards.

The Court decided: to note the action plan for addressing the outcome of ELIR 4.

61. CONVENER REPORTS

The Court received reports from the conveners of each of the committees of the Court, highlighting strategically relevant matters considered by the committees for discussion by the Court.

In her report to the Court the Convener of the Audit Committee highlighted reports received from the internal auditors in relation to outward mobility and strategic planning, and the Committee's approval of the terms of reference for an external review of the sourcing phase of the Business Transformation programme. Members' attention was drawn to the Committee's endorsement of the Institutional Risk Register (IRR) (see also minute 66(1)(a)) and the Court noted that the Committee was satisfied that the IRR offered a comprehensive view of the risks faced by the University. The Court was supportive of proposals that in future the relevant sections of the IRR be reviewed by all Court committees before being

submitted to the Audit Committee to ensure that all risks were identified and to give further assurance that the actions being taken were appropriate.

The Convener of the Finance & Policy Committee highlighted the Committee's discussion of matters relating to financial sustainability, and its review of benchmarking information in this area. He also highlighted the work of the University Executive Group (UEG) toward the development of a medium-to-long-term financial plan encompassing financial sustainability, estates and borrowing elements. Finally, he drew members' attention to the reports on student recruitment which remained strong, and the Committee's associated discussions relating to the maintenance of the student experience.

The Convener of the Governance & Nominations Committee drew members' attention to the outcome of the election of the Chair of Court. The Court noted that the Committee was satisfied with the governance of the process and would fully review the process in the context of the experience of other institutions in due course. The Court also endorsed the approach proposed for the search and appointment of lay members of the Court and Audit Committee, and proposals relating to the annual reviews of effectiveness of the Court, its committees and the Chair of Court.

In her report, the Convener of the People & Organisational Development Committee highlighted improvements in OSaR completion rates, targets for future completion rates and the importance the Committee placed on the role of OSaRs in the development of staff. The Court also noted the commendation of the annual Equality Mainstreaming and Outcome Update report and the level of activity in this area since the last report, and the Committee's consideration of the Gender Pay Gap report. The Court also agreed with the Committee's recommendation to approve the revised Health & Safety Policy, subject to amendments to the frequency of the review of the policy, and the Court delegated the final approval of wording in this section to the Committee (see also minute 66(4) below).

The Convener of the Remuneration Committee highlighted the Committee's training session with a remuneration specialist as part of its commitment to self-evaluation and development. Members noted that the session had led to the identification of a number of themes for exploration by the Committee and the People & Organisational Development Committee in the next 12 months. The Court also noted the Committee's review of the process for the appointment of the Principal, which aimed to inform future appointment processes for senior staff.

The Court decided: to thank the conveners for the new reports (approvals are noted in section 66 below).

62. **REPORT FROM THE CHAIR OF THE SENATE**

The Principal, in his capacity as the Chair of the Senate, provided the Court with a report highlighting strategic matters of business which were of particular relevance to the Court. The Court welcomed the new report and noted the Senate's support for the new School of Business (see also minute 55 above) and the importance the Senate placed on enhancing communications in relation to the Business Transformation programme.

The Court decided: to thank the Principal for the update.

63. MEMBERSHIP OF THE SENATE

The Court was advised that elections to the Senate from the schools had concluded, but that no professorial members of the School of Education & Social Work had been available to stand for election. The Court noted the importance of professorial level membership from the School in due course, but that in the interim a proposal would be submitted to the Senate suggesting that it ask the Court to approve, in accordance with Statute 10(1)(i), the appointment of a Reader from the School to the Senate for a period of 1 year to ensure it remained appropriately represented. The Court was supportive of the approach and delegated to the Chair of Court the power to formally approve a request from the Senate in this respect.

The Court decided: to delegate authority to the Chair of Court to formally approve the appointment of a Reader from the School of Education & Social Work to the Senate in accordance with Statute 10(1)(i) for a period of one academic year should such a request be made by the Senate.

64. NARRATIVE FOR THE SENATE

The Court highlighted the following matters for report to the Senate:

- the Court's regular consideration of reports relating to the Business Transformation Programme, and the understanding that communications could now resume following the conclusion of legal and commercial negotiations with the vendor;
- the Court's discussion of the REF 2021 Preparation presentation from the Vice-Principal (Research, Knowledge Exchange & Wider Impact);
- the approval of the rationale and business cases for the University of Dundee School of Business and School of Social Sciences, and the referral to Senate of the academic vision for UDSB and the School of Social Science;
- the report from the Principal and Director of Finance drawing members' attention to the structural financial deficit, and the Court's prioritisation of understanding and exploring the cause of the deficit and how to address it; and
- the conclusion of work by the Dundee University Students' Association (DUSA) President to explore key areas of the student experience and to identify ways in which the University and DUSA could enhance key strategic aspects of their partnership.

The Court decided: to note that the Chair of Court would prepare a report for the Senate.

65. SFC OUTCOME AGREEMENT: AGREEMENT 2019/20 – 2021/22

The Court received the finalised Scottish Funding Council (SFC) Outcome Agreement for 2019/20-2021/22, noting that it had approved in principle an earlier draft.

The Court decided: to approve the Outcome Agreement for 2019/20-2021/22 for submission to the SFC.

66. **COMMITTEE REPORTS**(1) Audit Committee Minutes(a) Minutes of the Committee's Meeting on 5 March 2019

The Court received the minutes of the Committee's meeting on 5 March 2019 (**appendix 2**). The Court's discussion of matters raised by the Committee for the attention of the Court are detailed in the Conveners' Report (Section 61).

The Court decided: (i) to approve the [Institutional Risk Register](#); and
(ii) otherwise, to approve the minutes.

(b) Reserved Business: Minutes 5(1) and 6 of the Meeting on 5 March 2019

The Court received minute 5(1) and 6 of the Committee's meeting on 5 March 2019 (**appendix 3**). The minutes were considered to be reserved business and the University claimed exemptions in sections 30(b), 30(c), 33(1)(b) and 38 of the Freedom of Information (Scotland) Act 2002. The minute will be included as an appendix to the minute of the Court meeting at which its release is approved.

The Court decided: to approve the minutes

(2) Finance & Policy Committee Minutes(a) Minutes of the Committee's Meeting on 26 March 2019

The Court received the minutes of the Committee's meeting on 26 March 2019. The Court's discussion of matters raised by the Committee for the attention of the Court are detailed in the Conveners' Report (Section 61).

The Court decided: to approve the minutes.

(b) Reserved Business: Minute 8 of the Meeting on 26 March 2019

The Court received minute 8 of the meeting of the Finance & Policy Committee on 26 March 2019. The minute was considered to be reserved business and the University claimed exemptions in sections 30(b), 30(c), and 33(1)(b) of the Freedom of Information (Scotland) Act 2002. The minute will be included as an appendix to the minute of the Court meeting at which its release is approved.

The Court decided: to approve the minutes.

(3) Governance & Nominations Committee Minutes

The Court received the minutes of the Committee's meeting on 26 March 2019 (**appendix 4**). The Court's discussion of matters raised by the Committee for the attention of the Court are detailed in the Conveners' Report (Section 61).

- The Court decided:**
- (i) to formally note the outcome of the election of the Chair of Court;
 - (ii) to approve proposals relating to the appointment of lay Court and lay Audit Committee members, including the formation of an Internal Search Committee and to delegate authority to the Governance & Nominations Committee to finalise the membership of this Committee; and
 - (iii) to approve proposals relating to the process for the annual reviews of the effectiveness of the Court, committees of the Court, and the Chair of Court.

(4) People & Organisational Development Committee Minutes

The Court received the minutes of the Committee's meeting on 21 March 2019 (**appendix 5**). The Court's discussion of matters raised by the Committee for the attention of the Court are detailed in the Conveners' Report (Section 61).

- The Court decided:** to approve the minutes.

(5) Remuneration Committee Minutes

The Court received the minutes of the Committee's meeting on 21 March 2019 (**appendix 6**). The Court's discussion of matters raised by the Committee for the attention of the Court are detailed in the Convener Reports (Section 62).

- The Court decided:** to approve the minutes.

67. **REPORT FROM THE MEETING OF THE SENATE**

The Court received a report from the meeting of the Senate on 20 March 2019 (**appendix 7**). Matters of interest highlighted to the Court were discussed under item 62 (above).

- The Court decided:**
- (i) for its part, to approve the academic calendar for 2019/20;
 - (ii) to approve the recommendations concerning the conferment of the title of Professor Emeritus upon Professor Stuart Cross effective from 1 August 2019; and
 - (iii) otherwise, to note the report.

68. STAFF COUNCIL MINUTES

The Court received the minutes of the Staff Council meeting on 27 February 2019.

The Court decided: to note the minutes.

69. ELECTION OUTCOMES

The Court noted the outcomes of elections to the Court as follows:

- Chair of Court: Ronald Bowie, elected in accordance with Statute 9(3) for a period of 3 years, effective from 1 August 2019;
- DUSA President: Josh Connor, nominated to the Court in accordance with Statute 9(1)(i) and Ordinance 66 for a period of 1 year, effective from 1 July 2019;
- Independent Student Member on Court: Rumana Kapadia, nominated to the Court in accordance with Statute 9(1)(i) and Ordinance 66 for a period of 1 year, effective from 1 August 2019; and
- Staff Council, Academic Member: Professor Lynn Kilbride, elected to the Court in accordance with Statute 9(1)(h) and Ordinance 18(2) for a period of 4 years effective from 1 August 2019.

The Court decided: to note the outcome of the elections and congratulate the individuals.

70. STAFF**(1) Professorial and Grade 10 Appointments**

The Court noted the appointment of Professor Blair Grubb as the Vice-Principal (Education) from 1 August 2019.

The Court decided: to note the appointment.

(2) Grievances, Appeals and Hearings

The Court decided: there were no matters to report.

APPENDIX 1

PRINCIPAL'S REPORT (Minute 58)

STRATEGIC PRIORITIES

1. In Autumn 2018, with Court's input, UEG approved key priority actions to support the delivery of the University Strategy to 2022¹. Of these, preparations for REF 2021 and progress with the Business Transformation programme will be discussed at the meeting. Developments in respect of the other priorities are evident within the committee reports and the schedule of UEG Business included in of this report. I would particularly like to highlight the work ongoing to develop comprehensive people strategies for Schools, which will form part of discussion at UEG away day in June where the focus will be on people development and performance. An update on the moratorium on recruitment of Teaching & Scholarship staff has been included in paragraph 15. Further direct updates to Court in respect of the priority actions will be provided as significant progress milestones are reached.

EMERGING SECTORAL ISSUES

Brexit

2. Following the last update to Court, the Brexit Group, chaired by the University Secretary, has been meeting regularly to undertake short and longer-term planning around impact to University business. A pressing issue has been the fee status of EU students beyond the end of this academic year. The Scottish Government has confirmed that for the 2020/21 academic year, EU citizens will be charged the same tuition fees and receive the same fee support as Scottish students for the entirety of their course, even if legal obligations to EU students cease to apply when the UK exits the EU.
3. A coffee afternoon was held for EU staff on 29 March which provided opportunity for networking and for individuals to voice their concerns. A series of communications have been issued to staff and students directing them to up-to-date Brexit information and a legal advice drop-in clinic has been organised for EU staff next month.

SFC Funding

4. The Scottish Funding Council issued their 'Indicative Funding Letter' at the end of February which outlines a large proportion of the grant funding for the academic year 2019/20. Allocations are subject to confirmation in the 'Main Grant Letter' and several components of funding have not yet been announced. However, as was communicated at the last meeting of Court, it is expected that funding for 2019/20 will be lower than 2018/19. Final confirmation of SFC funding allocations is expected in May and a full analysis will be provided to the Court in June alongside the budget.

Augar Review

5. Publication of the UK Government's Review of Post-18 Education and Funding in England (the 'Augar Review') has been delayed. Exact timings for publication are unclear, but as mentioned at the last meeting of Court, it is expected that the review will recommend a reduction in fees in England, with potential implications for Scotland in respect of RUK student fees.

INTERNAL STRATEGIC AND OPERATIONAL MATTERS

Financial Planning and Sustainability

6. Work to develop a strategy to address the University's deficit position and achieve financial sustainability has accelerated over the last two months and was the focus of UEG away day in March. To further drive this work, I have established and chair a Planning & Resource Group which comprises of the University Secretary, Director of Finance, Vice-Principal (Provost) and

Director of Strategic Planning. The Group's remit is to prioritise and monitor major budget decisions and to advise UEG on strategic resource allocation.

¹ These included: developing a clear REF strategy for each School, and the University as a whole, aiming to maximise reputational and financial benefits; delivering the income growth, cost savings and productivity benefits associated with the delivery of Business Transformation and in that context develop a plan or plans for new operating model(s) for Professional Services that better integrate activities across Directorates; developing comprehensive people strategies for Schools which define the projected future staffing establishments for each in relation to absolute numbers, balance of contract types and grade profiles; developing and implementing new Estates and Infrastructure strategies, with an associated future funding strategy to ensure the University can meet its ambitions and growing both income and the net financial contribution from unregulated teaching sources.

7. The University's headline budget for 2019/20 has been developed following a detailed planning round. Schools and Directorates provided initial draft budgets in mid-March which produced an overall shortfall against a target of £2.3 million for Schools and £1.3 million for Directorates. Following a detailed review by the Finance team, and provision of specific targets for Schools and Directorates, the majority of the initial shortfall was recovered (£2.1 million for Schools and £0.5 million for Directorates). Further work is on-going to develop the budget for the next 5 years to underpin our move towards financial sustainability. Focus will be on developing strategies which invest for success and growth and hold down cost. The final budget will be submitted to Court for approval in June.

