

UNIVERSITY OF DUNDEE

UNIVERSITY COURT

A meeting of the University Court was held on 3 September 2020 by video conference.

Present: Ronnie Bowie (in the Chair);
Janice Aitken;
Alan Bainbridge;
Richard Bint;
Tricia Bey;
Dr William Boyd;
Catherine Cavanagh;
Lady Lynda Clark;
David Dorward;
GiGi (Jia Hui) Gan;
Professor Lynn Kilbride;
Rebecca Leiper;
Professor David Maguire (Interim Principal & Vice-Chancellor);
Bernadette Malone;
Jane Marshall;
Dr David Martin;
Ron Mobed;
Scott Quinn (DUSA President);
Professor Mairi Scott;
Jay Surti;
Sharon Sweeney;
Karen Thomson; and
Keith Winter.

In Attendance: Wendy Alexander (Vice-Principal (International));
Professor Julian Blow (Interim Vice-Principal (Academic Planning & Performance));
Professor Blair Grubb (Vice-Principal (Education));
Dr Neale Laker (Director of Academic & Corporate Governance);
Dr Jim McGeorge (University Secretary & Chief Operating Officer);
Dr Christine Milburn (Senior 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)); and
Thomas Veit (Director of External Relations).

Apologies: Lord Provost Ian Borthwick; and
Rector, Jim Spence.

2. MINUTES

(1) Minutes of the meeting of the Court on 22 June 2020

The Court decided: to approve the minutes of the Court meeting on 22 June 2020.

(2) Minutes of the Extraordinary Meeting of the Court on 25 August 2020

The Court decided: (i) to note the minutes of the meeting of the Senatus Academicus on 25 August 2020; and

(ii) to approve the minutes of the extraordinary meeting of the Court meeting on 25 August 2020.

3. MATTERS ARISING

(1) Action Log

The Court received the action log of Court business.

The Court decided: to note the updates.

(2) Emergency Committee

The Court noted that the Emergency Committee had not been required to meet since the meeting of the Court on 22 June 2020.

The Court decided: to note that the Emergency Committee had not been required.

(3) Court Appointments

The Court formally homologated its decision, taken by email on 2 July 2020, to approve the appointment of Tricia Bey, Ron Mobed and Karen Thomson as lay members of the Court for a period of four years in the first instance, with effect from 1 August 2020 under Statute 9(1)(k).

The Court decided: to formally homologate the appointments as set out.

4. CHAIR'S REPORT TO COURT

The Court received a report from the Chair of Court outlining activities he had undertaken on behalf of the Court and the University since the last meeting of the Court. In doing so he highlighted the conclusion of the process for the appointment of a new Principal & Vice-Chancellor, as referred to in the minutes for the extraordinary meeting of the Court on 25 August 2020 (minute 2(2) above). He also provided an overview of discussions at meetings of the Committee of Scottish Chairs (CSC) where the Scottish Funding Council (SFC) review of coherent provision and sustainability had been discussed.

The Chair also highlighted his disappointment at the low percentage increase to the grant settlement from the SFC relative to that awarded to other institutions. Noting that an analysis by the Strategic Planning team had indicated that the University had consistently received below average awards over recent years despite strong performance in meeting its Outcome Agreement targets, members supported the suggestion that the Chair and the Principal write to the Chief Executive of SFC to make this position known and to seek an explanation.

Finally, the Chair highlighted his appreciation for the University community's collective response to the challenges of the COVID-19 pandemic. He commended the strength and collaborative approach of the University Executive Group, Deans, Directors, DUSA and staff/student communities and asked that his thanks be recorded for the work carried out by staff on behalf of, and in the interests of, the institution at a challenging time.

The Court decided: to note the update.

5. UNIVERSITY EXECUTIVE GROUP REPORT TO COURT

The Principal introduced the regular report from the University Executive Group (UEG) (**appendix 1**), which provided an update on emerging sectoral issues and internal operational and strategic matters.

The Court noted the University's response to the consultation for Phase One of the Scottish Funding Council (SFC) review, and in particular its focus on the chronic underfunding of the Scottish HE Sector.

Turning to Equality, Diversity & Inclusion (ED&I) matters, the Principal drew members' attention to the appointment of Thomas Veit as a UEG Champion for the ED&I agenda. Members also noted that representatives of the Advance HE/SFC Race Project steering group had attended a joint meeting of the UEG and Deans' Group, and that the insightful and compelling presentation had informed the development of the ED&I priorities within the UEG's strategic priorities for 2020/21, with a focus on delivering tangible outcomes and bringing about meaningful change.

The Principal went on to highlight both the update provided on progress in relation to the 2019/20 Strategic Priorities of the UEG, and the details of the UEG Strategic Priorities proposed for 2020/21 as follows: (1) Financial Sustainability, (2) Academic Excellence and Structure, (3) Delivery of Business Transformation programme, (3) Blended Learning, (5) Digital Strategy, (6) the Development of the New Strategic Plan, (7) Maximise Student Numbers, and (8) Equality, Diversity & Inclusion. Following discussion, the UEG undertook to review the number of priorities, but noted the Court's broad support for the areas listed.

The Principal provided a verbal update on the current student recruitment position. Members noted that it was not possible to predict the outcome with any great certainty due to the COVID-19 pandemic, but that Home/EU numbers were on track to meet budget, that the University was optimistic with regard to Rest of UK (RUK) recruitment, and that the international recruitment picture was improving. The Court went on to explore the risk profile of factors which could still adversely affect the outcome.

The Court considered the update provided on the University's continuing response to the COVID-19 pandemic, and its preparations for the future. In this respect, the Court recognised the importance of agility and flexibility to the approach taken. Members were pleased to note that the University continued to monitor regulations and guidance to ensure compliance and the implementation of best practice in areas including the development of outbreak management protocols. Members also noted that work in relation to campus readiness was accelerating, and that the UEG would return to campus on a rota basis from Monday 7 September 2020.

In response to an invitation from the Chair, the University Secretary provided a verbal update to the Court with regard to the Business Transformation Programme and in particular negotiations with TechnologyOne, the vendor of the OneUniversity system. Members noted that in light of current circumstances associated with Covid-19 and the challenging prevailing financial headwinds for higher education, the University has taken the opportunity to reconsider the Student & Curriculum Management element and the parties had mutually agreed to close down development of this aspect. The University Secretary set out the basis for the agreement, including financial aspects which members noted would be formally reported to the next meeting of the Finance & Policy Committee on 20 October 2020. Discussions focussed on the assessment of on-going risks relating to the implementation of the continuing elements of the project and members noted next steps in those areas where activity had been terminated, where the University would likely seek to implement a series of prioritised and evolutionary enhancements to existing student systems to ensure that they were fit for purpose.

In the report the UEG also provided an update on pay and pensions matters. Members noted that consultations with USS were expected over the coming 3-month period, and that an update would be provided in November.

The Court decided: to note the update and await further updates in due course.

6. UPDATE ON BUDGET DEFICIT REDUCTION MEASURES

The Director of Finance introduced an update on activity in areas related to the budget deficit reduction measures considered by the Court at its meeting on 22 June 2020. In doing so the Director reminded members that the University's long-term structural deficit challenge had been compounded by the financial impact of the COVID-19 pandemic and that the approved budget projected a deficit of £15.6m in 2020/21 and £4.9m in 2021/22 before returning a surplus in later years. Members were also reminded that the projections included a negative net operating cash flow of £12.4m for 2020/21 and positive £3.1m in 2021/22, representing -4.8% and +1.1% of total income respectively.

The Director highlighted the material uncertainties in the budget due to difficulty in predicting international student recruitment for the new academic year and the potential impact of an unknown level of global economic downturn. Members expressed an interest in projected international recruitment and retention figures but noted that this was not something which could be accurately modelled at the time of the meeting.

The Director went on to highlight risks in the budget and in particular that the level of general cost contingencies was not sufficient to cover the total level of risk, which was estimated at £4-7m. Members therefore noted that it was essential to continue to identify

control cost savings. The Director reminded members that the UEG reviewed the budget on an ongoing basis as new information became available and that updates would be presented regularly to the Finance & Policy Committee and the Court.

Members noted the implementation of previously approved Phase 2 measures and their reflection in the budget figures presented. Turning to further work on the preparation of Phase 3 measures, should they be required, the Director provided an overview of discussions at the meeting of the People & Organisational Development Committee (PODCo) on 20 August 2020 with regard to draft pay cut proposals. The Director reiterated that this option would only be recommended to Court by the UEG if absolutely required after careful assessment of the autumn international student numbers were known. The Convener of the PODCo went on to outline areas where the Committee had recommended clarification or further review to shape the refinement of the proposal (as captured in the minutes (minute 12(4) below)). She also highlighted the timeline and process for the consideration, consultation and approval of the measure, if required. The Director also provided an overview of other Phase 3 measures including the potential sale of assets/shares, noting members' views that the University might have to consider implementing these measures more quickly in the event income did not meet budget.

Through discussion the Court highlighted the importance of remaining vigilant to the savings in the 5-year plan as well as the short-term savings associated with the 'COVID-19 dip'. Members noted that the Finance & Policy Committee continued to monitor progress in relation to these savings targets. The Court noted that the University had a strong history of delivering to budget, but questioned if all schools in particular were equally focussed on addressing the financial challenges and meeting the targets set, or if there was a cultural issue which needed to be addressed. In response, the Director told the Court that the finance business partners and the Vice-Principal (Academic Planning & Performance) were working closely with the Deans and School Managers to support the achievement of the targets. Members also noted that each school or directorate was subject to different challenges, risks and savings potentials, and that these were being taken into account.

The Court decided: to note the report.

7. CONVENER REPORTS

The conveners of the committees of the Court provided an overview of activities within each of the committees. Approvals associated with these reports are noted in full in section 12 (see below).

The Convener of the Risk & Audit Committee provided a summary of matters discussed by the Committee at its meeting on 3 September 2020. In doing so he drew members' attention to the Committee's focus on the management of risk, and the process for the update and review of the Institutional Risk Register in light of COVID-19. He also highlighted the recommendation from the Committee, in accordance with statute 8(1), that the Court appoint KPMG as the internal auditor with immediate effect for a period of 3 years in the first instance, with the option to renew for a further period of 2 years. The Court noted the expertise available through the internal audit team and approved the recommendation.

The Convener of the Finance & Policy Committee drew attention to the discussion of a paper on school financial contributions, which had been made available to all members. He

otherwise confirmed that matters discussed by the Committee had been covered elsewhere on the agenda.

The Convener of the Governance & Nominations Committee drew members' attention to the large number of items for reporting to/approval by the Court, as listed in minute 12 (below). He highlighted in particular the Committee's recommendation that the Court approve the annual institutional statement to the SFC on institution-led review, and its praise for the work of the Quality & Academic Standards Team - both in respect of the report and in relation to their work to ensure that quality was maintained as blended-learning solutions were put in place to respond to COVID-19 restrictions. The Convener also drew members' attention to the Committee's discussion of, and commitment to, diversity amongst the membership of the Court, and members noted that the Committee had welcomed the appointment of Thomas Veit as a UEG Equality, Diversity & Inclusion Champion.

In introducing the report from the People & Organisational Development Committee, the Convener told the Court that the Committee had scheduled the additional meeting to consider, and provide input into, the draft paper on pay reductions. Members noted that the Committee had been supportive of the principles outlined and provided feedback on aspects of the paper relating to implementation and exemptions, which UEG had welcomed. The Court noted that the Committee was to consider a revised version of the proposals at its next meeting in October 2020.

The Convener also highlighted the Committee's discussion of its Remit & Terms of Reference relative to that of the Remuneration Committee. The Court noted that the Committee had approved the direction of travel proposed and had recommended that a working group be established to support the development of the strategic focus and data requirements of the two committees.

[Officers, with the exception of the University Secretary, the Director of Academic & Corporate Governance, and the Senior Policy Officer (Corporate Governance) left the room for the duration of the discussion of the following item].

The Court received the report from the Convener of the Remuneration Committee which outlined discussions at an additional meeting of the Committee on 27 July 2020 convened to consider a matter relating to the remuneration of a member of the University Executive Group (UEG). The Convener highlighted the Committee's detailed consideration of the matter, including the merits of the proposal, the quantum, implications including those relating to the gender pay-gap at UEG level, the financial context, and lessons learned. Members expressed some concern with regard to the timing of the decision given the University's financial position, but noted that the Committee had considered this aspect when reaching its decision.

The Court decided: to note the reports

8. DUSA EXECUTIVE 2020-21 STRATEGIC PRIORITIES

The President of the Dundee University Students' Association (DUSA) presented a document which set out the strategic themes which would form the basis of the 2020/21 DUSA Executive Manifesto - and thereby the DUSA's priorities for the coming year.

In introducing the report, the President focussed on the themes for the year: communication, welfare, engaging communities, and representation. The President also outlined the continuity between the themes in the 2019/20 manifesto and those for 2020/21. He also highlighted the changing nature and requirements of the student base.

The President also drew attention to the appointment of a new CEO for DUSA, as well as work on the new student partnership agreement with the University

The Court decided: to note the report and that the UEG would work with the DUSA Executive as appropriate to support its work in delivering against its manifesto commitments.

9. **ANNUAL REPORT TO THE SFC ON INSTITUTION-LED REVIEW 2019/20**

The Court received the University's annual statement to the SFC detailing the subject reviews that had been carried out over the past year. Members noted that the report was due to be submitted to the SFC by 30 September 2020.

Members noted that in approving the report the Court was asked to: confirm that it had considered the institution's arrangements for the management of academic standards and the quality of the learning experience for AY 2019/20, including the scope and impact of these; confirm that the institution had effective arrangements to maintain standards and to assure and enhance the quality of its provision; and therefore to provide assurance to the SFC that the academic standards and the quality of the learning provision at the University of Dundee continued to meet its requirements.

The Court was advised that the Governance & Nominations Committee had considered reports from the Director of Quality & Academic Standards throughout the academic year. The Court praised the work of the Quality & Academic Standards Team, both throughout the year in embedding the quality code and in the work to support the University's response to COVID-19.

The Court decided: to approve the report and ask that the Chair of Court sign the declarations set out above on behalf of the Court, to accompany the submission to the SFC.

10. **NARRATIVE FOR SENATE**

The Court highlighted the minutes relating to the budget deficit update and the Annual Report to the SFC on Institution-led Review 2019/20, and in particular its praise for the work of the Quality & Academic Standards Team.

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

11. **COMMITTEE REPORTS**(1) Audit & Risk Committee Minutes(i) Minutes of the Committee's meeting on 3 August 2020

The Court received the minutes of the meeting of the Audit & Risk Committee on 3 August 2020 (**appendix 2**). The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 7).

The Court decided: (i) to approve, in accordance with Statute 8(1) the appointment of KPMG as the internal auditor for the University with immediate effect for a period of 3 years in the first instance (to 3 September 2023), renewable for a further period of 2 years.

(iii) otherwise to approve the minutes.

(ii) Reserved Minute from the Committee's meeting on 3 August 2020

The Court received minutes 3,8,10 & 12 of the meeting of the Audit & Risk Committee on 3 August 2020. The Court noted that the University claimed exemptions under Sections 30 and 33 of the Freedom of Information (Scotland) Act 2002. The minutes will be published as an appendix to the minute of the meeting of the Court at which their release is approved.

The Court decided: to approve the minutes.

(2) Finance & Policy Committee Minutes

The Court received the minutes of the meeting of the Finance & Policy Committee on 11 August 2020 (**appendix 3**). The Court's discussion of matters raised by the Committee for the attention of the Court and its endorsement of the budget and five-year plan is detailed in the Conveners' Report (Minute 7).

The Court decided: to approve the minutes.

(3) Governance & Nominations Committee Minutes

The Court received the minutes of the Committee's meeting on 11 August 2020 (**appendix 4**). The Court's discussion of matters raised by the Committee for the attention of the Court is detailed in the Conveners' Report (Minute 7).

