

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 14 February 2017.

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

In Attendance: Wendy Alexander (Vice-Principal (International))
Professor Nic Beech (Vice-Principal (Academic Planning & Performance))
Andrew Hewett (Director of Finance)
Roddy Isles (Head of Corporate Communications)
Naomi Jeffery (Senior Planning Officer) (Items 56 & 57)
Dr Neale Laker (Director of Academic & Corporate Governance)
Dr Christine Milburn (Policy Officer (Corporate Governance))
Pam Milne (Director of Human Resources and Organisational Development)
Professor Tim Newman (Vice-Principal (Research, Knowledge Exchange & Wider Impact))
Thomas Veit (Director of External Relations)

Apologies: Richard Bint
Professor Stuart Cross
Lord Provost Bob Duncan
Iain Howie
Andrew Richmond
Mark Beaumont (Rector)
Professor Karl Leydecker (Vice-Principal (Learning & Teaching))
Dr Jim McGeorge (University Secretary)
Wesley Rennison (Director of Strategic Planning)

49. **MINUTES**

[Secretary's note: The Director of Academic & Corporate Governance, in his capacity as a Director of Dundee Student Villages, declared a conflict of interest in, and abstained from, discussions relating to Dundee Student Villages as detailed below.]

The Court was advised that subsequent to the meeting of Court on 12 December 2016 there had been a change to the accounts of Dundee Student Villages (an Associate Company of the University) before they were signed. Members noted that it was the view of management and the External Auditor that the resulting adjustments were not considered to be material to the University of Dundee Financial Statements, and that as such it was not deemed necessary for these to be restated. The Convener of the Audit Committee confirmed that the Audit Committee had been consulted by email and was content to recommend that the Financial Statements and Letter of Representation be re-signed by the Chairman and Principal following the meeting of Court on 14 February 2017. In response to questions the Director of Finance outlined the circumstances and advised on steps being taken to decrease the likelihood of a similar situation arising in the future.

- The Court decided:**
- (i) to re-approve the Reports & Financial Statements for the year ended 31 July 2016 and the letter of representation for signature by the Chairman and Principal; and
 - (ii) otherwise to approve the minutes of the meeting on 12 December 2017.

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

The Court considered the action log, and noted that arrangements for the Court Retreat on 7 and 8 September 2017 would be circulated to members shortly.

The Court decided: to approve the Court Action Log.

(2) Governance & Nominations Committee (Minute 37(3))

The Court decided: to ratify the decision taken at the meeting of the Court on 12 December 2016 to approve changes to Statute 16 as detailed in the Court minute of that meeting, noting that the changes to the Charter and Statutes remained subject to the formal approval of, and any changes required by, the Privy Council.

51. **CHAIRMAN'S REPORT**

The Court received the regular report from the Chair detailing activities undertaken on behalf of the Court since the last meeting. In introducing his report the Chair highlighted his recent visits to the External Relations Directorate, and the School of Medicine, and his attendance at a meeting of the DUSA Board of Trustees. The Chair also summarised his attendance at a Committee of University Chairs (CUC) event for new chairs of university governing bodies.

Noting that the key issues arising for the University from the EU referendum would be considered later in the agenda (minute 53), members highlighted recently publicised political discussions relating to the potential for a second Scottish Independence Referendum. Following discussion members agreed with the general principle that in matters such as this one it was appropriate that, until such time as an outcome was confirmed, the University maintain a neutral stance, whilst continuing to encourage informed debate.

The Court decided: to note the update.

52. PRINCIPAL'S REPORT

The Court received the regular report from the Principal to the Court (**Appendix 1**) which on this occasion focussed on the development of the University Strategy to 2022, the budget and financial outlook for the sector, and activities relating to the University's 50th Anniversary.

In introducing his report the Principal drew members' attention to improvements in the University's year-end forecast for the academic year, which showed a £1.5m positive variance relative to budget. The Court also noted that the Indicative Funding Letter from the Scottish Funding Council (SFC) had now been received, and the Director of Finance summarised key findings within the provisional analysis undertaken by the Strategic Planning Team. In particular members noted a reduction of £473.5k across announced grant components, and an increase to the capital maintenance allocation of £329.4k. In response to questions the Director confirmed that internal budget assumptions for the next three years were based on a flat-cash position, and that the three year projection for the University remained on track.

The Principal also updated the Court on his recent schedule of visits to Schools and Directorates, which members noted was one route by which communications between the University Executive Group and members of staff were being enhanced. In doing so the Principal provided an overview of topics raised by staff across the institution, and members commended the Principal on the approach taken. Members were particularly interested to note observations relating to staff morale, and staff opinions relating to the University's strategy, goals and values. Members were also pleased to note that the Principal intended to repeat the process on a regular basis.