Appointments

8. **Vice-Principal (Education).** I am pleased to confirm, as announced by email on 4 March, the appointment of Professor Blair Grubb as the new Vice-Principal (Education) in accordance with powers delegated by Court to the appointing Committee on 19 November 2018. Professor Grubb will join the University on 1 August 2019 from the Faculty of Health & Life Sciences at the University of Liverpool where he is currently Associate Pro-Vice Chancellor. He has a strong record of achievement at leading universities and his energy and vision will be critical in bolstering learning, teaching and the wider student experience at the University. Professor Lynn Kilbride will continue as Interim Vice-Principal (Education) until August. She has already made a valuable contribution to the University in the role and I thank her for her hard work.
9. **Chair of Court.** I would like to congratulate Ronnie Bowie on his election as returning Chair of Court to serve for a period of 3 years from 1 August 2019. Ronnie's election was the first in Scotland to be carried out under the new legislation introduced by the Higher Education Governance (Scotland) Act 2016. We are satisfied that the election was managed effectively and that the University continues to set a leading example for Scotland in Governance but have provided feedback on the process to the Scottish Government. An initial lesson's learned review has been considered by the Governance & Nominations Committee and a further review will be undertaken in due course.
10. **Other Court Appointments.** I would like to extend congratulations to Rumana Kapadia who has been re-elected as Court's independent Student Member. I am pleased to announce that Professor Lynn Kilbride, currently interim Vice-Principal (Education), has been elected to the Court by the Staff Council as a successor to Professor Tim Kelly, who I understand has provided valuable insight and guidance during his three-year term at Court. Lynn will serve a 4 year term of office from 1 August 2019.
11. **DUSA President.** Josh Connor has been elected uncontested as the new President of DUSA by the Students' Association. This is following a re-run of the Presidential election in light of the first elected President submitting their resignation. Josh will attend the June meeting of Court in shadow capacity and I look forward to engaging with him over student matters when he takes up position at the beginning of July.

Approval of Joint Education Programme with North Eastern University

12. Court has been rightfully interested in our international activities, and the Vice-Principal (International) will provide a full update to Court later in the year. For now I am pleased to advise that the Joint Education Programme (JEP) between the University of Dundee and Northeastern University (NEU), highlighted in the UEG report to Court on 30 August, has been approved by the Chinese Ministry of Education (MoE). The University was one of only four UK institutions to receive approval from MoE for their submission in the latter half of 2018.

Students will study for three years at NEU in China, and complete their final year at University of Dundee (UoD) where they will be awarded the UoD Bachelor of Engineering (Hons) in Biomedical Engineering. The approved license runs to 2027, with flexibility to renew the agreement beyond this. Recruitment activity is now underway to secure the first student cohort (up to 120 students anticipated) who will begin studies at NEU in September 2019 and UoD in September 2022. Appropriate staffing resource and infrastructure will be allocated based on the actual recruitment of students by NEU and a full 10-year financial plan provided to the Finance & Policy Committee in May 2019.

13. The programme represents an exciting opportunity to collaborate with a world class institution and is well aligned with the University's aspirations for growth and diversification of the student community.

ELIR Outcome.

14. Following receipt of the Outcome and Technical Reports from the QAA Scotland in respect of the Enhancement Led Institutional Review, work is on-going to review and respond to the recommendations made within the reports. A full update on activity since the item was considered by Court in February will be provided by the Vice-Principal (Education) at the meeting.

Recommendations made around our institutional oversight of collaborative activity provide useful guidance and will inform refinement of our existing international collaborations framework. However it is important that we maintain focus

on our own strategic vision and do not compromise our institutional autonomy when determining which projects we wish to pursue. This is especially so because the recommendation refers to a specific issue rather than across all our international collaborations.

Temporary Moratorium on Teaching & Scholarship Staff

15. Last year, a temporary moratorium was placed on recruitment of Teaching & Scholarship (T&S) staff. This followed UEG's review of the University's position as a research-intensive institution after a swing in the balance of T&S:T&R contracts.

Since the moratorium was implemented, work has been ongoing to consider and benchmark the balance of academic staff contract types required to ensure that we can continue to deliver research excellence at levels consistent with sector norms and meet our overall academic ambition in respect of learning, teaching and support. UEG, in collaboration with Deans, have undertaken analysis to understand the individual circumstances of each School, and the Vice-Principal (Research, Knowledge Exchange & Wider Impact) is leading design of an academic staffing investment for REF 2021 which is cognisant of this. At the UEG away day in June, we will make further decisions regarding the performance management framework and workload allocation model for academic staff as part of a broader move to ensure we can deliver our strategy and that the contribution of all staff is valued.

ENGAGEMENT, AWARDS & ACCOLADES

Staff and Student Engagement

16. Communication remains one of my key priorities. Since the last meeting of Court, I spoke at Principal's Questions on 27th February, which provided a valued opportunity to engage in open dialogue with staff around supporting and developing Professional Services staff. I also attended a meeting of the Student Representative Council (SRC), where I was met with challenging and insightful questions on key student matters and I have committed to attend SRC meetings on a regular basis.

I have also carried out visits to Schools and Directorates and expect to complete visits to each area of the University by June. The visits are invaluable in giving a clear sense of staff priorities and aspirations to inform future planning.

Awards and Accolades

17. A list of awards and accolades won by staff and students since the last report to Court is included in **annex 2** and **3**. However I would like to specially mention the following:

- **Times Higher Education University Impact Rankings.** The University of Dundee has placed 20th in the world in the Times Higher Education (THE) University Impact Rankings, which recognises achievements in engagement, knowledge transfer and innovation for societal good. The award highlights Dundee's commitment to transforming society and is testament to the hard work and dedication of staff and students over many years. The full THE University Impact Rankings can be seen at <https://www.timeshighereducation.com/rankings/impact/2019>. We will continue to maintain focus on ensuring that the University is an engaged institution working in partnership to make a positive impact.
- **International Student Barometer.** The results of the Autumn 2018 International Student Barometer Survey show an overall average satisfaction rate of 89.6% among University of Dundee international students, placing the University 2nd in the UK and 6th globally out of a total of 199 participating institutions. Notable areas of success include ranking 3rd globally for satisfaction with overall living and 5th globally for satisfaction with overall support. Areas where satisfaction has decreased from the previous year, such as with the availability of financial support/ bursaries and the cost of accommodation, are being reviewed by the relevant University teams.
- **'Best place in Scotland' accolade for Dundee.** Dundee has been voted the best place to live in Scotland in the Sunday Times 2019 Best Places to Live Guide. Factors considered in the ranking include attractive parks and green spaces, accessible cultural activities, good transport links and a strong sense of community spirit – all areas where Dundee scores high in official statistics. The award is well-deserved recognition of the vibrant and exciting city the University is embedded in.

Principal, Professor Andrew Atherton
22 April 2019

Annex 1: University Executive Group Meetings

The University Executive Group has met formally on 27 February, 13 March, 27 March and 15 April since the last Principal's report to Court. The following items were considered:

1. CORPORATE ISSUES

- Business Transformation
- Development of the Estates Strategy
- Emergency Phone App for Incident Response
- Core Messages for Corporate Communications

2. FINANCIAL ISSUES

- Budget Setting Principles, Planning and Forecast
- Planning & Resource Group
- University Strategic Innovation Fund
- SFC Outcome Agreement Target Setting

3. ACADEMIC MANAGEMENT ISSUES

- REF 2021 Strategy
- Academic Staffing Investment and Strategies
- Enhancement-led Institutional Review
- Doctoral Academy
- University of Dundee Business School
- International Opportunities
- Student Graduation Fees
- Implementation of Workload Allocation Model Software

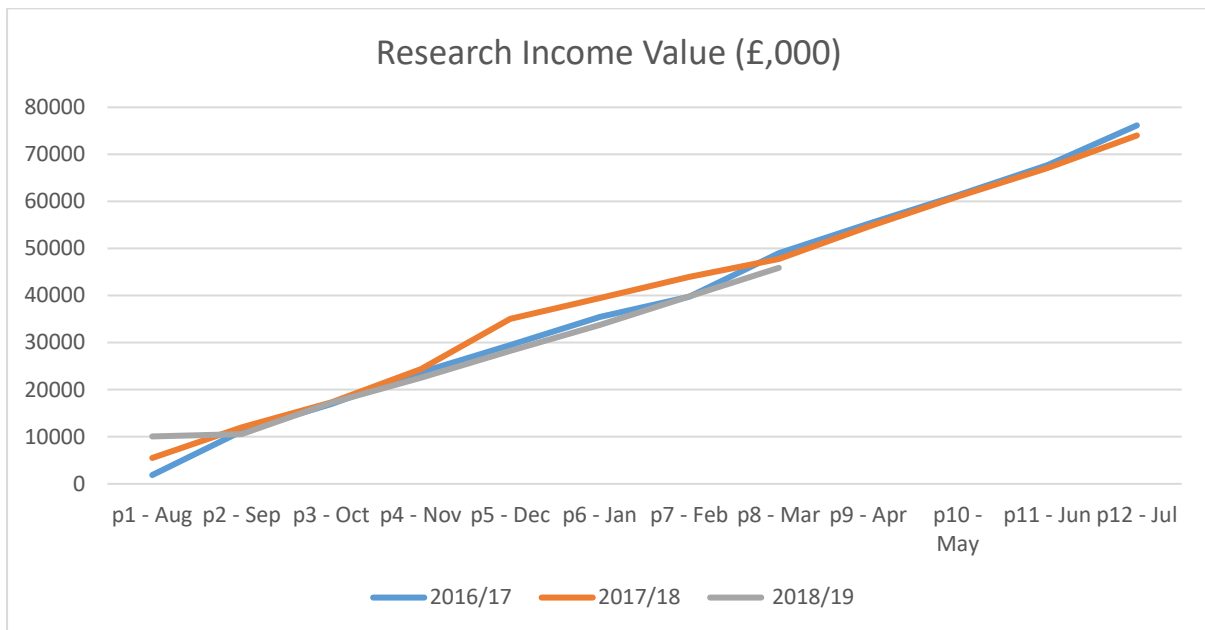
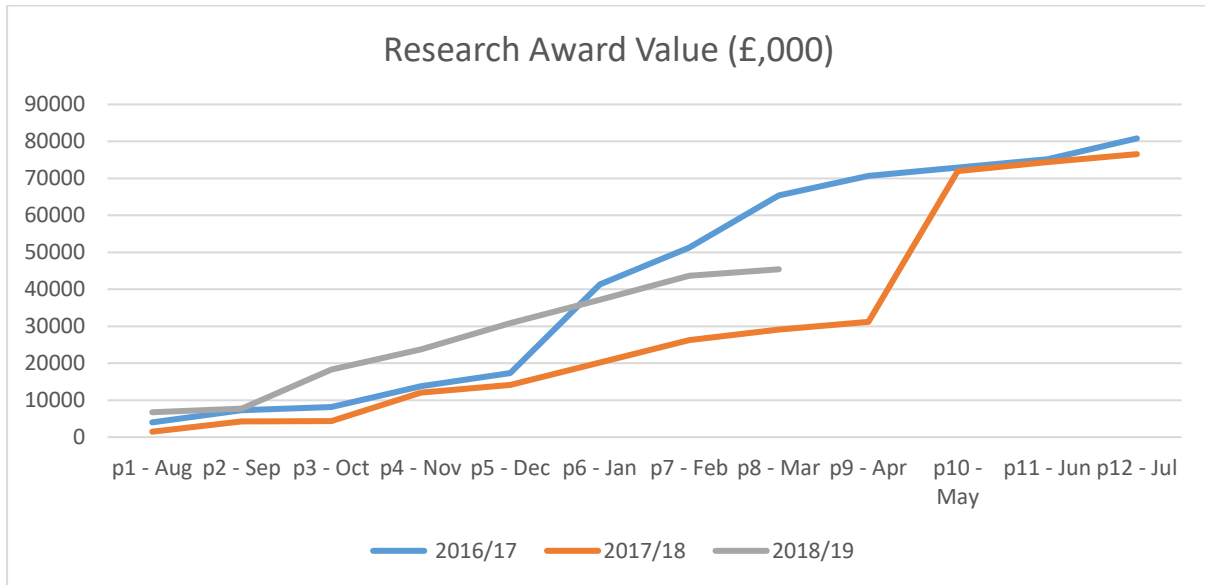
4. HUMAN RESOURCES ISSUES

- Senior Staff Appointments
- Performance Management
- DDU Income Recycling
- Associate Deans: Vacancies and Expectations of Role

Annex 2: Major Grants and Awards

1. OVERVIEW OF RESEARCH & RELATED AWARDS

Since the February report to Court, £8,463,522 of research and related awards have been processed by the University for 59 projects. To provide further context, changes over the last three years in respect of our research related awards and income is outlined in the graphs below:



2. DETAILS OF RESEARCH & RELATED AWARDS

The selection of grants and awards detailed below is intended to showcase the diverse range of research undertaken across the University which is enabled by funding sources that include research councils, charities and industrial sponsors. Please note that any joint awards listed below state the University of Dundee value only.