The Court decided: (i) to approve the recommendation that the Court should continue to aim to achieve diversity amongst its membership consistent with the diversity within the University community;

(ii) to approve the following appointments to Court committees:

- Tricia Bey – Audit & Risk Committee;

- Ron Mobed - Governance & Nominations Committee and Remuneration Committee;
- Karen Thomson – People & Organisational Development Committee;
- David Dorward – Remuneration Committee.

- (iii) to approve the recommendation that Andy Lothian and Karthik Subramanya be appointed as lay members of the Court for a period of 4 years in the first instance, effective from 1 August 2021, in accordance with Statutes 9(1)(k) and 9(2)(f);
- (iv) to approve the recommendation that Jane Marshall be appointed as the named alternate for Richard Bint on the Emergency Committee should circumstances mean he was unable serve in this capacity;
- (v) to approve the recommendation that Keith Winter be appointed as the Convener of the Audit & Risk Committee with immediate effect;
- (vi) to invite the Audit & Risk Committee to consider its membership requirements in light of the resignation of Gordon Weir as an external lay member of that Committee;
- (vii) to note the Committee’s endorsement of the Annual Institutional Statement to the SFC on Institution-led Review for submission to the SFC (see also minute 9 (above));
- (vii) to approve proposals for the 2020 reviews of effectiveness (see also minute 14(2) below); and
- (viii) otherwise, to approve the minutes.

(4) People & Organisational Development Committee

The Court received the minutes of the Committee’s meeting on 20 August 2020 (**appendix 5**). The Court’s discussion of matters raised by the Committee for the attention of the Court are detailed in the Conveners’ Report (Minute 7).

The Court decided: to approve the minutes.

(5) Remuneration Committee

The Court received the minutes of the Committee’s meeting on 27 July 2020 (**appendix 6**). The Court’s discussion of matters raised by the Committee for the attention of the Court are detailed in the Conveners’ Report (Minute 7).

The Court decided: to approve the minutes.

(6) Welfare & Ethical Use of Animals Committee

The Court received the minutes of the Committee's meeting on 9 July 2020 (**appendix 7**).

The Court decided: to approve the report.

12. **REPORT FROM THE STAFF COUNCIL**

The Court received the minutes from the additional meeting of the Staff Council on 2 July 2020 which had been scheduled to discuss the University's response to the COVID-19 pandemic.

The Court decided: to note the report.

13. **GOVERNOR DEVELOPMENT PROGRAMME**

A link to the Advance HE Governor Development Brochure was circulated to members.

The Court decided: to note that members interested in attending these training sessions should inform the Court secretariat.

14. **ANNUAL REVIEW OF EFFECTIVENESS**

(1) Annual Report from the Chair of Court

The Court received the annual report from the Chair of Court in which he reflected on his activities and performance during the 2019/20 academic year and that of the Court. In doing so he highlighted the challenges which the University had faced and outlined improvements made in relation to the strategic focus of the Court, the discharge of governance and oversight responsibilities, lessons learned, and external pressures.

The Court decided: to note the report.

(2) Process for Annual Review

The Court considered a paper which set out proposals for the review of the effectiveness and performance of the Court, the Chair of Court, and the committees of Court. Members approved the proposal from the Governance & Nominations Committee that the review take place during a session of the Court Retreat and were supportive of the use of break-out groups to explore themes identified from the returns submitted to the annual Court questionnaire. The Court also approved the suggestion that the Governance & Nominations Committee be asked to review the outputs of the review in the first instance.

The Court decided: to approve proposals for the annual reviews.

Mr Ronald Bowie
Chair of Court
University of Dundee

APPENDIX 1

UNIVERSITY EXECUTIVE GROUP REPORT TO COURT (Minute 5)

A. INTRODUCTION

1. Although it has been a little over two months since our last meeting with the Court, we have of course had the monthly Principal's briefings to keep Court informed of the University's response to the COVID- pandemic and other major issues.
2. While we have continued to face the ever-changing impact of COVID, we have not lost sight of the need to make progress towards our strategic objectives and secure our longer-term financial sustainability. With this in mind, we focussed our away day on 21 August on the review of our 2019/20 strategic objectives and the development of a new set for the year ahead. These new objectives, which can be found below, reflect our position as an institution and provide a framework within which we can work with the Court to co-create and deliver a shared vision for the future shape of the University.
3. With the beginning of the 2020/21 session swiftly approaching, staff have been working hard to put in place necessary measures to maintain the student experience and the resources for a blended-learning approach to teaching which maintains the quality of our degrees. In parallel we have been developing plans to manage a safe transition back to campus life for both students and staff. Our staff have demonstrated tremendous dedication and resilience throughout these challenging times and as we enter the "new normal", we are continuing to adapt to the different ways of working. To recognise the efforts of the University community, the UEG approved another paid rest day for staff on 21 September— a well-deserved break and something everyone is looking forward to before we begin our final preparations for the first semester.

Senior Appointments

4. Members will recall that a special meeting of the Court was held on 25 August to approve the appointment of the new Principal, Professor Iain Gillespie. As the former Pro-Vice-Chancellor for Research & Enterprise at the University of Leicester he brings extensive experience in leading strategic projects across the HE Sector. The University Executive Group (UEG) had the opportunity to meet with Iain prior to his appointment and looks forward to welcoming him to the University in due course. We are also working closely with the Chair of Court to ensure a comprehensive introduction programme and smooth transition. In the meantime, we will maintain a sharp focus on our agreed priorities and will continue to drive these through our work with the Court.
5. We would also like to announce the appointment of the new Director of Research Innovation Services, Dr David McBeth (from 22 September) and the new School of Medicine Manager, Fiona Brown. We warmly welcome both into their new positions and look forward to what they will bring to the University.

B. SECTORAL MATTERS

Scottish Funding Council Review

6. In the June report to Court, we set out the three phases to the Scottish Funding Council (SFC) review, with Phase 1 (August 2020 - September 2020) being early analysis of the possible financial impacts of COVID, Phase 2 (September 2020 – December 2020) focussing on detailed developments for change and Phase 3 (January 2020 to May 2021) involving plans for implementation. In conducting Phase 1 of their review, the SFC requested contributions from all bodies of interest in relation to funding availability, mitigation strategies and the on-going response to the pandemic. In particular the review invited responses to questions such as what currently works well in the Scottish HEI system, what the SFC could do to support economic recovery post-Brexit and post-pandemic, as well as how the SFC could contribute towards connectedness and partnerships.
7. In our response, submitted on 10 August, we highlighted issues we felt were pertinent for our institution. An overarching theme of our response focused on the chronic underfunding of both home students and research, which had been evidenced in two Audit Scotland reports and has led to the sector becoming heavily dependent on international student fees to recoup losses on research and subsidise the teaching of home students. Despite this, we emphasized the strengths of the Scottish HEI system and in particular Dundee, such as our outstanding progress in widening access, our achievements in research and projects such as the Tay Cities deal that highlight the impressive

innovation in the sector. In doing so, we highlighted the failure of the SFC to properly link their Outcome Agreement process to funding decisions.

8. We hope that the SFC consider the aspects of the Scottish HEI system we wish to preserve and strengthen and thoughtfully review existing models of funding, accountability, collaboration and targets so that they sufficiently operate in a way that enables the Scottish HEI system to navigate the current challenges and thrive in the post-pandemic world.

Pay and Pension Matters

9. For several years now the Court has expressed concerns over the growing deficit of the USS and UoDSS pension schemes. Whilst the operation of the USS scheme is out of the University's control, it nevertheless poses a significant risk to the University's financial sustainability. Further consultations with USS are anticipated over the next 3-months and we will continue to engage the Pension Sub-Group when forming our responses to UUK. The University also needs to consider how it may mitigate risks relating to its own pension scheme, UoDSS, where the deficit is also continuing to rise. In this respect work has commenced to review the benefits offered via UoDSS, with any proposed changes requiring staff consultation and ultimately Court decision. Court will receive an update on progress at the November meeting, but members will be aware that both schemes have the potential to raise significant employee relations challenges.
10. The Court approved at its last meeting a proposal that UEG explore the possible implementation of pay cuts in the event that the University's financial position in November was such that they were required. The UEG has been pursuing all options open to it to make the required level of savings identified in the budget and would like to emphasise that the staff pay cuts option is very much seen as a last resort in order to seek to avoid redundancies. Whilst an unwelcome solution to the current financial challenges, the parameters and principles of the proposal have been discussed with the People & Organisational Development Committee and emphasise fairness to staff, transparency, and protections for the most vulnerable and lowest paid.
11. As members will recall, the point for decision on measures such as this will be the November meeting of the Court and the UEG will continue to consult with staff as appropriate to ensure open, transparent engagement.

Equality, Diversity and Inclusion

12. At our last meeting of Court, we highlighted the steps the University has taken to progress the equality and diversity agenda, particularly in light of the recent Black Lives Matter campaign. We remain committed to advancing the principles of equality and diversity throughout our institution and are actively reviewing our current strategy to ensure we are doing all that we can to improve the representation, progression and experience of our ethnic minority staff and students (as well as those with other protected characteristics) to create a truly fair and diverse institution.
13. With this in mind, Thomas Veit has taken the role of as an Equality and Diversity Champion within our leadership team, to ensure continued focus and momentum on matters of equality and diversity. In this spirit, we recently invited the Advance HE/SFC Race Project steering group to our last joint UEG and Deans' Group meeting where they gave an insightful and compelling presentation on how universities can address the findings of the recent [EHRC report](#) previously shared with the Court. The presenters highlighted progress that had been made with the project, including the creation of a Race Equality Declaration with a supporting statement which the University signed on 10 August.
14. Since then, our Equality and Diversity Champion and Director of Human Resources & Organisational Development have been working to develop a set of EDI priorities the UEG can pursue with the aim of producing tangible outcomes and enacting meaningful change. We now have a standing item on our monthly meetings with the Deans' Group and hope to bring further ideas through to the People & Organisational Development Committee in early 2020/21.

C. STRATEGIC MATTERS

UEG Strategic Priorities

15. Over the past few months we have, as a UEG, reported regularly on progress relative to our six agreed strategic priorities which were as follows (i) Improved Performance Management, (ii) Financial Sustainability, (iii) School of Business, (iv) Successful Delivery of our Strategy and Submission to the Research Excellence Framework (REF2021), (v) Review of Academic Footprint/School Structures and (vi) the Delivery of the Business Transformation Programme. As the academic year drew to a close, we undertook a thorough review of these priorities, as well as discussing our new priorities for 2020/21 which we agreed at a UEG Away Day on 21 August (table 2).

Strategic Priorities 2019/20

16. As the RAG rating shows, there has been overall good progress in all the areas with two projects (School of Business and Successful delivery of Research Excellence Framework (REF2021) Strategy) substantially meeting their objectives. Full outcomes of the 19/20 priorities are detailed in annex 6.

Priority	UEG lead	RAG
1. Improved Performance Management	Pamela Milne	Amber
2. Financial Sustainability	Carol Prokopyszyn	Amber
3. School of Business	Wendy Alexander	Green
4. Successful delivery of Research Excellence Framework (REF2021) Strategy	John Rowan	Green
5. Academic footprint/School Structures	Julian Blow	Amber
6. Delivery of Business Transformation Programme	Jim McGeorge	Amber

Strategic Priorities 2020/21

17. The unfinished aspects of the 2019/20 priorities have been re-evaluated and those that are still relevant continue forward into the 2020/21 list of priority projects (see below). In addition to these strategic projects UEG will continue to work on COVID business recovery which, while still critically important, is moving into a business as usual phase.

Priority	Objective	Outcome
1. Financial Sustainability UEG Lead: Carol Prokopyszyn	This project continues progress towards financial sustainability on the themes of 'survive' and 'thrive'. It includes a mix of in-year actions on budgetary control and longer-term initiatives which will link to the priority on development of a new strategic plan. 1. Maintain cost control in line with budget and Plan. 2. Introduce additional cost saving measures if required. 3. Deliver financial scenario modelling to support strategy review. 4. Reduce employer risk in UODSS through benefit change. 5. Diversify income streams (e.g. commercialisation)	<ul style="list-style-type: none"> • Cost controlled in line with 20/21 budget, with regular reporting to UEG & Court • Additional cost reduction measures ready by 31/10/20 • Financing proposal approved by Court June 2021 • UoDSS benefit change approved by Court April 2021
2. Academic Excellence and Structure UEG lead: Julian Blow	This project is an outgrowth of project 5 from last year. It has been styled to include four parts: 1. Staff appraisal and development (academic and professional services staff). This is a continuation of 19/20 priority 1.– Pam Milne	The strategy is designed to set out a series of proposals to enhance academic quality and financial sustainability. The next steps to achieve this will be: <ul style="list-style-type: none"> • Management of individual academic performance (Julian Blow) • Options for institution-wide changes and School-specific actions

	<ol style="list-style-type: none"> 2. Teaching excellence and efficiency – Blair Grubb 3. Research excellence and efficiency (following on from project 4) – John Rowan 4. Academic performance and structure – Julian Blow 	<ul style="list-style-type: none"> • Options for: i) bringing Social Sciences disciplines together and ii) closer and more efficient working of SMed and SLS • Recommendations agreed by UEG for presentation to Court Retreat and Senate.
<p>3. Delivery of Business Transformation Programme</p> <p>UEG lead: Jim McGeorge</p>	<p>To introduce an ERP solution that transforms our core business systems – Finance, HR/Payroll and Research – in order to drive new ways of working and enhanced approaches to the efficient and effective delivery of Professional Services to meet the University's strategic priorities.</p>	<ul style="list-style-type: none"> • Signing of UEG-approved negotiated agreement with TechnologyOne (end August 2020). • Orderly closure of Student element of the programme including documentation of processes, workflows and harmonised ways of working and realisation of staff and non-staff savings associated with the decision (end December 2020). • Implementation of HRP and Research elements of the system during 2020/21 in line with the revised timetable within the negotiated agreement.
<p>4. Blended learning</p> <p>UEG lead: Blair Grubb</p>	<ol style="list-style-type: none"> 1. Blended Learning for 20/21 - including delivery of curricula and high-quality student experience in this new teaching mode 2. Curriculum Design Principles <ul style="list-style-type: none"> - Define the hallmarks and attributes of all UoD degrees (including inclusive curriculum, active learning, diverse curriculum delivery and assessment, curriculum-based employability skills development. - New process linked to Periodic Programme Review, that will evaluate academic fit and programme financial sustainability. 	<ul style="list-style-type: none"> • Successful delivery of flexible blended curriculum delivery for 5 Oct 2020, and the remainder of the academic year (including investment in digital infrastructure, library resources and staff training). • Development of UoD Curriculum Design Principles by Spring 2020/21.
<p>5. Digital strategy</p> <p>UEG lead: David Maguire</p>	<p>The Coronavirus pandemic has clearly illustrated the need for an enhanced digital capability at the University. This project will:</p> <ol style="list-style-type: none"> 1. Develop a high level, multi-year university-wide strategy covering administration, research, teaching and underlying infrastructure. 2. Set out key principles and include plans for a governance model, roadmap, sustained investment and organisational structure. 	<p>The strategy will be developed by the end of 2020 and implemented in 2021 and beyond. Success will be measured by;</p> <ul style="list-style-type: none"> • User satisfaction • Technology resilience • Areas of the university that have been digitally enhanced.