A. RESEARCH AWARDS >£500,000

- (i) **Dr David Gray (School of Life Sciences)**
Identification of novel Tau Seeding inhibitors

This research is a collaborative project with Takeda, Japan's largest pharmaceutical company, to develop possible new therapeutic treatments for tau pathology, an underlying feature in several forms of neurodegeneration including Alzheimer's disease. Tau pathology occurs when the normal cellular protein, tau, misfolds and forms insoluble fibrils. It is found in the brains of sufferers of more than 20 different neurodegenerative diseases, of which Alzheimer's disease is the most common, and is increasingly thought to be an important driver of disease progression. Recent studies demonstrate that tau pathology can spread from diseased to healthy cells in a "seeding" process, which is the focus of this collaboration. Working with the University of Cambridge and the MRC Laboratory of Molecular Biology, the Drug Discovery Unit has identified drug-like molecules that prevent seeded misfolding of tau. The partnership with Takeda will accelerate the progression of these drug-like molecules towards clinical development, with the potential to become much-needed therapies in diseases where tau is implicated.

- (ii) **Professor TA Owen-Hughes (School of Life Sciences)**
Structure and Function of Chromatin Remodelling ATPases and their Dysfunction in Human Disease
£1,232,837 (including £563,708 overhead) from the Medical Research Council

Human genetics has been transformed by the ability to sequence the genomes of patient populations and has resulted in the identification of new defects that underpin complex diseases such as cancer and autism. More recently, it has been found that defects closely related to chromatin remodelling enzymes are among the most frequently mutated genes in neurological disorders, including autism. This research will apply cryo-electron microscopy to study how the mutations that drive these diseases affect enzyme action. It will also determine how the cell function is affected by these mutant enzymes using engineered cell lines. Working with the Dundee Drug Discovery Unit, research will explore whether compounds that act on these mutant proteins can be developed, with the potential that these compounds could provide a new way of treating affected patients.

- (iii) **Dr E Sammler (School of Medicine)**
Bench-to-Bedside Parkinson's Disease Research: Biomarkers in LRRK2
£533,000 from the Chief Scientist Office

Attempts to slow down or halt the progression of Parkinson's Disease (PD) have been unsuccessful to date. Although the cause of most cases of PD are unknown, the discovery of rare genetic forms of PD has provided great insight into key cellular processes which are at the root of the disease and have led to the development of new treatments. One of the most exciting discoveries is the ability to potentially block the 'faulty LRRK2 gene' (LRRK2 kinase inhibitors). This research project is at the translational interface between the internationally competitive basic science taking place in the MRC Protein Phosphorylation and Ubiquitylation Unit and the clinic. Using human peripheral blood, the research will develop an assay, an investigative procedure that will permit interrogation of LRRK2 kinase activity and downstream cellular processes in people affected by PD. In collaboration with leading PD experts across Europe, the research will utilise the assay to develop a precision medicine approach for PD and discover novel interactors of LRRK2.

B. RESEARCH AWARDS >£100,000<£500,000

Name	Discipline	Project Title	Total Value	Funder
Prof. C Palmer	Population Health and Genomics	SHARE 19-20	£322,000	Chief Scientist Office
Prof. T. G. Hales	Systems Medicine	Establishing the Value of Direct Inhibitory Effects of Local Anaesthetics for Disease Free Survival Following Excision of Colon Tumours	£250,000.00	Thorntons Law LLP

Prof. R Petty	Molecular and Clinical Medicine	Precision Cancer Medicine	£166,000	Ninewells Cancer Campaign
Prof. I. H. Gilbert	Biological Chemistry and Drug Discovery	The In Vitro Translation Assay	£132,005	Medicines for Malaria Venture
Dr. C. Murdoch	Systems Medicine	Investigating the Role of Thiol Modifications in Developing the Preeclampsia Phenotype	£100,000	Tenovus Tayside

C. RESEARCH AWARDS >£50,000<£100,000

Name	Discipline	Project Title	Total Value	Funder
Prof. J. S. Rowan	Social Sciences Office	Post-Doctoral Research Fellowship on Adaption Science (Anna Moss) - extension year 3	£95,000 (including £51,225 overhead)	ClimateXChange
Prof. M. M. K. Muqit	MRC PPU	Antigen and Validation for New pS228 PINK1 and pT257 PINK1 Antibodies at Abcam	£76,552 (including £15,310 overhead)	Michael J Fox Foundation for Parkinsons Research
Prof. J. E. Clarkson	Dentistry	NES - Continuation of Funding - 808262	£54,309	NHS Education for Scotland

Annex 3: People and Prizes

The University of Dundee has entered into a pioneering alliance with Entrepreneurial Scotland (ES) which will help to forge Scotland's next generation of business leaders. The collaboration will build on both organisations' wider strategies to promote start-up and spinout businesses, with the University benefitting from access to a global network of business contacts, along with training and support for the on-campus community. In turn, the move establishes a permanent presence for ES in one of the country's most dynamic economic environments.

Professor Geoff Barton, Professor of Bioinformatics and Head of the Division of Computational Biology and **Professor Victoria Cowling**, Professor of Biology and Deputy Head of the Centre for Gene Regulation and Expression in the School of Life Sciences, have been named new Fellows of the Royal Society of Edinburgh, Scotland's National Academy. They join an existing Fellowship of over 1600 individuals who give their time and expertise for free to support the RSE in delivering its mission of 'knowledge made useful'. Professor Barton's research focuses on the application of computational methods including machine learning in biology and Professor Victoria Cowling investigates how genes are regulated in human health and disease.

Dr Lucina Hackman, from the University's Leverhulme Research Centre for Forensic Science (LRCFS), has won a prestigious Winston Churchill Memorial Trust Travel Fellowship to investigate what lessons UK police and courts can learn from other countries. She will visit both countries later this year to research the different ways in which forensic science is carried out in each, from the way evidence is collected at a crime scene to information provided to jurors to enable them to evaluate evidence.

Professor Ronald Harden, Emeritus Professor of Medical Education at the University of Dundee, has been awarded the prestigious Pioneer in Simulation award recognising his contribution to healthcare. Simulation, well established in the airline industry, has been used increasingly in the education of healthcare professionals to ensure that they have the necessary technical skills and to reduce errors in practice. The Society for Simulation in Healthcare is the leading international body concerned with simulation and the Pioneer accolade is the highest honour it awards

Dr Mattie Christine Pawlowic, based at the Wellcome Centre for Anti-Infectives Research (WCAIR) in Dundee's School of Life Sciences, has won the British Society of Parasitology's President's Medal. The medal is awarded annually to outstanding early career researchers who, as well as having already produced international-quality research, demonstrate the potential to become world leaders in parasitology. The award recognises Dr Pawlowic's research into *Cryptosporidium*. These parasites cause chronic diarrhoea, or cryptosporidiosis, which is estimated to kill 48,000 children under the age of five annually as well as leading to 4.2 million disability adjusted life-years.

Professor Kate Storey, Head of the Division of Cell & Developmental Biology and Chair of Neural Development in the School of Life Sciences at Dundee, has been awarded the Waddington Medal by the British Society for Developmental Biology. The Waddington Medal is the only national award in Developmental Biology and honours outstanding research performance as well as services to the subject community. Research in Professor Storey's laboratory is focused on investigating how cells become different from each other during embryonic development, particularly neural cells in the developing spinal cord.

APPENDIX 2

AUDIT COMMITTEE
(Minute 66)

A meeting of the Committee was held on 5 March 2019.

Present:

Karen Reid (Convener);
Karen Bassett;
Dr William Boyd;
Neil Menzies;
Keith Winter.

In Attendance:

Richard Bint	Convener of Finance & Policy Committee;
Wendy Alexander	Vice-Principal (International);
Dr Neale Laker	Director of Academic & Corporate Governance;
Dr Jim McGeorge	University Secretary;
Carol Prokopyszyn	Director of Finance;
Stephen Reid	Ernst & Young;
Wesley Rennison	Director of Strategic Planning (item 4 (2));
Dr Liz Rogers	(Assistant Policy Officer (Risk & Audit));
Matthew Swann	Scott-Moncrieff;
Nicola MacKenzie	Scott-Moncrieff.

1. **MINUTES**

The Committee reviewed the minutes from the meeting on 22 January 2019.

Resolved: to approve the minutes from the meeting of 22 January 2019.

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

The Committee considered a log of ongoing actions. Members noted that the DUSA business plan would be approved by its Board of Trustees in April 2019 and that an update would be provided at Court if required.

It was agreed that the Convener would discuss the role of the Audit Committee and People & Organisational Development Committee at a forthcoming meeting with the Chair of Court and Committee Conveners. In particular the Convener would raise the issue of overseeing the effectiveness of the process for delivering the University Strategy whilst avoiding duplication of business.

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

3. **CONVENER'S REPORT**

The Convener informed the Committee that the Court had suggested an internal audit on collaborative activity if audit time allowed. However, following discussions with the Director of Finance and University Secretary, she noted that officers had felt it would be more beneficial to use internal audit time to review cash and card handling arrangements. She also reported that she had spoken with the external and internal auditors since the last meeting and had attended the usual pre-meeting with officers. The Committee noted that discussions had focused on matters raised on the agenda and that the Convener would highlight issues from the pre-meeting at the relevant points in the meeting.

Resolved: to note the update.

4. INTERNAL AUDIT

(1) Review of Outward Mobility

The internal auditors introduced the review of Outward Mobility, which focused on the arrangements in place to appropriately manage students' travel abroad for periods of study at other universities. Members noted that the report contained two grade two (moderate risk exposure) recommendations and one grade one (limited risk exposure) recommendation. The internal auditors stated that a lot of good practice had been identified in the review and that the recommendations focused on strengthening already sound arrangements.

The Vice-Principal (International), who had been the audit sponsor for the review, provided an overview of the importance of outward mobility in relation to unregulated income. The Committee noted that outward mobility was considered by the University to be value-added activity, with evidence showing that students who participated often obtained a better class of degree with improved employability prospects.

Discussions focused on reputational risk as well as on the risk of not building sufficient or strong enough collaborations. Members also discussed the QAA report that had been considered by the Court at its meeting on 26 February 2019, with members noting that this related more to the oversight of academic quality assurance aspects than to the issues contained in the internal audit report.

Resolved: to note the report.

(2) Review of Strategic Planning

The internal auditors introduced their report on Strategic Planning, which investigated the processes in place for monitoring and reporting corporate performance and progress in the delivery of the University's strategic objectives. The Committee noted that the report contained five grade three (high risk exposure) recommendations. The internal auditors noted the importance of target-setting and acknowledged progress in the development of a management dashboard. The internal auditors stated that there could be a governance risk if there were further delays to the finalisation of the KPI framework.

The Director of Strategic Planning attended the meeting to respond to the findings in this report. He provided the Committee with an update on the management responses and timescales for actions in response to recommendations in the report and confirmed that a timeline for the completion of the KPI framework itself would be provided to the Court at its meeting on 30 April 2019. Members noted that progress reports on the priority actions would also be considered by the Committee.

Discussions focused on the qualitative nature of the Strategy to 2022, with members noting that a baseline of measures and draft targets would be provided at the May meeting.

Resolved: to consider a baseline of measures and targets at the meeting on 21 May 2019.

(3) Internal Audit Progress Report

The internal auditor introduced the internal audit progress report summarising the audit activity during the year to date. Members noted that reports on Procurement & Tendering, DUSA and, if progress was good, Equality & Diversity would be provided at the May meeting. The Convener reiterated the importance for appropriate planning to ensure sufficient timescales for management responses to internal audit.

Resolved: to note the update.

(4) Management Follow-Up of Internal Audit Recommendations

The Assistant Policy Officer (Risk & Audit) introduced a report outlining the management status of recommendations from internal audit work. The report provided an update on all recommendations, including those not yet due, and provided more detailed information on the small number of grade four (very high risk exposure) recommendations.

Members noted that the report had been provided to assure the Committee that officers across the University were held to account in progressing recommendations assigned to them in internal audit

reports. The Committee agreed that recommendations marked as 'largely complete' and 'superseded' could now be signed-off due to their age and relevance. The Committee was also content to sign offgrade one and two recommendations marked as 'complete' provided the internal auditors carried out confirmation testing on a small sample of these during their summer follow-up work.

Resolved: to welcome the significant progress made in closing out recommendations and note the report.

5. BUSINESS TRANSFORMATION

(1) RESERVED BUSINESS: Business Transformation Update

[Secretary's note: The University asserts that this information is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and S.33(1)(b) of the Freedom of information (Scotland) Act 2002].

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.

(2) Business Transformation External Review: Terms of Reference

The Committee considered the terms of reference for the review on Business Transformation to be provided by Ernst & Young. The Committee made several suggestions for areas where the review may place emphasis, including: the level of procurement risk identified, the appropriateness of the governance process, the involvement of PwC (if professionally appropriate), the original analysis underpinning the development of the programme and learning points for the University in taking forward similar kinds of programmes.

Resolved: subject to consideration of the aforementioned issues, to approve the terms of reference.

6. RESERVED BUSINESS: LEGAL RISK REPORT

[Secretary's note: The University asserts that this information is exempt from public disclosure and claims exemptions in S.30(b), 30(c), S.33(1)(b) and 38 of the Freedom of information (Scotland) Act 2002].

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.

Resolved: to note the update.