6. New Strategic Plan	The current strategic plan is due for renewal in 2022. With the arrival of a new Principal in 2021 it is timely to begin the process of developing and consulting on a new plan.	By the end of 2020/21 an outline timescale and proposed process will be developed for initial consideration by the Court, following which the plan will be drafted in wider consultation with the University community ready for approval and implementation from August 2022.
7. Maximize Student Numbers and Income UEG lead: Thomas Veit and Wendy Alexander	<ol style="list-style-type: none"> 1. Delivery of open & partnership recruitment for full fee students (international) and RUK in 20/21 2. Manage COVID related developments – conversion, pre-departure, arrival, self-isolation support, online & blended welcome & landing well support 3. Lead on-line and in country recruitment, admissions, conversion for 21/22 for open and partnerships 4. Secure continued growth for International College Dundee 5. Transnational education: deliver recruitment, teaching and student support for offshore Joint Educational Programmes 6. Plan for UoD-CSU Joint Institute viva and launch (if approved) 7. Review plans for online brand building and marketing/sales 	<ul style="list-style-type: none"> • Income and student numbers as per budget 2020/21 • Successful implementation of COVID related plans and recruitment KPIs • Admissions and recruitment KPIs as per operational plans for ER, Global Partnerships, ARLs / ADIs & Doctoral Academy • ICD budget plans 2020/21 & 2021/22 • Fulfilment of plans for Global Partnerships and income as per business plans • See outcome for 5. • Budget review and renewed plans for 2021 onwards
8. Equality, Diversity and Inclusion UEG lead: Pam Milne	<ol style="list-style-type: none"> 1. Implementation of Race Charter <ul style="list-style-type: none"> - Formation of university self-assessment team - Development of timeline for actions - Formation of focus groups to facilitate development of university action plan 2. Retain Athena Swan Bronze Award <ul style="list-style-type: none"> - Preparing draft submission by the end of the current year - Liaise with relevant established groups in preparation for final submission 	<ul style="list-style-type: none"> • progress being made with commencement of Race Charter now underway. Goal is to submit application in November 2021. • Working towards renewal of AS Bronze Award. Goal is to have submission ready for April 2021.

Academic Excellence and Structure

18. At the last meeting of Court, we reported on progress made towards our 2019/20 priority 'Future Academic Structure and Footprint', including work undertaken on behalf of UEG by the Vice-Principal (Education), Vice-Principal (Academic Planning & Performance) and the Deans to rationalise our teaching portfolio and consider the best academic configuration to ensure both academic excellence and financial sustainability. We have provided further updates on this matter through the regular Court briefings.
19. Since the last meeting, we have spent a significant amount of time as UEG discussing the details of the proposal ensuring that its vision meets the needs of the institution. This priority has now been refined into the 'Academic

Excellence and Structure project which further develops the objectives of the previous proposal in the areas of Teaching Excellence and Efficiency (led by the VP Education), Research Excellence and Efficiency (led by the VP Research, Knowledge Exchange & Wider Impact), School Structures (led by VP Academic Planning & Performance) and Staff Development and Appraisals (led by Director of HR &OD).

20. We have begun work to pull together up to date data on the teaching, research, and financial profile of each School and we look forward to working with Court to co-create a firm direction of travel during the second day of the Court Retreat. As discussed in the Principal's briefings, this is the start of a process which will include widespread consultation with Senate and the University community and will ultimately set us on the path to achieving financial sustainability.

D. INTERNAL MATTERS

Student Recruitment

21. We approach registration and matriculation in the Autumn with greater certainty about our Scot/EU funded intake, a clearer but still uncertain picture of our UG RUK recruitment, and continued uncertainty on our likely Overseas student numbers. We are pleased to be able to confirm that we expect to meet our UG Scot/EU funded caps and targets and to report a stronger Widening Access MD20 performance this year than last. This is despite the challenges facing our offer-holders this year.
22. Members will be aware of the complications arising from the Scottish and UK government decisions with regard to SQA and A-Level results. As a result, we expect a degree of over-recruitment, mainly in some controlled subjects (for example medicine, dentistry, and nursing). With regard to the SQA results the sector is currently in negotiation with the Scottish Funding Council (SFC) and the Scottish Government to agree the way in which additional funding will be allocated to address these increased numbers. We are hopeful that this will lead to SFC income above that previously confirmed to the Court.
23. We have performed well in Clearing, making significantly more offers to RUK undergraduate Clearing applicants than last year. This would normally suggest a strong performance relative to budget, but it is possible that the government's decision to revise A-level results could result in offer-holders who have firmly accepted us choosing to revert to their original institution of choice. We expect to have a clearer outlook by mid-September and will update the Court in due course.
24. International UG and TPG demand remains strong and would normally suggest we could perform at or above our targets. However, this year we expect that demand will not be an accurate indication of our eventual matriculation position. There are a number of significant factors outside our control (for example in relation to public health, visas and travel restrictions) impacting on those countries which are the source of the majority of our overseas students. Consequently, it is likely that these will impact our number of matriculations in October and January and means we cannot accurately predict our matriculation position with certainty until students actually enrol for semester one.

COVID-19 and Preparing for the Future

25. The University has continued to maintain oversight of developing risks and to plan accordingly through the COVID Sub-Groups which report to the UEG. It is clear that the Scottish Government has now recognised the unique challenges faced by Universities with regard to the pandemic. The University is currently drafting its response to a Scottish Government request for information on steps we have taken to mitigate the risk of outbreaks on campus. Whilst the specified timeframe for response is short, our COVID Sub-Groups have meant that we are well prepared to do so.
26. The Towards 2020/2021 Sub-Group has been working with Schools to ensure we have high quality online materials, which you will have seen from our 2020/21 priorities is a significant focus for UEG in the coming year. At present, we have several ongoing digital training workshops to support staff in the delivery of blended learning. The Sub-Group has also been working extensively with Estates & Campus Services to investigate opportunities to re-purpose rooms as teaching spaces to allow more students the opportunity to experience in-person learning on campus. All this will be done whilst strictly following government advice and communicating to our students our expectations in relation to safety on campus, such as the use of face coverings and appropriate social distancing.
27. It is likely that the University will host a walk-through COVID test centre that will provide a facility for rapid testing of staff and students in Dundee. In addition, we are currently looking at ways in which we can assist the efforts of the NHS contact and trace initiative. Extensive plans have been put in place to deal with and support the self-isolation/quarantine of students arriving from non-exempt travel countries and for handling any Coronavirus outbreak within our community.

28. A new set of [guides](#) have been created to inform students and staff of what they should expect when returning to campus, and although the student experience will undoubtedly be very different entering the new Semester we are confident we will be able to offer a safe and high-quality experience for our students that maintains the strong sense of community for which Dundee is highly regarded.
29. We have been heavily engaged with staff on health and well-being issues, recognising the pressures the pandemic may have put on them. The Principal, at the most recent Court briefing, gave a summary of our first pulse survey which included actions the University has taken to address issues raised by staff. The outcomes of the second pulse survey are now being analysed, the results of which we will share with Court in due course. In addition, members of UEG plan, subject to any changes to Government guidance, to return to campus on a rota basis from September to show visible leadership for those staff and students who have already returned to the campus.
30. It is important to recognize the achievements our research staff have made in progressing understanding of the virus. Further to the wealth of COVID related projects outlined in previous updates to Court, on 5 July, the University announced the launch of a major UK research study into the long-term health impacts of COVID, with our own Professor Chalmers taking the position of Scottish lead. The study has been awarded £8.4m jointly by UKRI and NIHR. To date, our total income from COVID grants exceeds £7.6 million allocated between 23 research projects, with many currently underway and others due to start later next year. In addition, our non-COVID research continues to prosper with major new awards and further outcomes of significance.

League Tables

31. The annual league tables report, which the Court will consider at its meeting in November, will set out in further detail our performance and actions being undertaken across the major UK and international tables. Annex 4 provides a short summary of highlights since the last meeting of Court. Whilst there are areas for improvement, Dundee remains exceptionally strong in several areas.
32. It is clear that competition across the international HE sector continues to increase, and in particular we are seeing improving European institutions displacing UK institutions from the higher places in the surveys. Our greatest capacity to improve our international rankings remains in the academic and employer surveys and preparations for submitting nominations for the coming annual surveys are underway.

International Affairs

33. An update on international activities can be found in annex 5. The summary highlights activities relating to the 'Academics Abroad' initiative as well as activities and risks relating to our Joint Educational Partnership (JEP) with Wuhan University, JEP with Northeastern University and our Joint International Institute with Central South University.

Graduation

34. Finally, we would normally close the report at this time of year with an invitation to Court members to attend the Winter Graduation to celebrate the endeavours and achievements of our students. We very much regret the fact that the Winter 2020 graduation will not be able to be held in person due to the current circumstances. With this said, we have made online arrangements for students to celebrate their success with University staff, family and friends. We will provide Court with details in due course and hope that many of you will be able to join us for this event.

University Executive Group

26 August 2020

Annex 1: University Executive Group Meetings

The University Executive Group has met formally on 17 June, 22 June, 29 June, 1 July, 6 July, 13 July, 20 July, 27 July, 29 July, 3 August, 10 August, 12 August, 17 August and 24 August. The following items were considered:

1. CORPORATE ISSUES

- UEG Actions and Priorities for 2020
- COVID-19
 - Student mobility
 - Business recovery
 - COVID-19 Group updates
 - Returning to campus arrangements
 - Health & Safety Considerations
 - HE contribution to COVID
 - Digital readiness
- Business Transformation

2. FINANCIAL ISSUES

- Budget Saving measures
- School and Directorate budgets
- Student Numbers forecasts
- USS consultation

3. ACADEMIC MANAGEMENT ISSUES

- Teaching delivery
- Course availability for 2020/21
- Graduate Outcomes
- NSS Results
- Graduation

4. HUMAN RESOURCES ISSUES

- Flexible working
- Staff pulse survey
- Equality, Diversity and Inclusion

5. STRATEGIC MATTERS

- Current Strategic Priorities
- Future strategy and priorities
- Academic Excellence and Structure
- SFC matters
- UEG Away Day

Annex 2: Details of Research & Related Awards

The selection of grants and awards detailed below have been selected in order to showcase the diverse range of research undertaken across the University, 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) **Professor A Abdolvand (School of Science and Engineering)**
HL-LHC-UK2: Laser Structuring of LHC Beam Screens for the Mitigation of Electron Cloud and Multipacting Phenomena (Joint with Universities of Manchester, Oxford, Southampton, Liverpool, London and Lancaster and STFC)
£1,067,149.00 (Including £418,731.00 overhead) from the Science and Technology Facilities Council

STFC awarded £13.05M to the universities of Manchester, Dundee, Oxford, Liverpool, Lancaster, Royal Holloway and Southampton to continue UK's R&D efforts towards the High-Luminosity upgrade of the Large Hadron Collider (HL-LHC). UK's contribution through STFC is match-funded by CERN. Professor Abdolvand will be leading on a work-package that is exclusively based on Dundee's Laser-Engineered Surface Structures technology (LESS technology). The final delivery of the technology will be flagged as a unique contribution from UK (University of Dundee) to the HL-LHC.

- (ii) **Professor J E Clarkson (School of Dentistry)**
Pulpotomy for the Management of Irreversible Pulpitis (PIPS)
£1,027,484.00 (including £281,562 overhead) from NHS National Institute for Health Research

Professor Jan Clarkson from the School of Dentistry is leading the National Institute for Health Research Health Technology Assessment's (NIHR HTA) Pulpotomy for Irreversible Pulpitis (PIP Trial). Irreversible pulpitis (persistent toothache) occurs when tooth decay spreads deep into the tooth causing irreversible damage to the nerve causing pain. The PIP study will recruit 530 NHS adult dental attenders from across Scotland and England. This pragmatic trial in general dental practice will compare root canal treatment (conventional care) to a novel simple treatment, pulpotomy, that avoids the need for a root filling. Success will be the avoidance of complex treatment, patient experience and cost. The study challenges conventional dental care and is likely to inform dental policy globally.

- (iii) **Dr S J Coulthurst (School of Life Sciences)**
The fight for success: inter-bacterial competition mediated by the Type VI secretion system and its effectors
£1,909,584.00 from Wellcome Trust

Infectious diseases caused by bacteria represent a major global health issue, exacerbated by ever-increasing antibiotic resistance. Bacteria normally live in mixed communities and compete with each other by actively killing their rivals. This ability to compete is important for the success of pathogenic bacteria and may also provide clues for us to learn how to kill bacterial cells. This project will study a bacterial weapon called the Type VI secretion system (T6SS), which many bacteria use to fire toxins into competitors. Molecular techniques will be used to learn how the T6SS can deliver many different toxins, what happens to toxins inside recipient cells, and how new toxins work to kill bacterial cells. The project will also use genomics to detect 'arms races' between bacteria as they pick up new toxins, and to understand the importance of T6SSs in human disease. Our work will reveal new aspects of bacterial biology and may contribute towards future anti-bacterial therapies.

Name	Discipline	Project Title	Total Value	Funder
Dr S Wyllie	Biological Chemistry and Drug Discovery	Mode of Action Studies in Malaria (Extension)	£925,129.00 (Including £144,213.00 overhead)	Bill and Melinda Gates Foundation

B. RESEARCH AWARDS >£100,000 <£500,00

- (i) **Professor T Tanaka (School of Life Sciences)**
Dynamic Regulation of Chromatin Loops by Cohesins and CTCF in Real Time: Physiology and Pathology
£496,277.00 (including £199,212.00 overhead) from the Medical Research Council

This research studies how the human genome is organised in the nucleus. The basic unit of this organisation is a chromatin loop, which is formed by the action of protein molecules called cohesins and CTCF. The study will reveal how these molecules regulate dynamics of chromatin loops in live cells using advanced microscopy methods. Regulators of chromatin loops are often mutated in inborn diseases and various cancers. The study also investigates how such mutations change dynamics of chromatin loops which will shed new light on the mechanisms of these diseases.

- (ii) **Professor J D Chalmers (School of Medicine)**
A randomized controlled trial of SFX-01 to improve clinical outcomes in COVID-19 patients
£370,246.00 (including £6,866.00 overhead) from Lifearc

This study is a randomized controlled trial of a new drug which activates NRF2, part of the body's natural antioxidant defence to see if this will protect patients against the complications of COVID19. It is funded by the medical charity Lifearc and will be conducted in more than 10 hospitals around the UK. Universities scientists have been studying the importance of NRF2 for many years and this study represents a unique contribution of the university to the fight against COVID19.

- (iii) **Dr A Munro (School of Health Sciences)**
Understanding the Contextual Factors that Impact on the Effective Provision of Opiate Substitution Therapy (OST) and Needle and Syringe Programmes (NSP) in the UK: a Multi-Method Study and Realist Evaluation of What Works for Whom and Under What Circumstances (Joint with Universities of Stirling and Bristol and Kings College London)
£333,803.00 (including £187,210.00 overhead) from the NHS National Institute for Health Research

Amongst UK people who inject drugs (PWID), drug related deaths are increasing and at their highest ever. Hepatitis C prevalence is high and there are current outbreaks of blood borne viruses amongst PWID. Sharing of injecting equipment is the key cause of BBVs in PWID and remains high. To reduce harm, it is crucial to understand the barriers and facilitators to uptake/retention in different models of opiate substitution therapy and needle and syringe programmes and in associated costs, particularly with groups at most risk of harms or poor outcomes including older/younger PWID, women, homeless people, and those out of contact with services. This multi-method study seeks to understand the factors that impact on the use and effectiveness of (engagement, retention and harm reduction) OST/NSP service provision models for high risk PWID as well as the cost of provision of these models. Findings will be disseminated widely, nationally and internationally, including by people with lived experience.

- (iv) **Dr A R MacDonald (School of Humanities)**
The Scottish Privy Council, 1692-1708: Government from Revolution to Union
£203,376.00 from the Leverhulme Trust

The Centre for Scottish Culture in the School of Humanities has partnered with the University of Stirling for a major, three-year research project: 'The Scottish Privy Council, 1692-1708: Government from Revolution to Union'. Funded by the Leverhulme Trust, the c.£400,000 Scottish Privy Council Project will research one of the most important institutions of Scottish government in the early modern period. No published records exist for the Council from 1692 to 1708: the key aim of the project is the creation of an online digital record, combined with a simultaneous programme of research. Law and order, national security, social cohesion, social control, micro and macro-economic policy, interactions with other national and local governing bodies, and the character of foreign relations with England and continental Europe, are just some of the themes that this exceptionally rich source allows us to explore.

- (v) **Dr Josephine Ross (School of Social Sciences)**
Using the Development of Self to Understand and Ameliorate the Perceived Loss of Self in Dementia
£125,208.00 (including £54,762.00 overhead) from the British Academy

Dr Josephine Ross has been awarded a mid-career fellowship from the British Academy. The project applies her expertise in the development of self-awareness in infants to explore the loss of self in dementia. Around 1 in 3 people born this year will suffer from dementia in their lifetime, and identity loss is a hallmark of the condition. The research measures whether our experience of 'self' in dementia declines in the reverse order of its growth in infant development. If this were the case, interventions aimed at supporting the earliest developing forms of self-awareness could maintain connections between people in late stage dementia, when the person may otherwise feel lost.

Name	Discipline	Project Title	Total Value	Funder
Vice Principal for Research	Executive	COVID-19 Grant Extension Allocation University of Dundee	£441,998.00	UK Research and Innovation (UKRI)
Dr J Hartmann	Law	Risk Aware Port Inspection Drones (RAPID) (Joint with University of the West of Scotland (Lead), University of Limerick, Hamburg Port Authority, XOCEAN Limited, Fraunhofer, Revolve Water, SINTEF AS and Thales SA)	£296,617.00 (Inc. £213,367.00 Overhead)	European Commission
Professor W N Hunter	Biological Chemistry and Drug Discovery	Exploiting the methylerythritol phosphate pathway as a source of drug targets for novel anti-infectives (MepAntl) (Joint with Helmholtz-Institute for Pharmaceutical Research (Lead), University of Groningen, French Alternative Energies and Atomic Energy Commission, Ghent University, Compound Handling BV, University of Strasbourg, University of Bergen, Research Centre Borstel, Swiss Tropical and Public Health Institute, OmicScouts GmbH)	£267,258.74 (Inc. £19,041.26 Overhead)	EC Horizon 2020 - Marie Skłodowska Curie Actions (MSCA)
Dr M D Newlands	Civil Engineering	Transport Infrastructure Efficiency Strategy Living Labs	£264,852.00 (Inc. £122,163.00 Overhead)	Innovate UK
Professor J S Rowan	Executive	InGame collaboration agreement - Amendment	£239,400.00	University of Abertay
Professor T Tenaka	Gene Regulation and Expression	Molecular Mechanisms Regulating the Kinetochores-Microtubule Interaction in Mitosis (Principal Research Fellowship)	£157,641.15	Wellcome Trust
Dr D R Morales	Population Health and Genomics	Multimorbidity and Clinical Guidelines: Using Epidemiology to Quantify the Applicability of Trial Evidence to Inform Guideline Development (Joint with University of Edinburgh and University of Glasgow)	£134,850.40 (Inc. £28,659.20 Overhead)	Chief Scientist Office
Dr J Harvey	Systems Medicine	Cannabinoids for the Reversal of Cognitive Impairments in Schizophrenia: Evaluating the Role of the Putative, Novel Cannabinoid Receptor GPR55 and the Temporoammonic Pathway (PhD)	£132,524.00	Medical Research Scotland

		Studentship) (Joint with University College Dublin and Industry)		
Professor I H Gilbert	Biological Chemistry and Drug Discovery	Chemical Biology: Leveraging Phenotypic Hits Against Kinetoplastids (COVID-19 Supplement)	£131,201.00	Wellcome Trust
Professor Sir M A J Ferguson	Biological Chemistry and Drug Discovery	Protein Glycosylation in Trypanosomes; Defining and Exploiting a Biological System (COVID-19 Supplement)	£105,954.07	Wellcome Trust
Dr M B Bamford	Molecular Microbiology	Deconstructing a biofilm - self-assembly of bacterial protein fibres	£101,642.00	EMBO

C. RESEARCH AWARDS >£50,000<£100,000

Name	Discipline	Project Title	Total Value	Funder
Dr S J Coulthurst	Molecular Microbiology	Senior Research Fellowship - Deployment, Consequences and Utility of Bacterial Effectors: COVID-19 Supplement	£97,748.13	Wellcome Trust
Professor J R Swedlow	Gene Regulation and Expression	The Image Data Resource: Making Biological Imaging Data FAIR (Joint with EMBL-EBI) (Biomedical Resources Grant)	£95,569.17	Wellcome Trust
Dr M J McCarthy	Civil Engineering	Low Carbon Concretes for Scottish Infrastructure Development	£70,000.00	Scottish Research Partnership in Engineering (SRPe)
Professor A Taylor	Art and Design Office	The Trinity Buoy Wharf Drawing Prize	£65,000.00	Trinity Buoy Wharf Trust
Professor E R Jefferson	Population Health and Genomics	CSO iCAIRD Innovation Fellowship	£64,758.00	University of St Andrews
Professor G J Barton	Computational Biology	Extending the Jalview Resource for Biological Sequence Alignment and Analysis (COVID-19 Supplement)	£57,127.08	Wellcome Trust
Professor J J Blow	Executive	Understanding the Cellular Response to Replication Inhibition (Senior Investigator Award)	£56,804.81	Wellcome Trust
Mr A Dennison	Imaging Science and Technology	A Reusable Emergency Face Mask Solution To Meet NHS Shortages	£50,000.00	NHS Tayside

Annex 3: People and Prizes

1. Scott Mackenzie and Christopher Nelson have recently jointly received the prestigious Wimberly Award. The Wimberly Award is an annual honour given by the Principal to students who have significantly contributed to University life since their studies. Scott graduated early in December and joined the cohort of junior doctors fighting against the pandemic. Scott produced a number of academic papers whilst studying at Dundee focusing on issues of LGBT reproductive rights and also founded the Sign Language Society in 2016. Christopher is a politics graduate who has, at his time at Dundee, championed fiercely for human rights. At the same time as acting as President of Social Sciences, Christopher designed and implemented a two-month advocacy campaign for Dr Ahmadreza Djalali, an Iranian-Swedish academic who has been sentenced to death under allegations of spying that he and his supporters dispute. Whilst unfortunately neither could cross the stage to receive the award, they joined thousands of University of Dundee Graduates celebrating from home all over the world.

Annex 4: League Table HighlightsNSS

1. Our University-level NSS results fell from the exceptional 2019 scores but continue to show high performance. Overall satisfaction of full-time undergraduates was 87.4% (90.2% in 2019). This places the University 11th in the UK and 4th in Scotland for Overall Satisfaction, down from 4th and 2nd respectively in 2019. Results across the sector are likely to fall in the coming year as delivering a universally excellent student experience will be extremely challenging due to the ongoing pandemic. Good communication with students and responsiveness to concerns will be crucial to ensuring our results remain relatively strong.

Graduate Outcomes

2. This year brought the first results of the Graduate Outcomes survey, (replacing the previous Destinations of Leavers from Higher Education survey) which found 93% of our graduates were in employment or study, placing us second in Scotland and eighth in the UK. Over 87% of Dundee graduates in full time employment were in high skilled jobs.

Times Higher & QS

3. Overall rankings in both the Times Higher and QS rankings international league tables fell, largely because other countries have developed their approach to league tables.
 - The University remains in the top 201 - 250 in the Times Higher rankings and is positioned at 319 in the QS rankings.
 - The University was ranked in the top 50 worldwide for Sustainable Development in the Times Higher Education University Impact Rankings 2020.

Domestic League Tables

4. Domestically, the University maintained a 31st place ranking in the 2020 Complete University Guide, with strong entry tariff improvements and the exceptional 2019 NSS student satisfaction contributing to this success. The Guardian University Guide will be published in September 2020 along with the Times.

Annex 5: International AffairsAcademics Abroad

1. We have previously spoken about the Academics Abroad Project, which we launched in 2018 and is now approaching the end of the second year of the three-year pilot. The Academics Abroad initiative has been hugely successful and has seen the development of coherent teams of professional services staff and academics across diverse disciplines, which promote recruitment activity overseas and ultimately contribute to the financial sustainability of the University through unregulated fee income.
2. In the first year (pre COVID) of this pilot TPG matriculations in the three main target regions rose as follows: East Asia (including China) 341 to 414; in South Asia (including India) 96 to 120; and in South East Asia from 28 to 55. No one would attribute all improvements to this project, however, all those colleagues engaged in the international recruitment/partnerships would point to the success of the pilot in harnessing academic enthusiasm and commitment for international recruitment.
3. Overall, performance in terms of stimulating effective cross school-working in key markets to enhance recruitment impact has exceeded expectations. The success thus far creates a firm foundation on which we can rebuild and adapt to the needs and opportunities of the post COVID environment.

Joint Educational Partnership with Wuhan University

4. Despite pressures of the outbreak, colleagues have successfully continued to deliver teaching through facilitating studios 3 days a week with supporting live tutorials and Q&A's ([here](#) you can view a short video demonstrating how we have taught online this year). We have had positive feedback from both students and WHU colleagues and expect to deliver the same mode of teaching in Semester One for this cohort. We are continuing to encourage as many of the Year 5 students to come to Dundee as usual, and meetings are underway with students and their parents to address questions around 'safe campus arrangements', including teaching plans and accommodation.
5. Arrangements are already in place for those students who choose to delay coming to Dundee until Semester One in January 2021, with Semester One teaching being made available online. In addition, we are currently preparing renewal documentation for submission to China's Ministry of Education in 2021 for a further 5-year programme and the associated contract renewal.

Joint Educational Partnership with Northeastern University

6. We have continued to develop online provision to mitigate against the impact of COVID on teaching delivery. We expect to deliver teaching in the same way through to Semester one and are currently working with NEU to plan teaching for 2020/21. Due to the financial impact of COVID the budget for 2019/20 has been adjusted to reflect the reduced travel and accommodation costs. Finally, we are working with PWC to resolve the positions with regards to Permanent Establishment status and tax.

Joint International Institute with Central South University

7. Court will recall the Central South University (CSU) Joint International Institute (JII) project which has cleared Hunan Provincial Government approval and is with the Ministry of Education (MoE). The UoD-CSU JII will offer students (300 pa) a BSc/BEng (Hons) across 5 disciplines within the School of Science and Engineering. CSU have advised that they expect initial feedback imminently and further information on our defense viva with the expectation that this will happen in autumn 20, and a formal decision during 2020.
8. The MoE application pack was prepared on the basis of a first cohort intake in September 2021, however with likely delays to the approval process as a result of the COVID-19 pandemic, we anticipate agreeing with the MoE to delay the JII recruitment and opening until September 2022. We are working with CSU to plan for a successful outcome, for both timelines. UEG will shortly be considering the key tasks to be undertaken ahead of a September 2021 and a September 2022 launch, one of which will be the recruitment of an Academic Director, including appropriate Interim arrangements if required.

Annex 6: 2019/20 UEG Priorities Update

RAG	Priority	Objective	Outcome
	<p>1. Improved Performance Management</p> <p>UEG lead: Pamela Milne</p>	<p>To support high performance through:</p> <ol style="list-style-type: none"> 1. Key senior appointments 2. Development and implementation of an integrated approach to performance management and reward which drives organisational performance and the delivery of the University's strategy and objectives. 3. Collaborate with VP (E) to deliver a Teaching Development toolkit. 4. Develop an Organisational Development (OD) proposal for senior leadership teams with a focus on leadership and delivery of performance objectives. 5. Enhance the Research and Teaching Environment 6. Strategic Reward and Recognitions 7. Delivery of the HR and Payroll module of Business Transformation project. 8. Responding to COVID challenges 	<p>Progress has been made in all workstreams, including; key appointments (now progressing permanent VP (AP&P) and Dean of Dentistry), performance management (e.g. revised OSaR, Bonus Reward Scheme) and an OD proposal for senior leadership teams has been drafted. The new academic promotions procedure is now also ready for use and implementation of the new HR & Payroll system is underway with completion projected for summer 2021.</p> <p>The delivery of the Research Excellence Framework is underway which includes delivering development activities for research staff. Structured development programmes for academic teaching staff are less well developed and the Teaching Development toolkit is yet to be progressed due to delays. All COVID related work is being delivered but has led to delays in the delivery of other objectives as a result.</p>
	<p>2. Financial Sustainability</p> <p>UEG Lead: Carol Prokopyszyn</p>	<p>This a long-term project designed to provide financial sustainability for the University. The specific objectives (pre COVID):</p> <ol style="list-style-type: none"> 1. To improve budget control and accountability by implementing the agreed budget model. 2. Progress delivery of the £15m contribution gap by 2023/24 by: <ol style="list-style-type: none"> a. Defining the projects required, actions needed and milestones b. Allocating named responsibility for all projects c. Monitoring progress 3. Securing £60m funding for 3-5 years. <p>The COVID response added the following:</p> <ol style="list-style-type: none"> 1. Financial scenario modelling including student number planning. 2. Impact on ability and capacity to borrow. 	<p>A considerable amount of work has enabled good progress especially in the areas of budget forecasting management and budget deficit reduction. A credit facility for £40m has been successfully negotiated with Bank of Scotland.</p> <p>International student recruitment and pensions remain the highest risks.</p>

		<p>3. Liaison with and response to SFC/Scot gov/UK gov/UUK/US etc requests.</p> <p>4. Short- and medium-term actions required to mitigate the financial impact of the crisis (e.g.: cost cutting).</p> <p>5. Consideration of the changed landscape and how that informs the future structure options for the University.</p>	
	<p>3. School of Business</p> <p>UEG lead: Wendy Alexander</p>	<p>Support the establishment of a successful School of Business including:</p> <ol style="list-style-type: none"> 1. The induction of new Dean 2. Recruitment of senior team and key staff appointments. 3. Support excellence, in newest, fastest growing School. 	<p>This project has made excellent progress and is considered complete. The School has been successfully Mainstreamed back into standard School leadership mode under VP (AP) and out of special measures.</p> <p>A curricular review will be complete for the end of 2020.</p>
	<p>4. Successful delivery of Research Excellence Framework (REF2021) Strategy</p> <p>UEG lead: John Rowan</p>	<p>Success in REF2021 is vital for the University and will be measured in terms of our quality profile - defined by performance in 'outputs, impact case-studies and environment', expressed as the Grade Point Average (GPA) for the institution as a whole, and for each of 16 the Units of Assessment (UoAs) submitted in to the national deadline date (originally planned for 27 November 2020).</p>	<p>The REF submission date has been postponed to 31 March 2021. Second full draft has now been completed and we await feedback from external critical friends to augment internal reviews. Measures are in place to minimise further impact from covid-19 disruption. Excellent preparation will give confidence for a good submission.</p>
	<p>5. Academic footprint/School Structures</p> <p>UEG lead: Julian Blow</p>	<ol style="list-style-type: none"> 1. Review current existing academic footprint (size and shape) i.e. numbers of schools and academic composition 2. Create sustainable academic structures that enable the university to overcome its financial sustainability challenges 3. Recommend possible new structures for schools/academic areas e.g. Humanities, Social Sciences, Health Sciences and Education/Social Work but also other schools 4. Academic portfolio review and teaching delivery (BG) 	<p>This project took a while to get up to full speed, pending induction of JB, but has made excellent recent progress. Paper coming to Court Retreat for approval.</p> <p>The academic portfolio and teaching efficiencies project has been delayed in part due to Covid-19, but some success has been achieved in terms of programme and module suspensions, albeit initially temporary in nature.</p>
	<p>6. Delivery of Business Transformation Programme</p> <p>UEG lead: Jim McGeorge</p>	<p>To introduce an ERP solution that transforms our core business systems – Finance, HR/Payroll, Research and Student – in order to drive new ways of working and enhanced approaches to the efficient and effective delivery of Professional Services to meet the University's strategic priorities.</p>	<p>This has been a challenging project, but UEG has been decisive in scaling back the scope and putting the programme on a firm footing that should de-risk the remainder of the implementation.</p>

APPENDIX 2

AUDIT & RISK COMMITTEE MINUTES
(Minute 11 (1)(i))

A meeting of the Committee was held on 3 August 2020 via TEAMS online meeting.

Present: Keith Winter (Acting Convener);
Lady Lynda Clark; and
Collin Clunie.