7. RISK MANAGEMENT AND BUSINESS CONTINUITY

(1) Institutional Risk Register

The Committee reviewed the institutional risk register and heat map [Risk Register](#). Discussions focused on the risks associated with Brexit and more general resilience across the institution. The Committee also explored the risks relating to the proposed new School of Business and the Court's discussion of academic staff contracts and the balance of T&R to T&S contracts in the context of the University's commitment to research intensity and its preparations for REF 2021. Members asked management to consider whether health and safety risks should also be added to the institutional risk register.

Resolved: to note the risk register.

(2) Business Continuity Update

The Assistant Policy Officer (Risk & Audit) provided an update on progress towards the development of a new institutional business continuity plan. The Committee noted that a business capability model would be used to rank institutional priorities for recovery following a major incident and that the plan would take into account changing priorities at different times of the academic year. Members also noted that a new disaster recovery plan had been developed by UoD IT and would be tested later in the month.

Resolved: to note the update.

8. **NARRATIVE FOR COURT**

It was agreed that the Convener's oral report to the Court would include the following: an update on DUSA's business plan; the internal audit review of Outward Mobility; the review of Strategic Planning and plans in relation to finalisation of targets; additional internal audit time to be used on cash and card handling; the completion of internal audit recommendations as noted in the management update report; the Committee's review of the institutional risk register, noting the discussions on REF and Brexit; and the update received on Business Continuity planning.

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

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

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

10. **PRIVATE MEETING WITH OFFICERS**

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

11. **REMUNERATION COMMITTEE**

One member raised an article in the Times Higher Education in relation to financial settlements made to senior staff leaving the employment of UK universities. The University Secretary drew members' attention to the existing controls over such departures as set out in the policies and procedures relating to the work of Court's Remuneration Committee.

12. **TAY CITIES DEAL**

The Convener provided the Committee with an update on the Tay Cities Deal. Members noted that a Joint Committee would have oversight of this project and that the University would be represented on it.

Resolved: to note the update.

13. **TRAC RETURNS 2017/18**

The Committee reviewed the TRAC returns for 2017/18. Discussions focused on research efficiency, with members noting that whilst the University had a deficit on research, analysis had shown that its research – especially in Life Sciences - was extremely efficient. Members also discussed sector-wide financial issues such as fees caps and EU funding.

Resolved: to retrospectively approve the TRAC returns.

14. **RISK MANAGEMENT OVERSIGHT GROUP MINUTES**

The Committee viewed minutes from the Risk Management Oversight Group meeting on 12 February 2019. The Committee was pleased to note that discussions would be taking place on DUSA's business continuity planning.

Resolved: to note the minutes.

15. **DATE OF NEXT MEETING**

Resolved: Tuesday 21 May 2019.

Karen Reid
Convener

APPENDIX 3

FINANCE & POLICY COMMITTEE (Minute 66 (2))

A meeting of the Committee was held on 26 March 2019.

<u>Present:</u>	Richard Bint (Convener); Principal, Professor Andrew Atherton; Alan Bainbridge; Ronald Bowie; Jane Marshall; Allan Murray (items 4-14); Professor Mairi Scott; Sofia Skevofylaka; and Sharon Sweeney.
<u>In Attendance:</u>	Professor Nic Beech (Vice-Principal (Provost)); Rose Jenkins (Director of Campus Services); Ian Leith (Director of Business Transformation)(Item 8); Carol Prokopyszyn (Director of Finance); Dr Jim McGeorge (University Secretary); Dr Christine Milburn (Policy Officer (Corporate Governance)); Wesley Rennison (Director of Strategic Planning); Professor John Rowan (Vice-Principal Research, Knowledge Exchange & Wider Impact); and Allan Tough (Head of Procurement)(item 10).
<u>Apologies:</u>	Karen Reid (Chair, Audit Committee). Dr Neale Laker (Director of Academic & Corporate Governance);

1. MINUTES

Resolved: to approve the minutes of the meeting of 5 February 2019 including reserved minute 9(1).

2. MATTERS ARISING

(1) Action Log

The Committee received the action log for its business. In reviewing the log, the Convener drew members' attention to changes to the timing of a number of items relative to the schedule of business approved by the Committee in October 2018.

With regard to the Tay Cities Deal, the Principal advised that outline business cases for each of the projects were required by 3 May 2019, and would form the basis for the development of full business cases. Members noted that the assessment criteria for the outline business cases had not yet been published and the Principal agreed to update the Committee at its next meeting.

Resolved: to note the updates and otherwise approve the log.

3. FINANCE DIRECTOR'S REPORT

The Committee received a report from the Director of Finance which set out financial benchmarking relative to all HEIs for 2017 and Scottish comparators for 2018. An update was provided on the 2018 TRAC return and the Universities Superannuation Scheme valuation.

The Director summarised the financial benchmarking information provided including information on the deficit position, cash flow generation, research concentration, asset base and surplus position. Members noted the University's low operating cash flow, and the need to balance research strengths, which provide a negative financial

contribution but exceptional reputational benefit, with other forms of income that generate significant net financial contributions. The Director also highlighted the significant gap between the University and the UK sector with regard to the average level of tuition fee income as a percentage of total income. Members were pleased to note that the information presented had been used by the University Executive Group (UEG) to inform planning in respect of financial sustainability, with a focus on increasing net income and reducing costs to enable the University to reach break-even, and subsequently reach a financially sustainable position.

In response to questions relating to growth potential, members noted that the University continued to significantly out-perform the sector with regard to growth in overseas student numbers over recent years, and that there was scope for further growth. The Committee discussed the challenges presented by this growth and was supportive of the UEG's focus on maintaining the quality of the student experience. Members expressed interest in growth potential at a school level and noted that this was the subject of ongoing analysis to inform the University's growth strategy and 5 year financial projections.

Turning to sectoral funding, the Committee noted both the [European University Association Public Funding Observatory Report 2018](#), which had identified a terminal decline in funding to the Scottish HE Sector, and the cuts to public funding for the Scottish HE Sector for 2019/20. In response to questions regarding the reputation of the Scottish HE Sector in light of the report, the Principal highlighted the University's strong performance in the International Student Barometer, where the University was 6th out of 199 universities world-wide (and 2nd in the UK) for student experience, as well as the growth in international student numbers as examples of the strength of the University's reputation.

Resolved: to note the report and await further analysis within the 5-year projections.

4. DEBT FINANCING

The Director of Finance introduced an overview of the debt finance market as it applied to the University. In doing so she highlighted the terms of the current Revolving Credit Facility (RCF) which would expire in May 2021, and advised that the covenants for this facility would allow for a maximum of £50m additional debt. She also provided an overview of the market position and financing options, with preliminary enquiries based on financing an emerging estate strategy proposal of c.£60m strategic capital expenditure over a 5 year period.

The Committee noted that a private placement was the most likely route for securing funding, and the Director outlined both the processes and challenges relating to this option. Through discussion members noted the anticipated servicing cost and the expectation that approval would be sought from the Court in September 2019, before going to market in the autumn.

Resolved: to note the report.

5. REPORT FROM THE DIRECTOR OF ESTATES & CAMPUS SERVICES

The Director of Estates & Campus Services introduced a report which provided a general update on the works of her Directorate, with a specific focus on the strategic budget and projects therein. In the report the Director highlighted considerations relating to the Tay Cities Deal, the new Business School and the Crawford Building, and that the latter two were the subject of the debt financing proposals explored in item 4 (above). Members noted business cases were being developed, but that the rationale for the two projects differed, with the Business School being focused on academic, financial and reputational benefits, and the Crawford Building being more focused on providing a suitable environment for work and study from a reputational and compliance perspective. Through discussion members highlighted the importance of ensuring that funds were reserved ahead of the end of life of buildings, and the Director outlined steps taken by the University to improve the quality and efficiency of the existing estate, and to identify at an early stage any buildings requiring investment or disposal/demolition.

The Committee discussed an indicative programme for the Business School project. In response to questions regarding risks relating to the timeframe and procurement routes detailed, the Director told the Committee that she planned to refine the approach following changes to the budget and timeframes, and that this would be the subject of further discussions with the University Executive Group (UEG). The Director also highlighted the importance of the client and user voice in the design of the building.

The Director highlighted the successful completion of Phase 1 works to develop the teaching facilities in CAHID, and members noted that fundraising to support the Phase 2 development of a visitor centre and public engagement

space was progressing. Members were pleased to note that the External Relations team were also engaged in discussions relating to fundraising for the Business School and Crawford Buildings, and that this would be taken forward once the projects and designs were sufficiently progressed. Finally, the Director drew members' attention to progress in defining the scope of works within the infrastructure budget, which had been informed by discussions with schools and directorates regarding their short, medium and long-term needs.

Resolved: to note the report and await further updates as per the schedule agreed in October 2018.

6. UNIVERSITY STRATEGY TO 2022 – SCHEDULE FOR KPI REVIEW

The Director of Strategic Planning presented an update to the Committee on the cycle for reporting Key Performance Indicator (KPI) information to the Court in the context of wider information reported to Court committees. Members noted that the proposals would be discussed with Court committee Conveners, but that the first formal KPI report to Finance & Policy Committee was scheduled for its next meeting.

Turning to target-setting, the Committee was keen that the process for the setting of targets incorporated feedback from Committees to the University Executive Group prior to their finalisation and approval by the Court.

Resolved: to endorse the process and schedule as set out in the paper.

7. MANAGEMENT ACCOUNTS – QUARTER 2

The Director of Finance presented the 2018/19 Quarter 2 Management Accounts. Members noted the forecast for the full year was a deficit of £5.6m, a positive variance of £1.7m relative to the budget, reflecting successful autumn and January student recruitment rounds together with savings on core staff costs, offset by increases to scholarship expenditure - which were the subject of further analysis.

Turning to the cash forecast, members noted that the cash balance of £40.5m at the start of the year was expected to reduce to £29.3m by the end of the year (£16.7m ahead of budget).

In response to questions, the Director confirmed that the increase to directorate costs was focussed on agents' fees in External Relations reflecting strong student recruitment and associated income growth, and to Student Services to support the student experience and student welfare.

The Committee considered the report on research grant awards to January 2019, and was pleased to note the movement toward RCUK/commercial funders with better levels of Full Economic Costing. The Committee was content to note that the number of grants below £50k was being monitored, but that there was tolerance in the system for smaller grants which were of importance to the culture of the University in certain disciplines.

Resolved: to note the accounts.

8. BUSINESS TRANSFORMATION

(1) RESERVED BUSINESS: Business Transformation Update

[Secretary's note: The University asserts that this information is exempt from public disclosure and claims exemptions in S.30(b), 30(c) and S.33(1)(b) of the Freedom of information (Scotland) Act 2002].

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.

Resolved: to note the update.

(2) RESERVED BUSINESS: Business Transformation Steering Group

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

The Committee received the minutes from the meeting of the Business Transformation Steering Group on 24 January 2019.

Resolved: to note the minutes.

9. STUDENT RECRUITMENT

The Committee received reports detailing the intake position for 2018/19 student recruitment following the January intake. Members noted in particular the exceptional performance with regard to the recruitment of overseas taught post-graduate students (TPG), with matriculations 15% above the budgeted expectation – a 40% rise compared to 2017/18. Through discussion the Committee noted that this performance was linked to the investments made in External Relations focussed on enhanced marketing and applications processing as well as new course development, particularly in business disciplines and that it was important to manage the student experience given the pace of increases to recruitment. The Committee noted the reliance on clearing for RUK recruitment could be attributed to changes in the demographic and the deregulation of student numbers in England (the removal of capped numbers) leading to intense competition. In response to questions the Principal highlighted the need to consider the approach to RUK recruitment on the basis of the financial return, but that the University overall was out-performing the market in student recruitment.

The Committee highlighted the decline in research post-graduate (RPG) numbers outlined in the report. The Vice-Principal (Research, Knowledge Exchange & Wider Impact) outlined the scope for growth in this respect and members noted that the UEG was to consider the business case for the establishment of a Doctoral Academy within the next few weeks.

Turning to the report on application trends for 2019/20 members noted that RUK applications were below those at the same point in 2018, but that undergraduate and TPG overseas applications had continued to show growth. In response to a question, the Director of Strategic Planning undertook to provide clarification regarding the anticipated performance of International College Dundee relative to the business plan.

In light of the substantial growth reported, the Committee noted the importance of maintaining the quality of the student intake. Members noted that the University's entry tariff levels were higher than would be expected from its Times Higher league table position, and that the University set clear minimum academic entry requirements. Members were reassured to note that overseas agents were proactively managed to ensure quality control in this respect. The Principal also highlighted work which was underway to analyse retention and progression data.

Resolved: to note the update.

10. ANNUAL PROCUREMENT REPORT

The Head of Procurement attended the meeting to present the annual procurement report. Members noted that this report supplemented one provided in December which was focussed on legislative requirements, and provided a broader analysis of the activity of the Procurement Team. He drew attention to the spend analysis for 2017/18, highlighting the 'No Purchase Order, No Pay' policy, which would come into full effect with the implementation of the Business Transformation Finance Module and improve efficiencies and controls. He went on to highlight a revised approach to the Single Source Justification process, which had been enhanced to include both a value for money and risk evaluation. Members also noted preparations relating to potential BREXIT outcomes.

Turning to the case studies presented, members noted that 76% of IT spend had been centralised and that this was expected to continue to improve, but that greater benefits were expected to come from leveraging spend with suppliers.

The Committee noted that in 2019/20 the two reports provided in 2018/19 would be merged.

Resolved: to note the report.