In Attendance:	Richard Bint Mitchell Collins Dr Neale Laker Dr Jim McGeorge Dr Christine Milburn Olaf Postola Olga Potopova Carol Prokopyszyn Stephen Reid Dr Liz Rogers Matthew Swann	Convener of Finance & Policy Committee; Scott-Moncrieff (excluding item 10, 12); Director of Academic & Corporate Governance; University Secretary; Policy Officer (Corporate Governance); Corporate Governance Support Officer; EY (excluding item 10, 12); Director of Finance; EY (excluding item 10, 12); Policy Officer (Risk & Audit); and Scott-Moncrieff (excluding item 10, 12).
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Apologies: Karen Basset; and
Wendy Alexander

1. MINUTES

Resolved: to approve the minutes from the meeting of 19 May 2020.

2. MATTERS ARISING

(1) Action Log

The Committee noted the log of ongoing actions and in particular the impact of COVID-19 on the timings for the completion of some items. It was agreed that the action log would be reviewed with a view to including revised dates for those items that had been impacted by COVID-19.

- Resolved:**
- (i) University Secretary to review actions in the action log and provide new time-frames for the October meeting; and
 - (ii) otherwise, to approve the action log, noting that dates for progress updates would be included for next meeting.

3. RESERVED BUSINESS: BUSINESS TRANSFORMATION

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

4. COVID-19 RISK REGISTER

The Committee reviewed the COVID-19 Risk Register and noted that it was actively being used by the COVID-19 Operations Group and UEG. The Committee noted that likely student numbers would only start to become available from late September/October, potentially mitigating the financial risk to some extent, but that many residual risk levels remained high due to the uncertainty of the ongoing situation. The Committee considered long-term recruitment risks regarding the Chinese market and were pleased to note that the University was not as reliant on this market as some other institutions in the sector. Members also discussed measures in place to ensure that the University delivered the savings set in the budget, and noted that longer-term work would be undertaken by the Interim Vice Principal (Academic Planning & Performance) with regard to enhancing the academic and financial performance of Schools.

The Director of Academic Corporate Governance (ACG) explained that the COVID-19 Risk Register would in time be incorporated into the Institutional Risk Register as COVID-19 mitigation became part of business as usual.

Resolved: to note the risk register.

5. EXTERNAL AUDIT

The external auditors provided an update to the Committee on the external audit plan and the impact of COVID-19. With regard to the audit plan, the auditors informed the Committee that they had met with the Director of Finance on a regular basis and would continue to do so. The Committee noted that an addendum may be added to the annual report setting out a risk assessment of future uncertainties around COVID-19. The Committee noted that student intake data available in late September/October would be a key element in determining financial sustainability and reaching a conclusion on the assessment of going concern. Members also noted that the Scottish Funding Council (SFC) had agreed to extend the deadline for submission of the annual accounts to the end of February 2021, although the external auditors had been asked to report in line with the standard timetable of the end of November 2020, if possible.

The auditors noted that some institutions in the sector would be faced with making a material uncertainty disclosure due to the impact of COVID-19 on their ability to continue to operate as a going concern. Members however noted that this would be dependent on the degree to which the material uncertainty remained outwith that institution's control. The auditor confirmed that the entire sector faced the same risks - most notably an anticipated drop in international student recruitment.

Resolved: to note the update.

6. POLICY AND ENTERPRISE ARCHITECTURE

The Convener welcomed the Corporate Governance Support Officer (CGSO) to the meeting. The CGSO provided members with an update on policy management, including the transfer of University policies to the new Corporate Information Website to ensure better version control and monitoring. Members noted that the next phase of the project was the creation and implementation of an enterprise architecture to further support version control and to provide an automated system to alert individuals when a policy they were responsible for was due for review. The Committee was pleased to note that a demonstration of the new system would be carried out in advance of the meeting on 27 October 2020.

Resolved: to note the update and await a demonstration.

7. INTERNAL AUDIT

(1) Public Protection

The internal auditors introduced their report on the review of Public Protection which focused in the main on the University's approach to dealing with allegations of gender-based violence and hate crime. The report also included a review of how the University promoted awareness of reporting and the handling safeguarding concerns/the procedures in place to investigate them. The Committee noted that the report consisted of one grade three (high risk exposure) recommendations, two grade two (medium risk exposure) recommendations and one grade one (limited exposure) recommendation.

The Director of Academic & Corporate Governance welcomed the report and provided an update on several recommendations outlined therein. The Committee noted that a quick solution would be in place for the grade three recommendation concerning a policy protecting high-risk vulnerable adults, child protection and those vulnerable to radicalisation, with a longer-term solution to be delivered in February/ March 2021.

Committee discussions focused on anonymous reports and the potential implications for investigating these and identifying how support could be provided to victims. Members noted that other institutions utilised anonymous reporting to gauge and consider what support and communications might be required. The Committee accepted the findings and noted that further discussions would be brought to the Equally Safe Group for consideration.

Members proceeded to discuss allegations of a criminal nature and how instances were reported to the police. It was noted that the University worked closely with the local community, but that if a victim chose not to report an incident to the police, the University would be limited to its own disciplinary procedures, where appropriate.

Through discussion it was noted that the Higher Education sector had commenced a review of guidelines supporting incidents that might constitute a crime, which was led by Universities Scotland and included various stakeholders working together to find appropriate solutions. The Committee was satisfied that the focus for the University was maintaining safety on campus and supporting individuals.

The Committee also discussed the University's activity under Prevent, noting that the Legal Team was the lead for this in accordance with the terms of the legislative expectations in Scotland.

In respect of child protection issues, the University Secretary assured members that a full suite of policies was in place for the University Nursery and were subject regular review and inspection by the regulator.

Consideration was given to which committee should have oversight of the work of the Equally Safe Group (which focused on gender-based violence) and members noted that the University Secretary and the Director of Academic Corporate Governance would provide an update on this at the October meeting of the Committee.

- Resolution:**
- (i) The University Secretary and Director of Academic Corporate Governance to provide an update to the Committee on the oversight of the Equally Safe Group at the October meeting; and
 - (ii) otherwise, to note the report on Public Protection.

(2) Information Governance

The internal auditors introduced the Information Governance report which was focussed on the adequacy of policies, procedures and the governance frameworks in place to ensure that the University complied with relevant regulatory and legal requirements. The Committee noted that the report consisted of three grade three (high risk exposure) recommendations and one grade two (moderate risk exposure) recommendation. The Committee noted that the departure of a senior staff member in this area had led to the University reviewing its future approach and the University Secretary informed members that work was now underway to recruit to an appropriate post, ensuring alignment with expertise already present in the Legal Team.

Members noted the recruitment process underway and suggested that the timelines set in the report be reviewed. The internal auditor and University Secretary undertook to review the timeline and provide an update at the October meeting.

- Resolved:**
- (i) the University Secretary and internal auditors to review management action dates; and
 - (ii) otherwise, to note the report.

(3) General Ledger

The internal auditors introduced the General Ledger report which reviewed the new ledger systems in terms of appropriateness for recoding financial transactions and ensuring completeness and integrity in the production of appropriate management information. The Committee noted that the report contained two

grade three (high risk exposure) recommendations, one grade two (moderate risk exposure) recommendation and two grade one (limited exposure) recommendations.

The Committee reviewed the management actions and noted in particular the finding that there was an excess of users with super-user access. The Director of Finance agreed with the recommendations and the Committee was pleased to hear that actions would be completed by December 2020.

Resolved: to note the report.

(4) Internal Audit Progress Report

The Committee reviewed the internal audit progress report provided by the internal auditors. The Committee was satisfied with the progress of the audit reports and noted that the remaining three reports along with the follow-up report would be presented at the October meeting as planned.

Resolved: to note the update.

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

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

9. CUC GUIDE

The Policy Officer (Corporate Governance) informed the Committee that she had reviewed the Committee of University Chairs (CUC) revised Higher Education Audit Committee Code of Practice and that a report would be provided at the October Committee meeting.

Resolved: to review the report on the revised CUC Code of Practice in October.

10. RESERVED BUSINESS: INTERNAL AUDIT TENDER

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

11. NARRATIVE FOR COURT

During the meeting it was agreed that the Convener's report to Court on 3 September 2020 would include the following: the Committee's oversight of the Business Transformation programme; the Committee's review of the COVID-19 Risk Register; the update the Committee had received on policy management; the internal audit reports on public protection, information governance and the implementation of the general ledger; and the recommendation to the Court to appoint KPMG as the internal auditors.

12. RESERVED BUSINESS: EXTERNAL AUDIT CONTRACT

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

13. **DATE OF NEXT MEETING**

Resolved: 27 October 2020

Keith Winter
Acting Convener

APPENDIX 3

FINANCE & POLICY COMMITTEE MINUTES (Minute 11 (2))

A meeting of the Committee was held on 11 August 2020 via video conference.

Present: Richard Bint (Convener);
Alan Bainbridge;
Ronald Bowie;
Dr William Boyd;
David Dorward;
Professor David Maguire (Interim Principal & Vice-Chancellor);
Scott Quinn (DUSA President);
Professor Mairi Scott; and
Sharon Sweeney.

In Attendance: Bernadette Malone (Deputy Chair of Court);
Professor Julian Blow (Interim Vice-Principal (Academic Planning & Performance));
Peter Fotheringham (Deputy Director of Finance);
Rose Jenkins (Director of Estates & Campus Services);
Dr Neale Laker (Director of Academic & Corporate Governance) (with the exception of item 15);
Dr Jim McGeorge (University Secretary & Chief Operating Officer);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Carol Prokopyszyn (Director of Finance);
Wesley Rennison (Director of Strategic Planning); and
Professor John Rowan (Vice-Principal Research, Knowledge Exchange & Wider Impact); and
Jay Surti (Lay member of Court in attendance of the Committee).

1. MINUTES

Resolved: to approve the minutes of the meeting of 26 May 2020 including reserved minute 5.

2. MATTERS ARISING

(1) Action Log

Members noted the action log for the Committee, and the Convener drew members' attention to revisions to the log resulting from the COVID-19 pandemic. Members noted that some of the items postponed from the meetings in March/May 2020 were included on the agenda for the meeting.

In reviewing the log members clarified the requirements in relation to the TRAC Benchmarking item and agreed that this should be added back to the on-going items. Members also agreed that the two items relating to DUSA should be merged.

The Convener provided an overview of his discussions with the Vice-Principal (Education) regarding the proposed report on Teaching Efficiency Analysis, and the Committee agreed that this report had been subsumed into the broader review of academic excellence and structure, and that while a separate report was no longer required the Committee would maintain its focus on tracking this.

Resolved: to approve the action log subject to the amendments listed above

3. DIRECTOR OF FINANCE REPORT

The Director of Finance drew member's attention to: the approval of the extension of the £40m Revolving Credit Facility (RCF) with the Bank of Scotland (BoS) until 26 May 2022; changes to Scottish Funding Council (SFC)

requirements regarding the timing of the production and submission of annual financial statements; and updates in the report relating to the Universities Superannuation Scheme (USS) and University of Dundee Superannuation Scheme (UoDSS).

The Director also provided an overview of the external audit process to date. As with many HE institutions, the material financial uncertainty post-COVID was noted to be a key risk and members noted that the recruitment of international students was an important factor in this respect, but that it was outwith the control of the University. The Committee went on to explore the process for confirming the University as a going concern and noted that regardless of the student intake, the University needed to achieve the projected savings within the budget.

The Director highlighted the recent restructuring of the Finance Directorate into four teams: Procurement, Finance & Accounting, Research Finance, and Finance Business Partner Team, which had been greatly facilitated by the implementation of the OneUniversity Finance system. The role of finance business partners was noted to be important with regard to providing support to schools and directorates at a time when savings were necessary.

Resolved: to the update and await further information in due course.

4. UPDATE ON FINANCIAL SUSTAINABILITY AND BUDGET DEFICIT REDUCTION ACTIVITY

The Deputy Director of Finance provided an update on progress with regard to the realisation of budget/COVID-19 savings. He also provided an update on the further development of the budget deficit reduction measures.

With regard to schools, the Committee noted that £1.3m of the £4.0m total target savings had been identified, with £2.7m savings still to be found. With regard to directorates £2.2m of the £2.9m total savings target had been identified, with 0.7m still to be found. The Deputy Director confirmed that the achievement of savings was being reviewed on a monthly basis and that a range of contingencies were in place to mitigate risks including unregulated tuition fee income, royalty income, overhead recovery, and income from sports/catering facilities.

The Deputy Director also outlined other cash savings and opportunities in 2020/21, including items such as the extension of the furlough scheme, the additional SFC Research Grant, savings from budgeted salary increases that appeared unlikely to be required, and reduced capital spend. The combined value of these opportunities amounted to £16m.

Through discussion members noted that a number of the savings/opportunities were one-off's, and that further work was required to baseline these savings in future years.

The Committee discussed the balance of savings across schools and directorates and was reminded that in previous savings rounds the focus had been on directorates rather than schools - leaving less opportunity for further savings to be achieved in these areas. Members also noted the different challenges faced by each of the schools and highlighted the importance of holding deans and directors to account in relation to the delivery of their budget targets.

Through discussion the Committee recognised the structural issues which contributed to the financial sustainability challenge and agreed that the University needed to be transparent regarding the impact of necessary cost savings on service provision. The Committee also expressed an interest in further exploration of financial performance data benchmarked against competitors to contextualise and inform further savings and growth measures.

Resolved: to note the report and request that the discussion of benchmarked financial performance data be added to the schedule of business for the Committee.

5. SCHOOL FINANCIAL ANALYSIS

The Committee considered a review of financial data relating to each of the schools and noted that the development of a deeper understanding and awareness of school financial performance was a key strand of activity within the process to address the University's structural financial deficit. The report also provided an update on the 2020/21 planning process, and members noted the wide range of data being made available from the OneUniversity system to support schools in understanding their economies.

The Committee reviewed data provided on individual school contributions and noted that these had been largely static over the last five years, with costs rising in line with income. Members noted that due to the differential running costs and funding levels associated with different disciplines, it was not reasonable to expect all schools to make the same level of contribution, but that a review of individual school contributions before and after the cost of professional services and estates allocations had indicated schools where higher contribution levels would have been expected. The Deputy Director of Finance also drew attention to five of the schools where budget projections included an increased contribution over the coming five-year period, as well as schools where controlled numbers restricted this growth potential.

The Committee suggested that it would be useful for the Court to explore this information at the September Retreat to provide insight into the economies of Higher Education, and the Director of Finance undertook to refine the information for that purpose. Members also discussed the importance of activities being both academically excellent and financially sustainable.

Resolved: to note the report and recommend that the information on the economies of higher education be shared with the Court at the Retreat.

6. **RESERVED BUSINESS: BUSINESS TRANSFORMATION**

[Secretary's note: The Committee considered the update as reserved business. The University asserts that the minute 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 University Secretary & Chief Operating Officer updated members on negotiations with the OneUniversity system vendor, TechnologyOne, in relation to the Student 2A and 2B, HR & Payroll, and Research modules. The Committee noted that the University Executive Group would consider the outcome of these negotiations at a meeting later that week, and that the Court would be advised of the outcome in due course. Irrespective of the outcome of discussions, members highlighted the value of collating the knowledge amassed during the programme to date.

The Committee noted that a report on efficiency savings arising from the implementation of the finance module would be prepared for the October meeting of the Committee.

Resolved: to note the update.

7. **ESTATES & CAMPUS SERVICES REPORT**

The Committee received a paper from the Director of Estates & Campus Services which set out changes to the Estates Strategy Programme due to COVID-10, Capital Plan adjustments for 2019/20, the re-profiling of capital spend, and a number of estates issues of potential interest to the Committee including additional costs incurred as a result of COVID-19 and an update on projects which were 'in dispute' with contractors. The Director of Estates & Campus Services also provided a schedule for reporting on a range of topics throughout 2020/21.

Discussion focussed on methodology behind the development of proposals for a return to campus. Members noted that the Estates Strategy approved by the Court did not need to be rewritten, but that it would be adjusted and refined to account for operational restrictions and new ways and expectations of working.