11. NARRATIVE FOR COURT

The Committee agreed to highlight to the Court its discussions on financial sustainability, debt financing and the development of the estate. It also agreed to highlight the comprehensive report on student recruitment, the headline figures from the Quarter 2 Management Accounts, and the implementation of the Business Transformation Programme.

Resolved: to highlight the items listed above to the Court for noting.

12. PENSION SUB-GROUP

The Committee received the minutes from the meeting of the Pension Sub-Group on 5 February 2019, at which it had discussed the Universities Superannuation Scheme (USS) 2017 and 2018 valuations and Guaranteed Minimum Pension Ruling (GMPR) implications.

Resolved: to approve the report.

13. DUSA ACCOUNTS

The Committee noted that the Dundee University Students' Association (DUSA) 2017/18 Accounts previously presented to the Committee had been signed by the DUSA Board of Trustees at the DUSA AGM on 13 March 2019, and subsequently by the external auditors, and that a copy of the signed accounts had been uploaded to BOX for information.

Resolved: to note that the 2017/18 Accounts for the Dundee University Students' Association had been signed by the DUSA Board of Trustees and the external auditors.

14. DATE OF NEXT MEETING

Resolved: to note that the next meeting of the Committee would be held at 2.00 pm on 28 May 2019.

Richard S Bint
(Convener)

APPENDIX 4

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 66(3))

A meeting of the Committee was held on 26 March 2019

<u>Present:</u>	Ronald Bowie (Convener); Janice Aitken; Principal, Professor Andrew Atherton; Lady Lynda Clark of Calton; Rumana Kapadia (Items 1-6); Bernadette Malone; Jane Marshall; and Professor Mairi Scott.
<u>In Attendance:</u> (Education));	Professor Lynn Kilbride (Interim Vice-Principal Dr Neale Laker (Director of Academic & Corporate Governance); Dr Jim McGeorge (University Secretary); and Dr Christine Milburn (Policy Officer (Corporate Governance)).

Apologies:

The Committee welcomed Professor Kilbride to her first meeting.

1. **MINUTES**

Resolved: to approve the minutes of the meeting of 5 February 2019.

2. **MATTERS ARISING**

(1) Action Log

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

Resolved: to note the log.

(2) Public Meeting of the Court

The Committee noted that it was important to define the focus of any further event to be held at Holyrood at an early stage and noted that the Principal and Chair of Court would take this forward following an upcoming meeting with the Scottish Government's Director of Advanced Learning and Science.

Resolved: to note the update.

(3) Quinquennial Review of the Effectiveness of the Court

The University Secretary outlined progress with regard to the formation of the Working Group. Members noted that a reminder email would be sent to the Court seeking expressions of interest in serving on the Group and recommended that opportunities to participate via email/SKYPE be highlighted to members.

The Committee was advised that the University Secretary would review suggestions for external facilitators with the Chair of Court and Principal, noting that a former Chair or University Secretary, preferably with experience in the Scottish HE Sector, would be preferable.

Resolved: to note the update.

(4) Completion of Mandatory Training Modules by Court members

The Committee firmly expressed the importance of all members of the Court completing the mandatory training modules and agreed that the Chair/Deputy Chair of Court should discuss instances of non-compliance in their one-to-one annual meetings with members. It was suggested that continued membership of the Court should be contingent on the completion of the modules forthwith.

Resolved: to ask that the Chair of Court update the Committee at its next meeting with regard to members' completion of mandatory training modules.

3. **CONVENER'S UPDATE**

The Convener updated the Committee on his activities and interactions at a sectoral level which were of potential relevance to its business. In doing-so he drew attention to the resignation from Court of Dr Jean Robson and, noting that a key factor in her decision was the level of travel which was required for her to engage fully with the University, the Convener suggested that this issue be considered when appointing candidates.

The Convener informed members of his continued attendance at meetings of the Joint Expert Panel (JEP) in relation to the Universities Superannuation Scheme.

The Convener also outlined business discussed at a recent meeting of the Committee of Scottish Chairs (CSC). In particular he highlighted the UK Government Professional Business Services Council's focus on widening access, and pointed out opportunities for the University to share its knowledge, experience and status as the leading HE Institution in Scotland in this field to the benefit of both the widening access strategy and the reputation of the University.

The Convener went on to highlight that the Chair and the CEO of the Scottish Funding Council (SFC) had attended the CSC meeting, and discussions focussed on the balance of the relationship between the SFC and Scottish Universities. The Committee noted that the longer-term funding outlook was not anticipated to improve, and that the sector would need to seek creative solutions to cuts in its public funding allocation. Members discussed the importance of the Universities Scotland strategy and vision for the future of the HE Sector in the context of robust engagement with the SFC and Scottish Government. Members also discussed the [European University Association Public Funding Observatory Report 2018](#), noting in particular that it identified a continuing decline in funding to the Scottish HE Sector. The Committee went on to consider the role of Outcome Agreements with the SFC, and the level of the University's engagement with Government policies and priorities, but were disappointed to learn that this alignment had not influenced the distribution of funding.

Turning to engagement with the Government, members were pleased to learn of the Principal's programme of active engagement with MPs and MSPs and were supportive of the approach he had taken to influencing the policy agenda in specific areas and raising the profile of the University with politicians at an individual level.

Resolved: to note the report.

4. **ELECTION OF THE CHAIR OF COURT**

The Committee received a report on the outcome and process for the election of the Chair of Court. The paper included an analysis of the election turn-out, along with statistical data relating to applications, shortlisting, and interview as required in Section 3(3) of the Higher Education Governance (Scotland) Act 2016. A summary of attendance at the open meetings and viewing statistics of the live-stream/recordings of the meetings was also provided.

The Convener drew members' attention to the proposal that the scheduled 'lessons learned' exercise be undertaken once other Chair of Court elections across the Scottish HE sector had been completed to provide further context to the analysis and recommendations. Members noted the initial areas identified for consideration, which included: the importance of clear and strong criteria; guidance for, and format of, candidate statements; and the timing of the election. Members questioned whether the duration of the process between interview and election could be shortened in future but recognised that the additional time had been built in to enable a further round of advertising to be undertaken if required.

The Committee confirmed that it was satisfied with the process from a governance perspective, but expressed disappointment that despite considerable efforts to promote the election, the turn out had been low (2.2% overall,

8.3% staff, 0.7% students, and 79.1% Court members). Members agreed that in democratic terms it was arguable whether the requirements of the Act in relation to the election of the Chair provided a satisfactory platform for engagement in and awareness of institutional governance. Members noted that the University was potentially unique in being in a position where the incumbent Chair was standing for election, and that this may have impacted on both the number of applications and voter turn-out, meaning that analysis relative to the sector would be valuable before drawing conclusions.

The Committee also discussed the visibility of the Court and the further use of social media during the process as potential factors for future consideration. It remained members' view, however, that the process set out in the Act was not an improvement on the open and transparent appointment process previously in place at the University.

Resolved: (i) to note the report and provide assurance to the Court regarding the integrity of the process; and

(ii) otherwise to await a further 'lessons learned' report in due course.

5. COURT AND COMMITTEE MEMBERSHIP

The Committee received a paper which set out vacancies arising on the Court in the period to 31 July 2020. Members noted that following the resignation of Dr Jean Robson, there would be a lay Court vacancy arising from 1 August 2019, with a further vacancy arising from 1 August 2020 when Shirley Campbell reached the end of her maximum term of office. Members noted that, depending on the outcome of a renewal process for a further member of the Court, it was possible that a third vacancy could arise from 1 August 2020.

Following discussion, the Committee agreed that the University should undertake a recruitment process with a view to appointing one member from 1 August 2019, and either one or two new members from 1 August 2020 (depending on the outcome of the renewal discussions/process). In this respect members highlighted the benefits of the appointees attending the Court in a shadow capacity until their membership of the Court formally began. The Committee also noted the Court skills matrix and agreed that the University should seek to appoint members with skills and experience aligned to the University's strategic aspiration of being in the top 200 Universities in the world, and that experience/qualifications in the fields of human resources and finance would be particularly beneficial at this time. Turning to the process, the Committee did not wish to use a recruitment agency, but agreed that further to the usual approach (i.e. the advertising of positions through newspapers, web-portals and network contacts) the University should establish an internal search committee to identify and consider potential candidates. The Director of Academic & Corporate Governance undertook to consider the constitution, scope and operation of this internal search committee.

The Committee was also advised of an external co-opted member (non-Court member) vacancy which would arise on the Audit Committee from 1 August 2019. Members noted that in accordance with the terms of reference for the Committee, there was a requirement for an individual with a financial or accounting background to be appointed. The Committee agreed that an appointment should be sought through the same process as for lay members of the Court.

Lastly, the Committee noted the normal process for shortlisting and interview of candidates, including the composition of the interview panel.

Resolved: to recommend that an internal search committee be constituted to take forward the process to identify and interview potential candidates for the lay Court and lay Audit Committee vacancies arising on the Court from 1 August 2019-1 August 2020, noting the strategic outlook and skills which would be particularly desirable.

6. STUDENT ELECTIONS

The Committee received the annual report from the Democratic Support & Policy Co-ordinator at the Dundee University Students' Association detailing the outcomes of DUSA elections which were of relevance to the membership of the Court. The Committee noted the uncontested re-election of Rumana Kapadia as the Independent Student Member of the Court. Members were also advised that the elected DUSA President had subsequently resigned the position, and that a new election process was now being pursued.

Discussions focussed on the resilience of DUSA through periods of change and members agreed that it was important that the University did not compromise the independence of DUSA, but offered support where appropriate – such as through the further enhancement of induction for new executive members.

The Committee was also reminded that DUSA was seeking to appoint a new Chair of its Board of Trustees following the resignation of Denis Taylor and members suggested that the Court be asked to highlight potentially suitable candidates to the DUSA President.

Resolved: to note the outcome of the elections and await a further report regarding the by-election for the DUSA President.

7. EARLY STAGE COURT BUSINESS

The Committee noted the anticipated business for the meeting of the Court on 30 April 2019, and discussions focussed on streamlining the reporting of Business Transformation matters. Through discussion members were reminded of the restrictions which had been in place with regard to reporting during the period of legal negotiations with the vendor, TechnologyOne. The Committee agreed that, on the basis of the scale/importance of the programme, and the resulting level of risk, Court should continue to receive strategic briefings on this matter at regular intervals to ensure that it was kept well-informed, to complement the more detailed operational reports scrutinised by the University Executive Group, and the assurance process undertaken by Court Committees. Members went on to highlight reporting requirements of the Senate in relation to this topic and noted that the Principal would provide a verbal update to its next meeting.

The Chair of Court also proposed changes to the format of the Court agenda, in particular in relation to the communication of the business of the committees, and members were supportive of an approach which enhanced the focus on strategic matters and a limited number of items where the Court was required to discuss matters raised by the Committees.

Resolved: to note the provisional business identified and agree the approach with regard to reporting on Business Transformation and committee business.

8. ANNUAL REVIEWS OF EFFECTIVENESS

The Committee agreed that the processes relating to the annual reviews of the effectiveness of the Court and the committees of Court should be undertaken as part of the Quinquennial Review of the Effectiveness of the Court, owing to the high level of overlap between the processes.

The Committee also agreed that the process, questionnaire and focal areas used for the previous annual review of the effectiveness of the Chair of Court should be used in the 2019 review, with it taking place as usual at the end of the meeting of the Court in June.

Resolved: to endorse to the Court that the annual reviews of the effectiveness of the Court and the committees of Court be undertaken as part of the Quinquennial Review of the Effectiveness of the Court, and that the annual review of the effectiveness of the Chair of Court follow the same process as used in 2018.

9. NARRATIVE TO COURT

The Committee agreed to highlight to the Court: its satisfaction that the process for the election of the Chair of Court had been appropriately governed and managed; its recommendation that the University set up an internal search committee to oversee the appointment of 2 lay Court vacancies and 1 lay (external) Audit Committee vacancy arising by 31 July 2020; and the vacancy arising as the Chair of the Board of Trustees of DUSA.

Resolved: to highlight the matters outlined above to the Court.

10. REGISTER OF INTERESTS RETURNS 2018/19 - OFFICERS

The Committee noted that the process for collating Register of Interest returns from officers in positions of influence had gone well, and that returns relating to the University Executive Group had been made available to the Committee on BOX and would be published on the Court website in due course.

Resolved: to note the update.

11. ANNUAL REPORT ON SUBSIDIARY COMPANY DIRECTORS

The Committee received an annual report detailing the directors of University Subsidiary Companies. In response to questions the University Secretary confirmed that the appointment of new directors was the responsibility of the Governance & Nominations Committee, and that the Committee would be advised of any requirements if and when they arose.

Resolved: to note the report.

12. REPUTATIONAL MANAGEMENT

In response to a questions, officers confirmed the process by which the University's Corporate Communications office managed reputational risks relating to press reports. This process was currently subject to review to take into account the way in which the new Principal wished to be involved.

Resolved: to note the approach.

13. DATE OF NEXT MEETING

Resolved: to note that the next meeting would be held on 28 May 2019.

Ronald Bowie
Convener

APPENDIX 5

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE (Minute 66(4))

A meeting of the Committee was held on 21 March 2019.

Present: Shirley Campbell (Convener);
Professor Nic Beech;
Dr William Boyd;
Professor Tim Kelly;
Rebecca Leiper;
Bernadette Malone;
Dr Alison Reeves;
Dr Jean Robson; and
Jay Surti.

In Attendance: Claire Glancy Executive Support Officer;
Dr Jim McGeorge University Secretary;
Pamela Milne Director of Human Resources & Organisational
Development;
Julie Strachan Deputy Director of Human Resources & Organisational
Development; and
Ajit Trivedi Head of Equality & Diversity (item 4).

Apologies: Catherine Cavanagh.

1. MINUTES

The Committee reviewed the minutes from the previous meeting and suggested amendments to the wording to provide additional detail in relation to the Committee's discussions. The Committee noted, however, that the minute had been produced in accordance with the house style for the Court and its committees and that any amendments would be in keeping with this style. It was agreed that the University Secretary would discuss the style and what would be appropriate with the Convener.

Resolved: subject to the aforementioned amendments, to approve the minutes.

2. MATTERS ARISING

(1) Action Log
The Committee considered a log of ongoing actions and noted the progress updates and target completion dates provided.

Resolved: to note the updates provided and update the action log.

3. OSAR COMPLETION RATES

The Committee reviewed a report outlining OSaR completion rates for the year ending 30 September 2018. The Committee noted a significant improvement in figures compared with previous years.

In reviewing the data presented the Committee noted the lower rates of completion for Estates & Campus Services, the School of Social Sciences and UoDIT. Members were advised that in the former two cases these could be attributed to recent changes in leadership and that the University Secretary would discuss the data in relation to UoDIT with the Service Director. The Committee highlighted the importance of understanding the cause of variances in OSaR completion rates and asked that a narrative analysis be included in future reports where known.

The Committee discussed plans for the next OSaR year and was pleased to note continued efforts by management across the University to achieve at least a 90% completion rate for all Schools and Directorates. Members also learned of planned updates to the OSaR process to better integrate it with metrics from other relevant processes to create a more holistic and joined-up approach to the management of performance. Members considered the

important role of OSaRs in ensuring that staff were aware of the career and development opportunities available to them and suggested that paperwork be revised in a way that prompted such discussion. Noting that the nature of promotion and progression was different for professional services staff relative to academic staff, the Committee agreed that further exploration should be given to the topic in the future.

Resolved: to note that the University Secretary would discuss the OSaR completion rates in UoDIT with the Director of the Service.

4. ANNUAL REVIEW OF PROMOTIONS FOR ACADEMIC AND RESEARCH STAFF 2018

The Committee reviewed a summary and analysis of the promotion outcomes agreed during the University's Annual Review process for Academic and Research staff in 2018. The Committee noted the ongoing efforts to further improve the process and incorporate feedback from Deans, Committees and applicants after each promotion round. The Committee also noted that while Deans played an important role in the appeals process, staff could apply for promotion independent of nomination. Members noted that eight applications remained outstanding at the time of the meeting and that the outcomes of these cases would naturally influence the data provided in the final report.

The Committee highlighted the proportion of Teaching & Research staff with successful outcomes relative to Teaching & Scholarship staff. Members discussed some of the challenges of assessing the quality of teaching and judging its standard and level of innovation relative to expectations, particularly at the professorial level, and noted that in coming months the University Executive Group would be working to refine the framework for promotion for all academic staff. Members asked that further analysis be undertaken in respect of the levels of BAME staff promoted at grade nine, notwithstanding the effect of small numbers on the data and associated percentages.

Highlighting the relatively high proportion of appeals that had been upheld, the Committee discussed the importance of continuing to build safeguards into the annual review process to ensure as much information as possible was available at the first stage of the process and to aid with fair and transparent decision-making. Members noted that once implemented, the new HRP system would assist in this by allowing the capture of a broader data set which would enable enhanced analysis and benchmarking around, for example, protected characteristics.

Resolved: (i) to note the update; and

(ii) to undertake further analysis in respect of the levels of BAME staff promoted at grade nine.

5. EQUALITY, DIVERSITY & INCLUSION

(1) Equality Mainstreaming & Outcome Update Report

The Committee reviewed the Equality Mainstreaming and Outcome Update Report, welcoming its detailed and comprehensive nature and the level of positive activity that had been taken forward.

Discussions focused on areas where there was scope for enhancement, such as opportunities for further improving the staff and student experience for certain groups within the University community and continuing to increase EDI training completion rates. Noting that completion of mandatory training, including EDI training, was already a requirement for all staff and for all members of Court, it was suggested that further thought be given by UEG as to whether mandatory training could also be made a requirement of eligibility for consideration for promotion and other forms of recognition and reward such as Contribution-Related Points and Accelerated Advancement. In response to questions relating to the progression of Equality Outcomes, the Committee was satisfied that work was being undertaken to address key areas and noted the various positive steps being taken. It was agreed that the timescales and plans for each action would be reviewed and updated as appropriate to give an indication of progress to date and actions going forward.

In discussion, the Committee suggested that in addition to the data provided on 'protected groups' that fell within the University's mandatory reporting duties, it might be valuable to have sight of data on a broader range of groups. Members noted that while the management reviewed data on the socio-economic circumstances of students, it may also be useful to consider this for staff. Members also suggested it may be useful to see a breakdown of data according to disability type.

Resolved: to note the report.

(2) Equal Pay and Gender Pay Gap Report

The Director of Human Resources & Organisational Development introduced the Equal Pay and Gender Pay Gap Report to the Committee. Members were pleased to note the overall decrease in the average salary pay gap since the last update in 2017.

The Committee noted the continuing pay gap that appeared to be in favour of male staff at grade ten. It asked that the analysis of the figures that had been undertaken last year and which had shown no significant pay gaps between staff in the same job group within grade 10 (such as Vice-Principals) be repeated and brought to the next meeting. Members noted that ongoing work in relation to Athena Swan, the gender action plan, promotion and recruitment would help to address this gap, and noted the improvements already made in the gender balance of the 'pipeline' of grade 7,8 and 9 staff. However, the main cause of the overall gap was the often significantly higher proportion of women to men across grades 1 to 6 which featured cleaning, clerical and secretarial roles.

Members stressed the importance of fostering a culture which made all staff with the ability and ambition to do so feel capable of, and supported in, advancing to higher graded roles and of removing any practical barriers that might prevent them from doing so.

The Committee also suggested it would be useful for the final report to include a comparison, if possible, with other institutions to allow benchmarking and that the title of the report be amended to better reflect its content

Resolved: to repeat the analysis of the pay gap in relation to grade ten staff.

(3) Annual Staff Profile Report

The Committee viewed the annual Staff Profile Report, noting the sections of the report they had already considered. In reviewing the figures provided, members suggested that further analysis be undertaken in respect of numbers of female staff leaving under severance.

Resolved: to undertake further analysis of the data around female staff leaving under severance.

6. **BUSINESS TRANSFORMATION**

The Director of Human Resources & Organisational Development provided an update on progress with development of the Human Resources & Payroll component of the Business Transformation Programme. Members learned that functionality testing was now underway and that University staff were working with TechnologyOne to resolve any issues encountered.

Resolved: to note the update.

7. **HEALTH & SAFETY POLICY AND ARRANGEMENTS**

The Committee received the revised Health & Safety Policy (**annex 1**). Members noted that the policy had been amended to incorporate a number of suggestions made at the previous meeting, but asked that the changes be highlighted for ease of review and circulated to the Committee. They also suggested a number of further minor amendments be made to the policy particularly in relation to the monitoring of training completion and 'lessons learned' from incidents.

Resolved: to approve the policy subject to a 'track changes' version being circulated and minor amendments being made.

8. **COURT NARRATIVE**

The Committee agreed that the Acting Convener should highlight the following matters to the Court at its meeting on 30 April: the Committee's discussion on OSaR completion rates (item 3); the consideration of the Equality Outcome and Mainstreaming Report (item 5 (1)); and Committee discussions on the gender pay gap (item 5 (2)).

9. **COMMITTEE REPORTS**

(1) Local Joint Committee minutes

The Committee received the minutes from the additional meeting of the Local Joint Committee on 12 February 2019.

Resolved: to note the minutes.

10. **DATE OF NEXT MEETING**

Resolved: Monday 20 May 2019.

Shirley Campbell
Convener

Annex 1 Health and Safety Policy

Table of Contents	
<u>1. Health and Safety Policy</u>	241
<u>1.1 Purpose</u>	241
<u>1.2 Objectives</u>	241
<u>2 Policy Statement</u>	241
<u>2.1 Policy Organisation</u>	241
<u>2.2 Implementation and Responsibilities</u>	241
<u>2.2.1 Court</u>	241
<u>2.2.2 Senior Management</u>	241
<u>2.2.3 Schools/Directorates</u>	241
<u>2.3 Monitoring Implementation of the Policy</u>	241
<u>2.4 Auditing Compliance with the Policy</u>	241
<u>2.5 Professional Support Structure</u>	241
<u>2.6 Training</u>	241
<u>3 Further information</u>	241
<u>3.1 Committee Structure</u>	241
<u>3.2 Related Policies, Procedures, Guidelines and Local Protocols</u>	241
<u>3.2.1 Policies</u>	241
<u>3.2.2 Handbooks</u>	241
<u>3.4 Definitions & Abbreviations</u>	241
<u>4 Document Information</u>	241
<u>4.1 Equality Impact Assessment</u>	241
<u>4.2 Approvals & Renewals</u>	241

1. Health and Safety Policy

1.1 Purpose

To communicate how the University of Dundee complies with its obligations relating to the health and safety of its staff, students and any other person who may be affected by its undertakings.

1.2 Objectives

To ensure that all staff, students and other persons are aware of the moral and legal obligations that the University of Dundee has in regard to their health and safety and how it will discharge these responsibilities to ensure, so far as is reasonably practicable, the University is a safe and healthy place of work and study. Also to ensure that staff, students and others understand their own moral and legal obligations in regard to their own health and safety and that of others who may be affected by their own acts or omissions.

2 Policy Statement

As the governing body of the University of Dundee, the University Court accepts its legal and moral responsibility for the health, safety and welfare of staff, students and others affected by the University's activities. To discharge this responsibility, Court provides leadership and support to sustain the importance of health, safety and welfare as part of the University's programme of effective governance and risk control. The University is committed to following best practice in relation to corporate governance and risk control and seeks to implement sector guidance such as the Scottish Code of Good Higher Education Governance (2017 edition) and Leadership and Management of Health and Safety in Higher Education Establishments (2015).

The University Court has adopted this policy to promote excellence in the health and safety performance of the University's activities of teaching, research and associated undertakings. The University will work proactively to seek compliance with all health and safety legal requirements. The University aims to effect continual improvements in the health, safety and welfare of staff, students and other people affected by the University's activities.

The University Court, through transparent delegation of duties, takes all reasonable steps to ensure that all staff, students and other persons under its control are competent and accept their health and safety responsibilities. The Court requires all staff and students to co-operate in achieving a high standard of health and safety performance and encourages all staff and students in pursuit of this goal, recognising and rewarding achievements.

The University Court will ensure that it is kept informed of health and safety risk management issues and that overall health and safety performance is reviewed regularly by external auditors. It will monitor progress against key performance indicators on a regular basis. This Policy will be kept under annual review through the People & Organisational Development Committee.

This Health and Safety Policy Statement was approved by University Court on NNth Month 2019.

Professor Andrew Atherton
(Principal)

Ronnie Bowie
(Court Chairperson)

2.1 Policy Organisation

The University Court has adopted this Health and Safety Policy Organisation to implement the policy statement above and to ensure effective management of health and safety issues. The organisation of health and safety is shown in Appendix 1, which outlines the way health and safety are managed within the University of Dundee and the inter-relationship between line management, committees and professional services.

2.2 Implementation and Responsibilities

2.2.1 Court

Ultimate responsibility for implementation of this policy and of legal compliance resides with the University Court. Court exercises its responsibility through the work of the Audit Committee and the People & Organisational Development Committee, which oversee the implementation of policy, review performance and undertake reviews or commission internal audits as necessary to provide reassurance to Court.

2.2.2 Senior Management

As lead executive, the Principal takes overall responsibility for the University's health and safety management and as such represents the corporate body of the University in compliance with health and safety legislation. The Principal has delegated implementation of the Health and Safety Policy to Deans and Directors and has nominated the University Secretary as the senior manager who holds specific responsibility for the management of health and safety.

Members of the University Executive Group play a key role in ensuring implementation of policy and Court, through its committees, will assess the performance of UEG in this regard.

2.2.3 Schools/Directorates

Deans and Directors are responsible for resourcing current and future health and safety needs of their School/Directorate and acting on audits, inspections and incidents. School Managers/Directors are responsible for ensuring that staff and students comply with health and safety arrangements.

Principal Investigators, academic staff, team leaders and others with direct supervisory responsibility for staff and/or students must ensure the safe conduct of activities within their areas of control and alert their line manager to any health and safety matters which they are unable to action themselves.

All staff and research post-graduate students are required to conduct themselves at all times so as not to endanger their health and safety or that of any other person who may be affected by their acts or omissions. They must comply with all relevant health and safety requirements. They must report any health and safety concerns, including specific concerns about their health arising from work activities, to their line manager, supervisor or health and safety Adviser. This includes deficiencies in safety standards or equipment.

All under-graduate and taught post-graduate students must behave responsibly at all times and comply with rules issued by teaching staff. They must report any health and safety concerns they have to teaching or supervisory staff.

2.3 Monitoring Implementation of the Policy

Each School contains at least one full or part time health and safety adviser who, with the local Health and Safety Committee, plays a key role in monitoring the effective implementation of the policy at School level and below. Monitoring includes ensuring that inspections are undertaken at the required frequency to verify that all significant hazards are identified and controlled.