Members also noted the importance placed on maintaining the on-campus face-to-face teaching experience.

Resolved: to note the report and await details of work to consider new ways of working in due course.

8. **PERIOD 11 MANAGEMENT ACCOUNTS AND YEAR END COMMENTARY**

The Committee received the Period 11 Management Accounts and noted that the forecast remained ahead of budget, but that there had been an adverse movement of £1.2m relative to the third quarter operating forecast. As such the accounts now projected a deficit of £5.7m, £0.6m better than budget. Cash at the end of the period was £28.4m.

In introducing the accounts, the Deputy Director of Finance highlighted COVID-19 adjustments including a £3m loss on investments, increased summer school costs and the write off of residence costs.

Discussions focussed on staff costs and in particular the increase in staff numbers since the Quarter 3 accounts due to recruitment to vacancies. The Committee welcomed the suggestion that the Deputy Director would include references to drivers for changes to staff numbers in future management accounts. Members also noted that without restructuring it would be difficult to reduce staff numbers without impacting on key areas.

Resolved: to note the accounts.

9. **RESERVED BUSINESS: STUDENT NUMBERS UPDATE**

The Committee reviewed a paper which outlined the student admissions position. At the time of the meeting the University expected to meet Undergraduate Scottish/EU controlled caps and the MD20 targets. Decreased demand from RUK undergraduate students was thought to be linked to the University's move to charge for each year of study (rather than three of the four years), and clearing was expected to be challenging in the current market circumstances. The undergraduate and post-graduate overseas markets remained highly uncertain, and the report highlighted a number of risks to recruitment. Finally, Scottish/EU postgraduate recruitment was indicative of a strong performance.

Resolved: to note the report and await further updates.

10. **ANNUAL PROCUREMENT REPORT**

The Head of Procurement attended the meeting to present a report on procurement-related activity during the 2018/19 academic year. Members noted that the report had been deferred from the March meeting due to the COVID-19 pandemic.

In presenting the report the Head of Procurement highlighted the significant benefits of the new OneUniversity finance system in terms of advanced connection with suppliers, management of purchase orders, and the rationalisation of suppliers. He also drew attention to the focus on sustainability in procurement, preparation for post-BREXIT procurement (for example in relation to the importing of goods), and the impact of COVID-19 on the cost of goods relevant to the pandemic (such as PPE and Ethanol). Members noted that the Procurement Team was structured on a category management basis, enabling the team to develop specific category-related expertise and thereby act as business partners with schools and maximise savings on a pan-University basis.

The Committee asked that in the report for next year the Head of Procurement focus on the extent to which the University was reducing the number of suppliers to achieve better terms, and on how category management was contributing to cost reductions.

Resolved: to note the report.

11. **NARRATIVE FOR THE COURT**

The Committee recommended that the Convener focus his report to the Court on the update on financial sustainability budget deficit reduction activity, the school financial analysis, and the discussion of the report from the Director of Estates & Campus services relating to the return to campus.

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

12. **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 noted that the minutes from the meetings of the Business Transformation Steering Group on 5 May 2020 had been made available to all members via the Court One-Drive area.

Resolved: to note the minutes.

13. **MAIN GRANT**

The Committee noted the regular report summarising Scottish Funding Council (SFC) Allocations for 2020/21 relative to the 2019/20 allocations. The paper highlighted implications for the budget and future financial projections. Members highlighted the inequality of the awarded increase, which at 1% was the lowest in the sector. The Chair of Court and Principal undertook to write jointly to the SFC to seek transparency on the reason for this outcome despite a strong performance relative to the University's outcome agreement.

Resolved: to note the report.

14. **RESEARCH GRANT APPROVALS**

The Committee noted the regular report of research grant awards since the last meeting. The Vice-Principal (Research, Knowledge Exchange and Wider Impact) also outlined the pipeline of upcoming grants.

Resolved: to note the report.

15. **PENSION SUB-GROUP MINUTES**

[Secretary's note: In his capacity as a Trustee of the University of Dundee Superannuation Scheme, Dr Neale Laker declared a conflict of interest and was not present for this item. Dr Laker did not receive the paper for this item.]

The Committee received the minutes of the meeting of the Pension Sub-Group on 26 May 2020.

Resolved: to approve the minutes.

16. **DATE OF NEXT MEETING**

Resolved: to note that the next meeting would take place on 20 October 2020.

Richard S Bint

(Convener)

APPENDIX 4

GOVERNANCE & NOMINATIONS COMMITTEE MINUTES (Minute 11 (3))

A meeting of the Committee was held on 11 August 2020 by videoconference.

Present: Ronald Bowie (Convener) (except item 7);
Janice Aitken;
Gigi Gan Jia Hui;
Principal, Professor David Maguire;
Bernadette Malone;
Jane Marshall; and
Professor Mairi Scott.

In Attendance: Professor Blair Grubb (Vice-Principal (Education));
Dr Neale Laker (Director of Academic & Corporate Governance);
Dr Jim McGeorge (University Secretary);
Dr Christine Milburn (Policy Officer (Corporate Governance)); and
Olaf Postola (Corporate Governance Support Officer).

1. MINUTES

Resolved: to approve the minutes of the meeting of 26 May 2020.

2. MATTERS ARISING

(1) Action Log

The Committee received an action log summarising progress in relation to outstanding actions from previous meetings. An update on progress in relation to the implementation of recommendations from the Quinquennial Review of the Effectiveness of the Court (QQR) was also provided. Members were satisfied with the progress made.

Resolved: to note the log.

3. CONVENER'S UPDATE

The Convener updated the Committee on his activities and interactions at a sectoral level which were of relevance to its business. In introducing the report, he highlighted his activities in relation to the process for the appointment of the next Principal & Vice-Chancellor, and members noted that he had kept the Scottish Funding Council (SFC) informed of progress.

Members also noted that the Universities Superannuation Scheme (USS) continued to present challenges for the sector, that the University was well sighted on the matter through representation on working groups, but that there were no proposals as of yet on how to address the rising deficit.

Finally, the Convener asked that his thanks to the University Executive Group (UEG) for their hard-work and leadership through the period of the COVID-19 pandemic be noted. He also drew attention to the effective working between the UEG and the deans/directors, and to the hard work of all staff in preparing the University, as best as was possible, to respond to the challenges ahead. In doing so he encouraged the Court and its committees to be flexible regarding timelines where possible, and to be cognisant of the additional responsibilities placed on staff providing material for the Court when commissioning new work.

Resolved: to note the updates.

4. **SECTORAL UPDATE**

The Director of Academic & Corporate Governance highlighted three items of relevance to the Committee as follows: the outcome report of the [OSCR Review of Payments to the Principal of Aberdeen University](#); the [CUC Code of Practice for Audit Committees](#); and the SFC [Review of Further and Higher Education Provision and Delivery](#).

Discussions focused on the report from OSCR, which had concluded that the level of care and diligence exercised by the charity trustees who were members of the Remuneration Committee fell below the required standard when reaching a settlement with the Principal. It was considered to amount to a breach by the charity trustees and misconduct in the administration of Aberdeen University. Members noted that formal action had been considered but had not been taken due to the changes put in place by the University of Aberdeen to address the failings identified in the OSCR and SFC reports on the matter. It was also noted that the majority of the trustees on the Remuneration Committee at that time had since ceased to be charity trustees of the University of Aberdeen by virtue of having left the Court. The Governance & Nominations Committee noted the five 'learning points' for the sector published within the report and agreed that the University of Dundee was already compliant with these recommendations. The Committee nevertheless suggested that the Remuneration Committee review these for itself at its next meeting and provide assurance to the Court in this respect.

With regard to the CUC Code of Practice for Audit Committees, members noted that officers had prepared an assessment of current practice relative to the recommendations within the Code, and that this would be considered by the Audit & Risk Committee at its next meeting.

Finally, members noted that the University had submitted a response to the Phase 1 consultation of the Scottish Funding Council review of Further and Higher Education Provision and delivery. The Principal shared the final response with the Committee and members suggested that it be provided as contextual information for the Court Retreat.

Resolved: to note the update.

5. **SFC/AHE RACE PROJECT**

The Committee considered an update from the Advance HE (AHE) on the HE/FE sector response to the EHRC report 'Tackling Racial Harassment: Universities challenged'. The report outlined how University governing bodies could engage with the sector-wide activities and build oversight of the matters highlighted into HE governance structures.

The Committee noted that the Court had encouraged the Governance & Nominations Committee to consider the paper in terms of its application to the membership of the Court. Following discussion regarding the current process for the appointment of new members, the Committee proposed that the Court should aim to achieve diversity amongst its membership which was representative of the diversity within the University community.

The Committee also noted that the Court had asked the People & Organisational Development Committee to consider how the findings of the review could be built into the review of the University's equality action plan, and how the Court could be better engaged and informed with regard to activities in this area.

The Principal set out actions taken by the University Executive Group (UEG), and members noted that the AHE Race Project Team had been invited to a joint meeting of the UEG and Deans on 12 August 2020 to discuss the project and provide the University with advice. Members also noted that the UEG had nominated Thomas Veit and Pam Milne as UEG champions for the agenda, and that the matter had been included as a standing item on the monthly joint meetings between the Deans Group and the UEG.

Resolved: (i) to recommend to the Court that it should aim to achieve diversity amongst its membership which was representative of the diversity within the University

- community;
- (ii) to note that the People & Organisational Development Committee would also consider the report; and
- (iii) otherwise, to note the update.

6. CHAIR OF COURT ANNUAL MEETINGS WITH MEMBERS

The Chair of Court provided his annual report summarizing themes from the discussions between himself or the Deputy Chair of Court and members of the Court. Members noted that most meetings had taken place in March/April 2020, and that as a result of COVID-19 there had been significant change to the priority topics for the Court since those meetings had taken place.

The report highlighted a desire for greater consultation in relation to the University Strategy, a realization amongst members with regard to the scale of the financial sustainability challenge, the recommendation that papers include a reminder of the history of the item in terms of its previous consideration by the Court, and the benefits of reiterating what was asked of the Court clearly and concisely in cover sheets. The Committee was satisfied that there were no topics/concerns raised which were not already addressed within upcoming Court agendas.

Turning to members training requirements, it was noted that the refined induction process had been well received, and that it was normal practice for a follow-up to induction/needs-analysis to be offered after a period of 6 months had elapsed. The pre-meeting sessions were also thought to be helpful 'training', and there was encouragement for these to be continued.

Through discussion it was noted that all officers were happy to meet with individual members to provide assistance and support which would improve members' understanding, and members highlighted the example of the Director of Finance providing support to members who were less confident in their understanding of financial reports as being illustrative of the support available.

Resolved: to ask the Clerk to the Court to incorporate the identified topics into the annual review of the effectiveness of the Court.

7. CHAIR OF COURT REMUNERATION

[Secretary's note: The Convener, in his capacity as the Chair of Court, declared a conflict of interest in the item and left the meeting for the duration of discussions. The Deputy Chair of Court, Bernadette Malone, Chaired the meeting for the item.]

In accordance with discussions at the meeting of the Committee on 26 May 2020, members reviewed a paper which set out the estimated time commitment for the Chair of Court for the period 13 January to 31 July 2020. The Committee approved the estimate that during this period a commitment of 36 days had been necessary to fulfil the duties and responsibilities of the role, bringing the total number of days in 2020 to 77. Members noted that this was 27 days above the 50-day agreed notional estimate, for which payment had been previously authorised at a rate in line with the Band 1 minimum of the Public Sector Pay Technical Guide of the Scottish Government (£327 per day for 2019/20). Following due consideration, the Committee was satisfied that the additional time commitment had been necessary due to a number of issues arising throughout 2019/20 and approved the payment of a further £8,829.

The Committee was reminded that the Chair had previously expressed a preference for the remuneration to be paid into an existing fund which would benefit students, with the January payment being made to the Robertson Trust, and that he had indicated that he would prefer for any further payment to be managed in the same manner.

Turning to 2020/21, the Committee noted that the Public Sector Pay Policy Technical Guide for 2020/21 published in April 2020 set the Band 1 Minimum for 2020/21 at £335 per diem. The Committee approved this as the rate at which any remuneration in relation to the role of the Chair of Court would be set for the next academic year.

- Resolved:**
- (i) to approve estimated number of days required to fulfil the role and duties of the Chair of Court in 2019/20 as 77 days;
 - (ii) to therefore approve a further payment of £8,829 to the Robertson Trust in lieu of payment to the Chair of Court; and
 - (iii) to approve the rate of remuneration for 2020/21 at £335 per diem, that being the Band 1 Minimum set in the Public Sector Pay Policy Technical Guide 2020/21.

8. MEMBERSHIP OF THE COURT AND COURT COMMITTEES

The Committee considered a paper which set out a range of matters relating to the membership of the Court and its committees.

With regard to vacancies on the Court which had arisen in the 2019/20 academic year, the Committee formally noted that in addition to the two lay vacancies previously identified, a third lay vacancy had arisen as a result of the resignation of Karen Reid. Members noted that the Court had subsequently approved the appointment of Tricia Bey, Ron Mobed and Karen Thompson to the Court for a period of four years in the first instance, effective from 1 August 2020 to fill these vacancies.

The Committee discussed proposals for the committee membership of these new members, and recommended to the Court the following, subject to the Chair of Court discussing the proposals with the individuals themselves:

- Tricia Bey – Audit & Risk Committee
- Ron Mobed – Remuneration Committee and Governance & Nominations Committee
- Karen Thomson – People & Organisational Development Committee

Turning to future vacancies on the Court, the Committee noted that a further two lay vacancies would arise on the Court from 1 August 2021 as a result of Bernadette Malone (Deputy Chair of Court, Convener of the Remuneration Committee, and member of the People & Organisational Development Committee) and Dr William Boyd (member of the Finance & Policy Committee, the People & Organisational Development Committee, and the Welfare & Ethical Use of Animals Committee) reaching the end of their maximum terms of office. Noting the strength of the candidate pool interviewed by the Appointing Committee in relation to the vacancies arising in 2019/20, the Committee recommended that the Court be invited to appoint two further candidates from this pool, Andy Lothian and Karthik Subramanya, to the Court for a period of 4 years in the first instance, effective from 1 August 2021 (summary CVs attached as appendix

1). Members agreed that if the Court were to approve these appointments, it would be valuable to engage the individuals with the Court and its committees in a shadow capacity early in the 2020/21 academic year so that they were familiar with the business in advance of becoming a member. In this respect members suggested that, subject to the approval of the appointments by the Court, the Director of Academic & Corporate Governance explore the individual's preferences – noting that based on prior experience Karthik Subramanya may bring beneficial experience to the People & Organisational Development and/or the Audit & Risk committees.

The Committee also discussed the possibility of a student member of the Court attending/become a member of the People & Organisational Development Committee. Members agreed that the Convener of the Committee should be invited to consider this further and to advise the Governance & Nominations Committee with regard to how this could be structured to provide most benefit to the Committee and the Court without overburdening the student members on Court.

The Committee endorsed to the Court the suggestion that following the departure of Karen Reid from the Court, Jane Marshall be appointed as an alternate to Richard Bint on the Emergency Court Committee, and that Keith Winter be appointed as the Convener of the Audit & Risk Committee. With regard to the latter, members noted that Mr Winter was a long-serving member of the Audit & Risk Committee and that continuity in the business of the Committee was important at a challenging time for the University. Members were also reminded that members of the Audit & Risk Committee may not also be members of the Finance & Policy Committee.

The Committee also noted the resignation of Gordon Weir as an external lay Audit Committee member. The Director of Academic & Corporate Governance confirmed that there remained two further external lay members

on that Committee and members recommended that the new Convener of the Audit & Risk Committee (when appointed by the Court) be consulted on the membership requirements of that Committee.