Monitoring also ensures that any deficiencies in health and safety performance are identified and that remedial action is recommended and pursued. To facilitate this, each School is required to return an annual Health and Safety Report to the Head of Safety Services, who uses this to inform the People & Organisational Development Committee of performance levels across the University.

2.4 Auditing Compliance with the Policy

Auditing the policies, systems and arrangements put in place by the University to achieve and sustain high standards of health and safety performance verifies that the management procedures and operational practices are successful in meeting the appropriate performance standards.

The University employs the services of independent auditing consultants to perform regular audits of the policies and procedures that are in place throughout the University. Reports to the Audit Committee allow progress to be determined in relation to areas for improvement that may be identified by such audits, with resources allocated as necessary to achieve compliance.

2.5 Professional Support Structure

The health and safety professionals within Safety Services formulate plans for approval by the University Executive Group to manage significant risks, meet the expectations of Court committees and strive for continual

improvement of performance. Together with School/Directorate health and safety advisers, they provide competent advice to Deans/Directors to allow them to manage risks effectively within their Schools/Professional Services Directorates.

The Health and Safety Working Group, chaired by Head of Safety Services, formulate arrangements, develop technical systems, document generic risk assessments and procedures, arrange training and monitor performance.

Deans/Directors appoint competent health and safety advisers and other specialist duty holders as needed. They liaise closely with Safety Services to deliver a consistent standard across the University.

School/Directorate health and safety advisers, with support from Safety Services, will draft specific plans and arrangements, document generic risk assessments, deliver specific training, monitor performance and communicate information to staff and students within their School/Directorate.

The University recognises the legal requirements to consult with trade union appointed safety representatives and appreciates the benefits that these representatives bring to the organisation. Trade union appointed safety representatives are a key element of the advisory and committee structures, whilst also being free to undertake in full in their statutory rights as laid down in legislation.

2.6 Training

Appropriate training of staff and students is an essential element of good health and safety management. The University will provide a range of training opportunities for staff and students, including some mandatory training.

New start mandatory training is provided by Safety Services for all staff and research postgraduate students. This online training forms part of the induction process for these people.

Refresher on-line training on essential health and safety arrangements will be completed by all staff and post graduate students annually. The refresher training course will be developed by the Health and Safety Working Group. Completion will be monitored by Safety Services.

Risk assessment workshops and general health and safety training courses will be organised and recorded by Organisational and Professional Development (OPD) and delivered by Safety Services.

Specific health and safety training will be delivered to staff and students and recorded jointly by School/Directorate health and safety advisers and Safety Services. Task specific (“on the job”) training will be organised and recorded by line managers and supervisors.

3 Further information

3.1 Committee Structure

The Committee structure shown in Appendix 2 has been set up to oversee effective management of health and safety. In outline, the key committee is the People & Organisational Development Committee, which approves Policies and monitors performance. It receives reports from the University Health, Safety and Welfare Committee and Head of Safety Services.

3.2 Related Policies, Procedures, Guidelines and Local Protocols

3.2.1 Policies

This policy statement is supported by a range of policy documents that provide detail in relation to specific aspects of health and safety management. All policies are subject to consultation with key stakeholders, then approval through the Health, Safety and Welfare Committee and, subsequently, the People and Organisational Development Committee. Policies are reviewed on a regular basis and immediately if the need arises. Appendix 3 lists the supporting policies, all of which are available via [University of Dundee – Safety Services Policies](#)

3.2.2 Handbooks

The following handbooks provide information to staff and students that supports the policies of the University. All handbooks are available via [University of Dundee - Safety Services Handbooks](#)

- Clinical/Biological Waste
- Ergonomics and Repetitive Strain Injury (RSI)
- Fieldwork
- Good Laboratory Practice
- Safe Use of Microbiological Safety Cabinets
- Safe Working with Display Screen Equipment
- Staff Health and Safety
- Staff Quick Health and Safety Guide
- Staff Travel
- Student Health and Safety
- Student Travel
- Switch off Stress
- Working Safely with Genetically Modified Organisms within a Research Facility
- Working Safely with Human Blood, Tissues and other Specimens in Research Laboratories
- Working Safely with Micro-organisms
- Management of Solid Radioactive Waste
- Safe Handling of Radioactive Materials
- Protection Against Ionising Radiation
- Uranium and Thorium Safety Management

3.4 Definitions & Abbreviations

HROD	Human Resources and Organisational Development
OPD	Organisational and Professional Development
RSI	Repetitive Strain Injury

4 Document Information

4.1 Equality Impact Assessment

This policy has been assessed for equality impact and no adverse consequences identified. Indeed, the policy aims to be supportive of people with relevant protected characteristics. The full equality impact assessment can be downloaded from: <https://uod.box.com/s/bzzyyccd3v439zd1se4r7erb6r28bx6>

4.2 Approvals & Renewals

Document Name	University of Dundee Health and Safety Policy
Status	Pending Approval
Responsible officer/department/school	Safety Services
Policy owner	People & Organisational Development Committee
Date last approved	
Due for review	
Authorised and approved for publication	Yes/No
Date authorised for publication	
Information classification: public/internal	Public
Location in repository	POD (the folder on BOX)
Approval route and history	UEG, People & Organisational Development Committee + date (Court etc.)
Code	

APPENDIX 6

REMUNERATION COMMITTEE MINUTES (Minute 66(5))

A meeting of the Committee was held on 21 March 2019.

Present: Bernadette Malone (Convener);
Richard Bint;
Ronald Bowie;
Shirley Campbell; and
Sharon Sweeney.

In Attendance: Dr Jim McGeorge (University Secretary) by invitation of the Convener;
Pam Milne by invitation of the Convener; and
Dr Christine Milburn (Policy Officer (Corporate Governance)).

Apologies: Rumana Kapadia; and
Principal, Professor Andrew Atherton.

1. MINUTES

Resolved: to approve the minutes of the meetings of the Committee on 11 December 2018.

2. MATTERS ARISING

(1) Action Log

Members received the action log for the last meeting of the Committee and noted the updates provided. In response to questions regarding the lifetime pensions allowance, the Director of Human Resources & Organisational Development told the Committee that the report scheduled for the meeting on 20 May 2019 would outline both the outcomes of a UCEA questionnaire on this topic, and a recommended position for the University.

The Chair of Court updated the Committee on objective setting for the Principal. Members noted that the Chair had agreed a range of objectives with the Principal, and that he was currently in the process of finalising these, including the measures of success and timescales. The Chair agreed to share these with the Committee once they were complete.

The Chair of Court also updated the Committee on the process for reviewing the use of the disruption allowance approved by the Committee following the appointment of the Principal. The Committee noted that the Chair had reviewed the expenditure with the Principal, and that he expected to be in a position to verify and provide assurance regarding this expenditure at the meeting on 20 May 2019.

Resolved: to note the updates.

3. LESSONS LEARNED – PRINCIPAL'S APPOINTMENT

The Director of Human Resources and Organisational Development introduced a paper which identified lessons learned as a result of the process for the appointment of the Principal, written from the perspective of those officers who had supported the process (University Secretary, Director of HR & OD and Director of Academic & Corporate Governance). The paper highlighted areas of good practice which were recommended for continuation with future appointments at this level, as well as areas where the practice could be enhanced and sought additional input from the perspective and experience of members of the Committee.

The paper considered the following areas: governance of the process, consultation, appointment of a recruitment agency, search process, the Appointing Committee, decision making, candidate visits, offer of appointment, induction of the new Principal, and the out-going Principal. Members of the Committee outlined their own experience of the process, and following discussion the Committee suggested a number of additions to the paper, particularly in relation to: (a) reflecting the succession planning that had been undertaken by the Chair of Court and

University Secretary with the outgoing Principal some time prior to the formal announcement of his retirement; (b) the basis for the selection of the recruitment agency; (c) clarification of the role of the external member of the Appointing Committee; (d) enhancements which could be made to provide guidance to members of the Appointing Committee on the 'rules of engagement' where they individually had prior knowledge of a candidate; and (e) the handling of internal applications. Subject to these revisions the Committee approved the paper as an accurate evaluation of the process from the perspective of both officers and members. Members also suggested that the final paper might be submitted to the Committee of Scottish University Chairs repository on good governance practice.

- Resolved:** (i) to approve the paper, subject to amendment and circulation of the revisions to the Committee; and
- (ii) to propose that the paper be shared with the sector through the Committee of Scottish University Chairs repository on good governance practice.

4. CONTINUING PROFESSIONAL DEVELOPMENT TRAINING SESSION

A consultant from a company with specialist remuneration experience was invited to lead a training session for the Committee. The session aimed to provide the Committee with a better understanding of senior remuneration generally, an understanding of good practice, context around senior pay in the HE sector environment; and observations regarding practice at Dundee with regard to senior pay. The Committee explored these topics with the specialist and identified several themes for future exploration:

- Value of additional external benchmarking at a discipline level for professorial posts;
- Reward Policy: the recognition of leadership, role of performance aligned to the strategy, and policy on awards beyond base-salary;
- 3-5 year remuneration plan – does the University want to pursue a distinctive model for remuneration?
- Further enhancing the transparency and fairness of current practice;
- Career planning and progression (in conjunction with the People & Organisational Development Committee); and
- Development of the consultation framework with staff and students beyond revisions to the membership of the Committee.

Resolved: to ask the Convener and the Director of Human Resources & Organisational Development to review the themes identified relative to the schedule of business, and update the Committee regarding a revised schedule.

Bernadette Malone
Convener

APPENDIX 7

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 67)

A meeting of the Senate was held on 20 March 2019.

1. REPORTING TO UNIVERSITY COURT

The following items were selected by the Senate to highlight to Court:

- Senate's discussion on the Teaching & Scholarship staff recruitment moratorium and strategic questions related to research intensity in the University.
- Senate's recognition of the University's excellent performance in the 2018 International Student Barometer (ISB).
- Senate's consideration of the progress made in establishing a new School of Business in the University
- Senate's consideration of the progress made in Business Transformation and its welcoming of the fact that the ending of legal and commercial discussions meant that University-wide communication on the programme could recommence.

2. TABLED QUESTIONS

The Principal explained that the new procedure for tabled questions did not prevent members from asking questions in the moment. Senate welcomed the continuing commitment to debate and discussion at Senate meetings. Members suggested that School Boards should also be given an opportunity to consider proposing questions for Senate either through regular reporting mechanisms or by using the new protocol.

The Principal initiated a discussion in response to tabled questions:

- 2.1 What are the implications of the ongoing moratorium on T&S staff, and what specifically are the issues related to:
- (i) REF outcomes if T&R staff are required to maintain or increase their teaching duties; and
 - (ii) future promotion opportunities for T&S staff if teaching is undervalued or for T&R staff if they are assessed only on research success?

The Principal noted that the first tabled question concerned the rationale behind the current moratorium on recruitment of academic staff on Teaching & Scholarship (T&S) contracts.

In response to Question 2.1, the Principal argued that a proper understanding of the moratorium required a clear sense of the important strategic issues behind its introduction. He explained that the central strategic question for the University to answer is – are we (and do we want to be) a research-intensive institution?

The Principal explained that research-intensive universities in the UK are those with the expectation that most of their academic staff make significant contributions to research activity. He noted that benchmarking data associated with the previous Research Excellence Framework (REF 2014) demonstrated that research-intensive universities had between 70-80% of their academic staff categorised as research active.

The Principal acknowledged that the University's delivery of high quality professional and practice-based education would necessitate a careful balancing of resources and priorities across all disciplines. He argued that while being mindful of the need to meet the expectations of the professions, business and industry the University needed to re-balance academic staff contract types to deliver research excellence at levels consistent with sector norms.

Members of Senate noted that in terms of revenue it was often the case that the income from teaching activity provided a cross-subsidy to support research activity and that the important link between teaching and research excellence needed to be maintained. Senate noted the need to avoid establishing unhelpful hierarchies through the language used to describe the relationship between teaching and research activity, i.e. research-led teaching.

Senate noted that some Schools might be able to meet teaching requirements with lower numbers of T&S staff in disciplines where the curriculum can be delivered by Teaching and Research staff in a more straightforward way.

The Principal agreed that the balance between T&S and T&R staff needed to vary by discipline but argued that the balance was not right in many areas of the University. He explained that the main purpose of the moratorium on recruiting additional T&S staff to the University was ensure imbalances could begin to be addressed.

Some members of Senate expressed a concern that the moratorium acted as blunt instrument and that institutional decision-making needed to have a sharper focus to ensure long-term strategic success. Members also noted the importance of ensuring that the moratorium did not signal a marginalisation of teaching or a move to separate teaching and research as incompatible academic specialisms.

Noting that the moratorium was a short-term measure, members of Senate argued that in the longer-term there needed to be recognition of the growing importance of impact and innovation in research, a better definition and appreciation of scholarship and anticipation of inevitable changes in research methodologies and the consequent changes to what it means to be a researcher.

The Principal agreed that the current moratorium would not, by itself ensure the University developed clear answers to the strategic questions that it needed to be resolved. He explained that there needed to be a better understanding of the consequences of failing to address the imbalances between research and teaching in current academic staffing arrangements. He also explained that a further dilution of research intensity could eventually produce an institutional profile closer to that of a post-92 teaching focussed university. Nevertheless, he reminded members that a route existed to make the case for an exception to the policy in relation to individual posts.