Noting that the Convener of the Remuneration Committee, Bernadette Malone, would reach the end of her maximum term of office on 1 August 2020, members reviewed the current and future balance of skills on the Committee. The Committee agreed that the Chair of Court should be asked to explore with David Dorward his capacity to serve on both the Remuneration and Finance & Policy Committees in 2020/21 to ensure that there was public sector experience within the membership and that he would have sufficient time to learn the business of the Committee prior to the departure of Ms Malone.

The Committee also noted that the retirement of Bernadette Malone would create a vacancy in the position of Deputy Chair of Court. In accordance with Statute 9(4) and Ordinance 63 the Committee was invited to consider the job description and person specification for the role. Members highlighted how the role had evolved over the last few years and suggested that the Committee should review if it remained good governance practice for the Deputy Chair of Court to also always be the named Senior Independent Member of the Court. Noting that this linkage was currently specified within Ordinance 63, the Director of Academic & Corporate Governance undertook to review the job description, person specification and Ordinances, and to provide proposals and timelines to the next meeting of the Committee in October 2020.

- Resolved:**
- (i) to note the appointment of Tricia Bey, Ron Mobed and Karen Thompson as lay members of the Court for 4 years in the first instance, effective from 1 August 2020;
 - (ii) to recommend to the Court that, subject to discussion with the individuals, the new members be asked to serve on the following committees in 2020/21: Tricia Bey – Audit & Risk Committee; Ron Mobed – Governance & Nominations and Remuneration Committees and Karen Thompson – People & Organisational Development Committee;
- [Secretary's note: subsequent to the meeting the individuals confirmed their willingness to serve on the committees as recommended above.]*
- (iii) to recommend to the Court that David Dorward be asked to join the Remuneration Committee with immediate effect;
 - (iv) to recommend to the Court that Andy Lothian and Karthik Subramanya, be appointed as lay members of the Court for a period of 4 years in the first instance, effective from 1 August 2021, and to further suggest that subject to this approval they be invited to attend meetings of the Court and its committees during the 2020/21 academic year;
 - (v) to recommend to the Court that Jane Marshall be invited to serve as the named alternate for Richard Bint on the Emergency Committee and serve on the Committee should circumstances mean he was unable to do so;
 - (vi) to recommend to the Court that Keith Winter be appointed as the Convener of the Audit & Risk Committee with immediate effect;
 - (vii) to recommend to the Court that the Convener of the Audit & Risk Committee be invited to consider if the Committee required a third external lay member following the resignation of Gordon Weir in July 2020;
 - (viii) to note that the Director of Academic & Corporate Governance would review the process and role description for the Deputy Chair of Court and develop proposals for consideration at the next meeting of the Committee in October 2020;
 - (ix) to note that the Convener of the People & Organisational Development Committee would consider, with support from officers, options for student participation in the Committee;
 - (x) to note that the Committee would formally consider the Convenership of the Remuneration Committee from 1 August 2021 at its meeting in May 2021.

9. CORPORATE GOVERNANCE STATEMENT

The Committee received the draft Corporate Governance Statement for inclusion in the Annual Financial Statements. In response to questions the Director of Academic & Corporate Governance confirmed that the Court was responsible for the final approval of the Annual Financial Statements.

Members noted that the Corporate Governance Statement had been drafted in accordance with guidelines from the Scottish Funding Council (SFC) and approved the draft for inclusion in the draft Statements, subject to minor amendment and any amendments required by the external auditor.

Resolved: to recommend the inclusion of the Corporate Governance Statement in the draft Annual Financial Statements, subject to minor amendment and any amendments required by the external auditor.

10. COMPLAINTS HANDLING PROCEDURES

The Director of Academic & Corporate Governance outlined the current process for the approval of the University's Complaints Handling Procedures and members agreed with his recommendation that the Audit & Risk Committee should be consulted in relation to future iterations of these procedures due to their application to staff.

Resolved: to recommend that the Audit & Risk Committee should be consulted in relation to future iterations of these procedures.

11. ANNUAL INSTITUTIONAL STATEMENT TO THE SFC

The Committee received the draft Annual Institutional Statement to the Scottish Funding Council (SFC) for 2019-20. In response to questions the Vice-Principal (Education) provided an outline of work undertaken to ensure that the quality of academic provision continued to meet the University's standards despite the rapid changes required as a result of COVID-19. In doing so he focused his update on the process for the suspension of programmes and the re-approval of remaining modules on the basis of the move to blended learning and online assessment.

Members noted the pressure on the Quality & Academic Standards Team and schools in terms of these approvals, but also noted that the University had a low appetite for compliance risk and that the quality of provision was central to the University of Dundee and its student experience.

Resolved: to recommend to the Court that it approve the report for submission to the SFC.

12. EARLY STAGE COURT BUSINESS AND COURT RETREAT PLANS

The Committee considered an outline of anticipated business for the next meeting of the Court on 3 September 2020 and the programme for the accompanying strategic sessions at the Retreat on 4 September 2020. Discussions focussed on the importance of not presenting 'pre-baked' solutions, and of engaging the Court in meaningful and broad discussion and debate.

The Committee discussed the type of information which would be useful to the Court and suggested that it would be helpful to have further insight into the University's internal economy and areas which were/were not financially sustainable.

Resolved: to note that the agenda would be further developed in light of feedback.

13. ANNUAL REVIEW OF EFFECTIVENESS OF THE COURT/CHAIR OF COURT

The Committee endorsed the proposed format for the 2020 Review of the Effectiveness of the Court/Chair of Court at the Court Retreat, including the introduction of break-out groups. Members were encouraged to forward any further discussion themes to the Policy Officer (Corporate Governance) by 20 August 2020.

Resolved: to endorse to the Court proposals for the 2020 Review of the Effectiveness of the Court/Chair of Court.

14. NARRATIVE FROM THE COMMITTEE TO THE COURT

The Committee recommended that the Convener highlight to the Court its discussions relating to the endorsement of the Annual Institutional Statement to the Scottish Funding Council (SFC) for 2019-20, and in particular the Committee's view that quality was not an area where the University should make sacrifices. The Committee also recommended that the Convener highlight the Committee's discussion of proposals for the Court Retreat, and in particular the importance of encouraging broad debate rather than something too fully formed.

Resolved: to note that the Convener would include these matters in his report to the Court.

15. DATE OF NEXT MEETING

Resolved: to note that the next meeting would be held on 19 October 2020.

Ronald Bowie

Convener

APPENDIX 5

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE MINUTES (Minute 11 (4))

A meeting of the Committee was held on 20 August 2020.

Present: Jane Marshall (Convener);
Dr William Boyd;
Catherine Cavanagh;
Professor Lynn Kilbride;
Rebecca Leiper;
Bernadette Malone;
Dr David Martin; and
Jay Surti.

<u>In Attendance:</u>	Professor Julian Blow Dr Jim McGeorge Pamela Milne Julie Strachan Christine Milburn Olaf Postola Carol Prokopyszyn Liz Rogers	Vice-Principal (Academic Planning & Performance); University Secretary; Director of Human Resources & Organisational Development; Deputy Director of Human Resources & Organisational Development; Policy Officer (Corporate Governance); Corporate Governance Support Officer; Director of Finance; and Policy Officer (Audit & Risk).
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1. MINUTES

The Committee approved the minutes from the previous meeting.

Resolved: to approve the minutes from the previous meeting.

2. MATTERS ARISING

(1) Action Log

The Committee noted the log of ongoing actions and progress against the target completion dates provided. The Convener highlighted the impact of COVID-19 on a number of items due to the involvement of the Human Resources & Organisational Development Directorate in the University's response to the pandemic.

Resolved: to approve the action log as presented.

3. CONVENER'S UPDATE

The Convener confirmed that pertinent matters were referred to elsewhere in the agenda for the meeting and that she would provide comment as appropriate when introducing the items.

Resolved: to note the update.

4. *Reserved Business:* PAY CUTS REVIEW

[Secretary's note: The University Secretary drew attention to the conflict of interest of officers in attendance at the meeting and of staff members of Court on the Committee arising from their positions as employees of the University.]

The Director of Human Resources and Organisational Development introduced a paper which set out detailed proposals for staff pay cuts should they become necessary later in the year due to the financial impact of the COVID-

19 pandemic. In doing so she outlined the context for the proposal, provided an overview of the circumstances under which the pay cuts would be implemented, and set out the terms and parameters proposed. Members were reminded that the Court had previously endorsed the exploration of this measure at its June meeting to enable the comprehensive review of, and consultation on, the proposal before the Court was required to determine whether the action was needed. Members noted expectations that this would be determined at the November Court meeting

It was noted that the University Executive Group (UEG) was pursuing all options open to it in order to make the required level of savings identified in the budget approved by Court while minimising the impact on staff. Staff pay cuts were very much seen as a last resort in order to seek to avoid immediate redundancies. In this respect the Director drew attention to the University's Redundancy Avoidance Policy and the range of actions contained within it. Members noted the complexity of the situation and the on-going work by the UEG.

In response to questions, the Director reminded members that, if pay cuts were required, this would be a decision taken by the Court. Members noted that the need or otherwise to propose such action would be heavily influenced by levels of student matriculation for the October intake of 2020/21, and in particular the number of unregulated international student matriculations in comparison to the budget approved by Court in June. Members noted that relevant data would not be available before late October/early November 2020.

The Convener invited the Committee to consider the broad principles contained within the tabled proposals and to provide feedback on them. In discussion members considered a range of matters. These included the basis for the decision to consider pay cuts, fairness to staff, proposed differential levels of percentage reductions across grades, perceived advantages of implementing based on salary itself rather than grade banding, and staff exemptions. Throughout, the Committee emphasised the overriding importance of continuing to focus on fairness and transparency in the further development of proposals.

The Committee acknowledged that pay cuts, if required, would be an unwelcome part of the solution to the financial challenge the University faced, but broadly commended the principles set out in the paper, noting that they would nevertheless be preferable to redundancies. The Director of Finance further clarified that unlike redundancies, pay cuts provided a short-term financial solution to what it was anticipated would be a short-term issue and would enable the University to retain the capacity to resume normal business once the financial impact of the pandemic had passed. In response to questions the Director of Finance also reminded members of the other measures being considered/pursued by the UEG following discussions at the June Court meeting, including asset management and reductions in capital expenditure. She assured members that the proposal for pay cuts was not considered lightly, and that the impact on staff and on morale at a time when all had been working hard had been recognised throughout the process through which the proposal had been developed. The Director of Human Resource and Organisational Development emphasised that the campus unions would be fully consulted on the matter and drew attention to the timeline set out in the paper for the various activities required in advance of any formal proposal coming to the Court.

Some members suggested that consideration be given to the reduction of hours worked or an increase of annual leave allowance as compensation for the loss of pay. However, the Committee concluded that this was unlikely to be feasible due to the resulting significant impact on the ability of the University to function and respond to the challenges of the pandemic.

Scenario modelling for savings requirements of £2m, £5m and £10m were presented and through discussions members sought further clarification of the models and triggers proposed in the paper. Following discussion, the Committee agreed with the proposal that pay cuts would not be pursued if any saving requirement identified in November was less than £5m. The Committee was supportive of the implementation of the savings on a graduated basis, weighted toward those on higher grades, and with staff on the lowest income bands (1-6) protected from cuts in the first instance. It was however noted that if the level of savings required exceeded £10m the proposal removed this protection. Some members had reservations on this point and requested that officers note these concerns when formulating a revised proposal. Members also identified possible issues relating to fairness around grade boundaries, and the Director of Human Resources & Organisational Development and Director of Finance agreed to consider these and to review other models, for example based on spinal point/salary, before finalising the proposed approach.

Turning to proposed exemptions from the measures, members were supportive of an approach which was consistent with the principles of the 'OneDundee' ethos, but noted that there would be no saving to the University from reducing the salary of externally funded staff, and that such staff had therefore been excluded from the data presented. The Committee also noted that clinical staff were proposed to be exempt from the pay cuts but requested that the UEG give further thought to this issue.

The Committee went on to discuss the population of staff who would be affected by the pay cuts, if required, and suggested that it would be helpful for this data to be included in the paper provided to the Court. Members noted that out of ~3,200 staff, the proposals as currently set out would affect 1,794 staff. The impact on pensions was considered and the Director clarified that both contributions from the employee and employer would be adjusted accordingly.

The Committee endorsed the principle that there would be no reinstatement of lost pay. While it also noted that the duration of any pay cut could not be quantified without a clearer understanding of the scale of the savings needed, the Committee noted the importance of clarifying the duration of the cuts at an early stage to enable staff to plan their own finances.

Finally, the Committee emphasised the importance of effective communication to staff, not all of whom were represented by trades unions.

In discussing next steps, the Committee provided guidance to officers regarding the presentation of the proposal to the Court, and in doing-so emphasised the importance of presenting the range of options considered, why some were discarded and the justification for the recommended options.

Finally, a member observed that in some other Universities, the senior team had already taken a cut in pay. Members therefore asked the UEG to give consideration to the timing of the possibility of such a cut coming into effect.

- Resolved:**
- (i) to endorse the principles of fairness to staff, the protection of the lowest paid and, the commitment to transparency and open communication with staff;
 - (ii) to note that officers would continue to develop an equality impact analysis to accompany the next iteration of the paper;
 - (iii) to note that officers would review the proposed exemption of clinical staff from the measures;
 - (iv) to note that the Director of Human Resources & Organisational Development and the Director of Finance would continue to review the models presented, refine the paper on the basis of the Committee's discussion and provide an update at the October meeting; and
 - (v) otherwise, to note the report.

5. PEOPLE & ORGANISATIONAL DEVELOPMENT AND REMUNERATION COMMITTEE REVIEW

The Director of Human Resources & Organisation Development introduced the paper, which outlined emerging proposals and findings from a review of the remits and terms of references for the People & Organizational Development (PODCo) and Remuneration (RemCo) Committees (**Annex 1**).

Members noted that the review had considered sectoral practice and the direction of travel/focus for each of the committees and that the recommendations from the report were focused on the need to ensure that there were no gaps between the work of the two committees, and that any overlap was minimised and justifiable.

Focussing on the business relating to PODCo members agreed with the recommendation that the Committee should focus its business on higher-level strategic issues in support of the University strategy. Members noted that the Committee also had a crucial role in terms of providing assurance to the Court that best practice was being implemented in relation to a range of staff matters including equality, diversity & inclusion, health & safety and recognition and reward.

The Director of Human Resources & Organisational Development highlighted the proposal that the two committees establish a short life working group to support the finalisation of the revised remits and terms of references, consider the provisional list of strategic priorities, and clarify the data requirements for each of the committees.

- Resolved:**
- (i) to endorse the formation of a short-life working group, and ask that members interested in serving on this group indicate their interest by email to the Committee clerk; and

- (ii) to endorse the continued work to review the remits and terms of reference of PODCo and Remco; and otherwise
- (iii) to note the update.

6. **COURT NARRATIVE**

The Committee recommended that the Convener highlight the Committee's endorsement of the core principles underlying the pay cuts measure proposals, feedback given to officers in relation to the paper, and the importance placed on fair treatment of staff.

Members suggested that the Convener highlight the focus of the review of the remits and terms of references for the People & Organisational Development and Remuneration Committees, and the proposal that a short-life working group be constituted to support this work, consider the provisional list of strategic priorities, and clarify the data requirements for each of the committees.

Resolved: to note the update.

7. **DATE OF NEXT MEETING**

Resolved: Thursday 29 October 2020.

Jane Marshall
Convener

APPENDIX 5 ANNEX 1

PEOPLE & ORGANISATIONAL DEVELOPMENT AND REMUNERATION COMMITTEE REVIEW

[Secretary's note: the paper was updated following the meeting to clarify the recommendations].

Introduction

1. During the 2019/20 academic year the University reviewed the Remits and Terms of References for the People & Organisational Development Committee (PODCo) and the Remuneration Committee (Remco) with the conveners, Shirley Campbell and Bernadette Malone. The review considered sectoral practice and the direction of travel/focus for each of the committees with a focus on ensuring that there was no gap in provision between the committees and that any overlap/duplication between the two was minimised.
2. At the start of the 2020/21 academic year this work was picked up with the new Convener of PODCo, Jane Marshall. This provided the opportunity to consider new ideas and suggestions for change and to consider the governance needs of the University in this key area at a time of rapid change, financial pressure and changed working practices; all of which have an impact on staff. The following paper sets out recommendations from the review for Committee members to consider.