Senate noted that the distinction between T&R and T&S academic staff contracts had been introduced for specific reasons and members queried the continuing need for the distinction to be maintained. It was acknowledged that the distinction might have reduced the ability of Schools to respond and adapt to change. Members also noted that one reason for the growth in T&S staff numbers was internal movement of existing staff from T&R to T&S contracts in preparation for the next REF.

Members of Senate noted the need to develop a strategy that could capture the complexity of the academic mission as perceived in different parts of the University. Members also noted the need to consider the relationship between research intensity and academic reputation on a global scale.

On the question of ensuring that all academic staff have fair access to promotion opportunities, the Principal agreed that ideal promotion criteria must allow all academic staff an equal chance to have their contribution and personal success recognised. He suggested that a balanced-case approach might be one way of ensuring fairness in promotion processes. He agreed that this might mean that all academic staff would need to demonstrate their contribution to teaching excellence.

In response to a question the Principal confirmed that all T&R staff should be expected to contribute to teaching and other aspects of the academic role as appropriate to the context of each School's overall academic mission. He explained that only very large institutions could successfully operate a model of academic specialisms that allowed a significant number of academic staff to be research-only.

The Principal agreed that the University would need to take a strategic view on the balance of its academic priorities and that Senate should play a leading role in developing and shaping this strategy.

2.2 How are decisions being made at University level in relation to:

- (i) which REF Units of Assessments the University is planning to submit to; and
- (ii) the assignment of interdisciplinary outputs to particular Units of Assessment?

In response to Question 2.2 the Principal advised that the University would take final decisions on submissions to particular REF Units of Assessment closer to the deadline, for tactical reasons. He noted that the institutional preparations for REF 2021 had included analysis of the location, scale and quality of research activity in the University to help inform future decision making.

Members of Senate advised that REF preparations also included the development of research impact case-studies that ideally would be written with a particular REF Panel in mind.

The Principal noted that a relatively small number of disciplines and research outputs would need to be looked at in terms of their submission to an alternate Unit of Assessment.

Members of Senate agreed that the question of interdisciplinary research outputs added an additional element of complexity that would need to be addressed in the University's preparations for REF.

Members agreed that there needed to be greater clarity on REF decision-making processes and noted that the Vice-Principal Research, Knowledge Exchange & Wider Impact would lead further discussions on preparations for REF 2021, at the next meeting of Senate in May 2019.

The Senate decided: to ask the Vice-Principal Research to include information on submission of interdisciplinary research outputs to REF 2021, in his presentation to the next meeting of Senate.

3. **PRINCIPAL'S REPORT**

The Senate received a verbal update Report from the Principal.

Chair of Court

The Principal confirmed that Ronnie Bowie had been elected as Chair of Court for a term of three years from 1st August 2019. Senate noted that the election had been the first held under the requirements of the Higher Education Governance (Scotland) Act 2016.

The Principal welcomed the result but observed that the very low turnout (2.2% overall) despite significant publicity was a concern as it might indicate that the election process set out in the Act was not inclusive. He also suggested that the important role of Court might benefit from a higher profile to enhance levels of staff and student engagement.

School Visits

The Principal gave an update on his programme of visits to each School in the University. He explained that the visits had been beneficial in terms of creating positive opportunities for staff and students to meet him and to express their priorities and aspirations in the next phase of the University's development. The Principal also explained his intention to produce a Summary Report for circulation when all the planned visits had been completed.

Senior Staff Vacancies

The Principal noted that current vacancies for the Deans of School in Art & Design, Medicine and Business would be filled through a competitive recruitment process that would include external advertisement.

National Student Survey

The Principal noted that current NSS response rates were behind rates achieved in previous years and asked all members to assist with meeting School and institutional targets.

The Dundee University Students' Association (DUSA) President reported that some other student organisations in the UK, including the NUS, had been supporting a boycott of the NSS in 2019. Senate noted that an on-going campaign on social media networks might have had an adverse effect on response rates at the University despite DUSA not endorsing the campaign.

BREXIT

The Principal reflected on the continuing uncertainty surrounding the UK withdrawal from the European Union originally set as 29 March 2019. He advised that the University community should continue to be sensitive to the needs of staff and students who would be directly affected by the current difficulties and offer support where possible.

Members of Senate noted the staff information events that had taken place and welcomed the supportive approach taken by the University's Human Resources Directorate.

Members expressed concern over the future of the Erasmus student mobility schemes and welcomed the confirmation from the Vice-Principal International that the University's participation would be underwritten and protected using global scholarship funds in the short term.

UNIVERSITIES SUPERANNUATION SCHEME (USS)

The Principal drew attention to the fact that significant increases to both employee and employer contributions to the USS would be phased in over 12 months to April 2020. He emphasised the importance of clear communication with staff on the nature and scale of the increases to come and warned that they would have a significant impact on levels of staff take-home pay.

[Clerks note: Please see <https://www.uss.co.uk/members/members-home/retirement-articles/2019/a-rise-in-your-contributions>]

REVIEW OF POST-18 EDUCATION & FUNDING IN ENGLAND (“AUGAR REVIEW”)

The Principal advised that despite the current political uncertainty the University needed to be ready to respond to any recommendations arising from the Review of Post-18 Education (in England) led by Philip Augar. He noted that there was an expectation that the Review would recommend a decrease in tuition fee levels charged to English HE students and warned that any decrease in fee-levels would have a corresponding impact on RUK fee income to the University.

SENATE AWAY DAY

The Principal confirmed that a Senate Away Day had been scheduled for May 8th 2019. Members were asked to submit any suggestions for topics to be discussed at the event to Dr Martin Glover for consideration.

The Senate decided: to note the Report.

4. UNIVERSITY COURT

The Senate received a Report from the meeting of University Court held on 26th February 2019. Senate noted that Court’s discussions on Business Transformation had been redacted in the Report due to commercial confidentiality in place during contractual negotiations taking place at that time.

The University Secretary explained that the negotiations had now concluded and that full information on revised implementation plans would be circulated to staff shortly.

The Secretary highlighted Court’s positive discussion on plans to establish a School of Business in the University and noted the Proposal Paper submitted to Court had been made available to members of Senate, for information.

The Secretary also highlighted Court’s discussion on health and safety issues and its intention ensure full institutional compliance with relevant regulations through closer monitoring of standards and full completion of mandatory training for staff.

The Senate decided: to note the Report.

5. ENHANCEMENT-LED INSTITUTIONAL REVIEW

The Interim Vice-Principal Education and the Director of Quality & Academic Standards gave a presentation on the Enhancement-Led Institutional Review Outcome Report that had been published in final form on 15 March 2019.

Senate noted that the Outcome Report and an accompanying Technical Report had been published on the QAA website and had been posted with the Senate Agenda & Papers.

The Vice-Principal emphasised that the Review had required significant input from staff and students across the University and Senate noted thanks due to Professor Karl Leydecker and Dr Lesley McLellan who led the Review process through to the visit in November 2018.

The Vice-Principal explained that the University would now need to develop plans to take forward the results of the Review in the context of enhancement activity.

The Director of Quality & Academic Standards explained the distinctive methodological approach taken to Institutional Review in Scotland and emphasised that the QAA Review Panel had three possible outcomes at their

disposal when making their overall assessment of the University's arrangements for assuring its academic quality and standards: Effective or Limited Effectiveness or Not Effective.

The Director confirmed that the Review Panel had concluded that the University had effective arrangements for managing academic standards and the student learning experience. This was the most positive of the three options available.

The Director also confirmed that, alongside several commendations, the Review Panel had recommended a Priority Action to the University regarding improvements to the academic oversight of collaborative activity at institutional level.

The Director emphasised that the Outcome Report represented a very positive position for the University, not least because of the range and number of commendations received. Senate noted the plans for those areas highlighted for commendation in the Outcome Report to be celebrated and profiled in order to share good practice across the University.

Senate noted that the Report had also recommended actions relating to the engagement, representation and support for on-line and distance learning students. Members noted that many aspects of the recommendations had already been identified by the University and work was well-underway to deliver a range of enhancements. It was acknowledged that some other aspects would require additional discussion and co-ordination of effort.

The Director explained that the University would be expected to provide a follow-on report to QAA Scotland in March 2020 that detailed the actions taken in response to the recommendations.

The Interim Vice-Principal noted that a small steering group would be formed to develop the immediate action plan, co-ordinate developments over the next year and begin to evaluate the impact of actions taken.

In response to questions from members the Director explained that the relationship between research and teaching quality did not form part of the QAA review but that the issue had been the subject of an Enhancement Theme project at sector level in the past.

[Clerk's Note: see <https://www.enhancementthemes.ac.uk/completed-enhancement-themes/research-teaching-linkages>]

Members noted that the Collaborations Toolkit developed by the University would provide a good basis for further action on improving oversight of external partnerships and collaborations. The Interim Vice-Principal confirmed that this would be included in the University's response to the Priority Action.

The Senate decided:

- to note the positive outcome of the 2018 Enhancement-Led Institutional Review;
- to record its thanks to Professor Karl Leydecker and Dr Lesley McLellan for oversight of the Review process; and
- to thank Professor Lynn Kilbride and Erica Hensens for their presentation on the Outcome Report.

6. ELECTION OF THE RECTOR

The Senate noted the election of Jim Spence, to serve as Rector for a period of 3 years from 1st August 2019.

7. SCHOOL OF BUSINESS WORKING GROUP

The Senate received a Report from the School of Business Working Group, for information.

The Vice-Principal (International) explained that the Working Group had made good progress against some challenging deadlines and that the project remained on track to deliver within the agreed timescale.

Senate noted that five workstreams had been established to provide expertise areas, such as business planning and academic governance.

The Vice-Principal noted that a schedule of consultation meetings with staff and student groups and a detailed communications plan were in development. Members noted the intention to submit full documentation for approval at the next meeting of Senate.

The Vice-Principal also noted that positive steps had been taken to recruit a Dean to lead the new School and that external consultants had been appointed.

Senate was assured that any potential impact on the School of Social Sciences in its future form would be identified and properly managed as an important part of the overall project plan.

The Dean of Social Sciences explained that the School had established parallel workstreams to ensure high-levels of co-ordination and to develop a new vision for the social sciences in the University. He noted that the School had been very encouraged by the progress made so far.

Senate noted the Working Group's acknowledgement of the need to include careful review of the Associate Deans' roles in the new School and members suggested that it might be useful for this review to be extended to the existing Schools in the University.

The Senate decided: to note the Report.

8. QUALITY & ACADEMIC STANDARDS COMMITTEE

The Senate received a Report from the Quality & Academic Standards Committee meeting held on 6 February 2019.

The Principal asked Senate to note the Committee's discussion on developing a University-wide approach to responding to students' mitigating circumstances applications.

The Principal also asked Senate to note that concerns expressed in the media regarding "grade-inflation" in UK higher education had been discredited and that the University should avoid inappropriate use of the term in official discourse.

The Senate decided: to approve the Report.

9. INTERNATIONAL COMMITTEE

The Senate received a Report from the International Committee meeting held on 19th February 2019.

The Vice-Principal International highlighted the University's excellent performance in the 2018 International Student Barometer

Senate was asked to note that the survey was global in scale and that in 2018 had included over 3 million students from 199 institutions. The Vice-Principal explained that the University had achieved excellent results in all aspects covered by the survey.

Senate noted that the University had ranked 2nd in the UK and 6th globally for overall quality. Members also noted that an ISB Working Group had re-convened to help further improve the number of student responses to the survey and to ensure that the institution was making the most of the international student feedback received in the ISB results.

The Vice-Principal noted that several areas of activity had already been identified for further development and enhancement.

The Senate decided: to recommend that the results of the ISB are shared more widely across the University, including to the University Management Group (UMG); and

to approve the Report.

10. RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE

The Senate received a Report from the Research & Knowledge Committee meeting held on 28th February 2019.

The Senate decided: to approve the Report.

11. LEARNING & TEACHING COMMITTEE

The Senate received a Report from the Learning & Teaching Committee meeting held on 4th March 2019.

The Senate decided: to approve the Report.

12. SUMMARY REPORTS OF SCHOOL BOARDS

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

The Senate decided: to approve the Reports.

13. DUSA ELECTIONS

The Senate was asked to note the results of the DUSA Elections March 2019, DUSA Executive (from 1st July 2019):

President	Vacancy
Vice-President Academic	Stuart Murphy
Vice-President Representation	Olaf Postola
Vice-President Student Welfare	Lauren Macgregor
Vice-President Campaigns & Communications	Vacancy
Vice-President Student Activities	Craig Reoch
Vice-President Engagement	Izuin Hanis Binti Abu Bakar
Vice-President Fundraising	Scott Quinn

The DUSA President explained that by-elections were being held to fill the President and Vice-President positions on the DUSA Executive for the next academic year.

The Senate decided: to note the DUSA Election Results.

14. PROFESSOR EMERITUS

Subject to the concurrence of Court, to confer the title of Professor Emeritus upon the following:

Professor Stuart Cross (effective 31st August 2019)

15. ACADEMIC CALENDAR

The Senate decided: for its part, to approve the draft Academic Calendar for AY 2019/20.

16. OTHER BUSINESS

The Senate expressed sympathy for the family and colleagues of Dr Paul Seaman (School of Business) who had recently died. Members noted that Dr Seaman had been a highly valued Lecturer at Dundee for over 20 years and would be greatly missed by staff and students in the School and wider University.