The Review

3. During the process of review, the conveners met with the Director of Human Resources & Organisational Development and the University Secretary & Chief Operating Officer (University Secretary & COO) to review current practice relative to the sector and to the public and private sectors.
4. Although it was found that some HE Institutions in England had models similar to the private sector, where the equivalent of the PODCo was an operational management committee, and the Remuneration Committee reported to the governing body, this was not common practice and Scottish Universities were noted to standardly operate with the two committees reporting to the governing body. Furthermore, the conveners of the two committees were satisfied that the Scottish Code of Good HE Governance (2017), the CUC Guide and the principles of the HE Pay Framework 2003 made a strong case to continue with this model.
5. As such the focus of the review moved to the breadth and distribution of responsibilities delegated to the respective committees by the Court, as well as reviewing how the two committees could work more closely together.

Remits and Strategic Focus

6. The review was seen to be an opportunity to reinvigorate PODCo, whilst retaining its broad current remit -with 'all people-related matters' being the business of that Committee. It was also agreed that the focus of the Remuneration Committee should continue to be on remuneration matters relating to the University's grade 10 staff and in particular members of the University's Executive Group (UEG).
7. On the whole, officers and the conveners were satisfied that the existing Remits and Terms of References remained fit for purpose and covered the required matters, but agreed that the agenda and data provided should be updated to reflect a more strategic focus to inform oversight and facilitate effective challenge from the committees.
8. In exploring the main area of potential overlap between the two committees, recognition and reward was identified as an area requiring further clarification. PODCo has responsibility for the oversight for staff in Grades 1-9 and the Remuneration Committee has responsibility for staff in Grade 10 including the UEG. However, through review, it was recognised the Remuneration Committee required contextual information that would inform their decision-making, but that the PODCo required similar information to enable it to make evidence based decisions and to monitor and approve matters relating to the broader staff group.
9. It is recommended that future papers for the committees should support discussions through the provision of executive summaries/recommendations and focus on matters which enable the committees to provide assurance to the Court that their responsibilities are being appropriately discharged. In this respect it was recommended that Committee business should focus on strategic workforce issues and the monitoring of

progress toward these aspects of the University Strategy. **Appendix 1** provides an outline of the current high-level priorities for the HR & OD Directorate. In addition the conveners have jointly identified the following topics as being strategic workforce themes/priorities: leadership; pay and reward; career progression; equality, diversity and inclusion; health and wellbeing; health and safety; employee engagement and Organisation Development; future skills landscape; fair work; Campus Union engagement; impact of organisational transformation; workforce planning; succession planning; and predicting risks.

10. Noting the balance of responsibilities/interests within the remits for each of the two committees, as highlighted in paragraph 8, the Committee is invited to consider its strategic priorities for 2020/21, noting that it will be invited to consider a timetable for these as part of the annual review of the schedule of business in October 2020.
11. The review identified that in addition to the current benchmarking and equalities data provided to the committees, potential future information requirements included:
 - employee pay;
 - trends and cost of living awards;
 - pay ratios and differentials;
 - equal pay data for grade 10 and whole workforce;
 - cultural and organisational development contextual information; and
 - information on Institutional performance.
12. It is suggested that a short-life working group be formed, with representation from both committees and officers, to identify and further explore both the areas of common interest and the data requirements of each Committee, with the first task being to establish the scope, remit and period for its operation.
13. It was also noted that the practice of cross membership between the two committees should be continued, and that the newly formed Chair's Committee would provide the opportunity for conveners to ensure holistic coverage of the strategic workforce issues by the two committees through the sharing and discussion of agendas.

Remits and Terms of Reference

14. Initial work has been undertaken by the Director of Human Resources & Organisational Development in reviewing the respective Remits and Terms of Reference for the People & Organisational Development and Remuneration Committees. Further work will be undertaken through the development of a short-life working group made up of appropriate officers and representative from the two Committees, the Chairs of both committees and the Chair of Court reviewing the respective remits as appropriate with a view to reporting to Court in November.

Conclusion

15. The Court is invited to:
 - (1) To note the review and its findings;
 - (2) to endorse the formation of a short-life working group as stated in the report;
 - (3) To note the enhanced measures for ensuring communication between the committees;
 - (4) To note that discussions on revisions to the Remits & Terms of Reference for PODCo and the Remuneration committee are continuing and will be considered by Court in November;
 - (5) To note the summary of current priorities for the HR & OD Directorate within Annex 1 and, if so minded approve these as a focus for Committee business for the year ahead.

Appendix 1**High Level Summary of Current Priorities for the HR & OD Directorate**

3. Performance Management:
 - Recruitment to key senior leadership appointments
 - Development of holistic performance management toolkit
 - Organisational Development proposal for senior leadership team/s

4. Enhance the Research and Teaching Environment:
 - Support and deliver the Research Excellence Framework
 - Deliver development activities for research and teaching staff
 - Collaborate to deliver a Teaching Development Toolkit

5. Strategic Reward and Recognitions:
 - New academic promotion criteria and procedure
 - Development of a bonus scheme
 - Development of career pathways for Professional Services staff

6. Delivery of the HR and Payroll module of Business Transformation project.

7. COVID-19:
 - All matters relating to health, safety and wellbeing
 - Support to staff working from home
 - Management of Furlough scheme
 - Support to staff returning to work
 - Trade union engagement
 - Pulse surveys
 - Project: Developing New Ways of Working, short-life working group.

8. Equality Diversity and Inclusion
 - Implementation of Race Charter
 - Retain Athena Swan Bronze Award

9. Employee Engagement
 - Oversee and monitor actions from 2019 staff survey
 - Lead on all matters relating to consultation with the Campus Unions.

10. Financial sustainability
 - Support current 'phase 2' i.e. those staff wishing to reduce hours/partial or full retirement
 - Support and implement other proposed measures (yet to be decided) e.g. implementation of pay cuts/restructuring
 - Review of UoDSS (pension scheme for grades 1 – 6)

11. External Engagement
 - Continue to support the HR and H&S functions relating to the V&A.

APPENDIX 6

REMUNERATION COMMITTEE MINUTES (Minute 11 (5))

An additional meeting of the Committee was held on 27 July 2020 via TEAMS online meeting.

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

In Attendance: Gigi Gan (in a shadow capacity as a future member of the Committee);
Jane Marshall (in a shadow capacity as a future member of the Committee);
Professor David Maguire (Principal & Vice-Chancellor) by invitation of the Convener;
Dr Jim McGeorge (University Secretary & Chief Operating Officer) by invitation of the Convener;
Pam Milne (Director of HR and Organisational Development) by invitation of the Convener;
and
Dr Christine Milburn (Policy Officer (Corporate Governance)).

1. REMUNERATION OF A MEMBER OF THE UNIVERSITY EXECUTIVE GROUP

The Convener thanked the Committee for meeting at short notice. Members each confirmed that, in view of the time-sensitive nature of the case to be discussed, they had agreed to waive the normal 7-day notice period and that they were satisfied they had had sufficient time to review the documentation provided.

The Interim-Principal & Vice-Chancellor outlined a retention matter which had arisen in relation to a member of the University Executive Group (UEG) who he deemed it was essential to try to retain at this time. Members noted that in accordance with the Schedule of Delegation the Interim Principal was seeking approval from the Committee for an increase in annual salary to be offered to the individual, who was shortly due to be interviewed for better paid roles in two other institutions. In-doing so members' attention was drawn to the individual's strong performance and the fact that their salary was currently below the median for the role relative to the UCEA sector benchmark for institutions of Dundee's size and turnover. An assessment was also provided of the impact of the proposed award on the gender-pay gap and on relativities (absolute and in relation to benchmark) within the UEG, which indicated that approval would lead to a further increase on both counts in favour of women.

The Committee noted that it was proposed that the increase be made in a staged manner over a two-year period with the second increase being subject to continued excellent performance relative to objectives set through the annual Objective Setting & Review (OSaR) process.

Members noted that that the individual had consistently exhibited excellent performance over the last two-year period and had taken on additional responsibilities since their appointment. They also recalled that members of the UEG had declined to be considered for a pay award in the 2019/20 remuneration round but that the individual concerned would otherwise have been proposed for a significant award at that time.

The Committee was supportive of making an award to seek to retain the individual, but was nevertheless conscious of the timing of the request given the financial challenges the University was facing as a result of the COVID-19 pandemic. It therefore considered at length the justification for the very significant level of the pay award proposed (which brought the individual to a level between the median and upper quartile salary range for the role after only two years of service), the balancing risk to the University if the individual left, internal/public perceptions, the possible impact in relation to the salaries of other members of UEG and the importance placed on fairness to all staff groups in relation to Phase 3 measures described in the budget deficit paper viewed by the Court in June – for example the commitment that any future salary reductions were required to be weighted toward those on the highest salaries.

Members were particularly concerned to ensure that the matter was openly and transparently reported without delay to the next meeting of the University Court.

After consideration of these areas the Committee agreed on balance to approve the proposal subject to the individual's formal confirmation that they would withdraw from the on-going recruitment processes in which they were engaged and the award be implemented over a period of 2 years, with the second award subject to excellent ongoing performance.

Reflecting on the request, the Committee discussed succession planning and career development for senior positions as well as the development of a framework to enhance the existing reward policy in terms of: guidance for salaries at the time of appointment and associated benchmarking, the setting of expectations around salary progression relative to benchmark within the context of the Statement of Intent already under development, and the process for consideration of remuneration awards that were beyond the anticipated level of progression for retention purposes – including the consideration of wider consequences. Members agreed that the Interim Principal, University Secretary & Chief Operating Officer and the Director of Human Resources & Organisational Development should be asked to develop this framework in consultation with the Chair of Court and the Convener of the Remuneration Committee, for consideration at a future meeting of the Committee in the coming session.

- Resolved:**
- (i) to approve the remuneration award of an additional £22,930 from 1 August 2020 and a second award of a further £10,000 from 1 October 2021, the latter to be approved by the Committee subject to confirmation by the Principal of continued excellent performance;
 - (ii) that the award be subject to the individual withdrawing from on-going recruitment processes;
 - (iii) in the context of this decision, to highlight to the Court the importance the Committee placed on fairness to all staff groups in relation to phase 3 measures described in the budget deficit paper viewed by the Court in June as set out in the discussions above;
 - (iv) to request that a communication narrative be developed and shared with the Committee which set out the context for the decision in terms of justification and transparency and fairness to all staff; and
 - (v) to request the development of a framework for consideration at an early meeting of the Committee.

APPENDIX 7

WELFARE & ETHICAL USE OF ANIMALS COMMITTEE MINUTES (Minute 11 (6))

A meeting of the Committee was held on 9th July 2020.

Present: The Convener;
The Director of Biological Services (DBS);
The University Veterinary Surgeon (UVS);
The Training Coordinator (TC);
Three NACWOs;
Four holders of Home Office licences; and
Five other members.
The Home Office Inspector (HOI) also attended the meeting.

The Convener welcomed new members of the Committee to the meeting.

1. MINUTES OF LAST MEETING

These were approved.

2. MATTERS ARISING

5. Use of animal cadavers in training. The Committee noted its satisfaction with the ethics of this particular use. However, the process by which it had been approved (prior to coming to the attention of the Committee) was still unclear.

Resolved:

- The DBS to write to the School Manager again, to request this information.

8. Submission of project licence applications to the Home Office after ethical review. The DBS reported that both of the outstanding applications from reviews conducted in 2018 had now been submitted and the licences had been granted. All subsequent applications had been submitted well within three months of ethical approval having been obtained.

3. APPLICATION FOR AN AMENDMENT TO A PROJECT LICENCE (WEC2019-11)

The licence-holder had attended a meeting of the Committee in July 2019, to discuss the outline plans for amending the licence. The Committee now considered the licence-holder's responses to questions raised at that time. It noted that it was uncertain as to whether both of the new model systems would be required immediately, or whether one should be applied for before the other. There appeared to be ongoing external funding for the work. A detailed application was now in the final stages of preparation.

Resolved:

- Once the final application has been received, it will be circulated to the Committee for comment.
- A sub-group will be convened to interview the licence-holder and to report back to the Committee. At a minimum, it will involve the UVS, a NACWO, a scientist and a non-scientist member of the Committee.

4. REVIEW OF LESSONS LEARNED FROM THE COVID-19 PANDEMIC

The DBS presented a review of the events to date i.e. the preparations for the lock-down, the lock-down itself, preparations for exiting the lock-down and the experience of the initial return to work of the research community. The Committee noted that the Biological Services Scientific Steering Group had performed an essential role in managing these processes. There was general appreciation for all the hard work of the facility managers and their teams throughout the lock-down. There had been generally good coordination between the resource units and the Schools, though a misunderstanding between Estates and one School had led to some information not being communicated directly to the resource units concerned. There had been good liaison with other licensed establishments and professional organisations.

An on-going issue was likely to be the need for two or more people to work in close proximity, particularly as this related to practical training and assessment. Biological Services and the Schools will share their risk assessments of such activities, to ensure that a common approach is being applied.

Resolved:

- To keep the matter under review, as research projects get under way.

5. **ASRU REPORT 2018**

The DBS invited the Committee to consider the whole report and to comment on it over the coming weeks. The Committee was asked at the meeting to focus on the reports of investigations into non-compliance, and to suggest immediate actions that might prevent such events happening to the University in future.

Resolved:

- To send the table of non-compliant events to all licence-holders, asking them to consider what systems they individually have in place to prevent them;
- To develop the counting of animals per licence protocol in the LabTracks database system, so as to support project licence-holders in their statutory duty to keep cumulative records of animals used;
- To undertake an institutional review of the events, to ensure that effective governance mechanisms are in place.

6. **REPORT FROM THE UNIVERSITY VETERINARY SURGEON**

Standing agenda item.

6.1. Experience during the lock-down. The UVS re-iterated the gratitude due to the animal care staff for keeping the animals healthy throughout this period;

6.2. Culls and re-homing. The UVS noted that some animals had been culled when it became apparent that their intended scientific use would not be possible during the lock-down. This had been a difficult task for the animal care staff to perform. However, it had been possible to re-home some rats during the lock-down period and there had been excellent feed-back from one new owner as to how socially adjusted the animals were.

6.3. Breeding and on-going studies. There had been no significant welfare issues in the breeding programmes, other than a few parturition problems that appeared to be related to the use of older dams than usual. The studies that were completed during the lock-down period and the covid-19-related ones that started during that time had no welfare issues.

7. **REPORT FROM THE TRAINING COORDINATOR**

Standing agenda item. The TC reported as follows:

7.1. Online training. Licence-holders and applicants had been directed to these resources during the lock-down period. Enrolment on the "Research Animal Training" courses was now on a paid-for basis, with confirmation of completion being available to the TC.

7.2. Practical training and assessment]. The TC emphasized the difficulties of providing practical training while social distancing remained the norm. Cameras and direct observation from a safe distance would help in assessing those individuals that have previously attained practical competence.

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

Standing agenda item. The Committee endorsed a written report prepared by the DBS on licensing activity since an interim report issued in April 2020. Gratitude was expressed towards the Inspector and the ASRU licensing system for all applications having been processed and licences granted. This included very rapid turn-round for new covid-19-related work and other licence amendments submitted during the lock-down.

9. **ANY OTHER COMPETENT BUSINESS**

The HOI clarified the instructions provided in a recent ASRU newsletter. At the point at which on-site inspections are likely to re-start, the HOI will request copies of the Establishment's relevant health and safety procedures current at that time. This is primarily in order that the visiting Inspector will know what will be expected of them.

10. **DATE OF NEXT MEETING**

8th October 2020. Dates of later meetings in the 2020/2021 academic session will be circulated in due course.