The Principal also highlighted references in his report to a major new programme of Graduate Level Apprenticeships launched by Skills Development Scotland. The Court noted that the University was the only institution in Scotland to offer places across all four strands of the apprenticeship programme, which would see up to 70 graduate level apprentices combining academic learning at the University with practical learning in the workplace. Noting the income generating capabilities of the programme, its alignment to the University's widening access agenda, and the University's leading position in this area, the Court asked that its appreciation of the hard work of members of staff involved in this project be recorded.

The Principal went on to update members on activities relating to the University's 50th anniversary celebrations, and members were pleased to note the range of activities and the reported levels of engagement thus far.

The Court was also interested to note the University's TEF submission, the outcome of which was expected to be made known in May 2017. Members welcomed the submission which it

saw as a valuable source of information for the Court on the University's performance in aspects of learning and teaching.

Finally, the Court noted the appointment by the Scottish Government of Professor Peter Scott as the 'Commissioner for Fair Access', and members highlighted the importance of this role being properly supported and resourced.

The Court decided: to note the report.

53. BREXIT: KEY ISSUES ARISING

[Secretary's note: Bernadette Malone and Karen Reid declared a conflict of interest in, and abstained from discussions relating to this item.]

The Court received a paper which provided a high level analysis of potential impacts, consequences and opportunities resulting from Brexit which were pertinent to the University's goals and strategies. Noting that the approach and policy environment was still developing, discussions focussed on the importance of scenario planning to ensure that the University was well positioned to respond to emerging risks and opportunities.

Members welcomed the balanced presentation of information, and in particular discussed: the importance of maintaining opportunities for on-going research collaboration with institutions in other EU countries; timelines for student recruitment activities relative to decisions required from the Scottish Government on the funding of EU fees for 2018/19, and associated levels of exposure should this funding be withdrawn; and the importance of supporting staff and students affected by policy changes. Members suggested that the strategic risk register be reviewed in light of discussions, and asked that officers continue to keep the Court informed on business plans, scenario plans and risks as the policy environment became clearer.

The Court decided: to note the report and await further updates as required.

54. BRIEFING PRESENTATION BY DUSA PRESIDENT AND THE INDEPENDENT STUDENT MEMBER ON COURT: THE CHANGE IN STUDENT CULTURE

The Dundee University Students' Association (DUSA) President and the Independent Student Member of Court delivered a presentation to the Court on the 'Change in Student Culture'. In doing-so they provided an overview of the changing culture, expectations and needs of the student body which they largely attributed to increased diversity, changes to funding and fees, and advancements in social media/digital technology.

Focussing on the issue of graduate employability, members were interested to note the importance placed on the provision of extracurricular activities and modules focussed on transferable skills in addition to the more traditional discipline-specific learning opportunities. Members also noted the range of placements/internship programmes currently supported by the University and suggested that consideration be given to how the TayCities deal could enhance opportunities in this respect.

Discussions focussed largely on the increased pressure on students as a result of increasing student debt and, while members noted that the University Counselling Service and other

associated services were highly regarded, members were keen to ensure that this aspect of health and well-being was well supported. The Court also heard that the number of students who were also 'young carers' was increasing, and were supportive of the further exploration of the support needs of this group of students. Members suggested that this aspect of the presentation be further explored by the People & Organisational Development Committee in parallel to its planned consideration of 'health and well-being' issues relating to staff. Members also suggested that the topic be further explored as a session at the Court Retreat.

The DUSA President also highlighted the changing focus of DUSA in terms of commercial revenue as a result of the changes to the diversity and needs of the student body, with members noting increased interest in engagement with student-led societies and 'coffee-shop' activities and decreased demand for bar/club focussed events.

In thanking the DUSA President and the Independent Student Member on Court for their informative presentation, the Court highlighted the continued importance of the student voice in influencing the strategic decisions of the Court. In this respect the Court noted the role played by the annual Student Partnership Agreement, the regular nature of meetings between DUSA and senior management and the engagement of DUSA in the process for the development of the new University Strategy to 2022.

The Court decided: to thank the DUSA President and the Independent Student Member on Court for their informative presentation.

55. **UNIVERSITY STRATEGY TO 2022**

The Court received a paper which provided an overview of progress in developing the new University Strategy to 2022, including a copy of the consultative draft circulated to staff on 30 January 2017. In presenting the paper, the Principal highlighted the need to build on the progress made in the first 5 years of the University's 25 year goal, while reflecting both the current circumstances and also challenges for the coming 5 year period. Members noted that in a departure from previous approaches, the Strategy to 2022 was being developed as a high-level strategy which would ultimately be supported by a number operational action plans to transform high-level priorities and Key Performance Indicators (KPIs) into more specific actions. It was noted that this approach gave the strategy the flexibility needed to achieve aims in the face of changing operating conditions, while also being capable of inspiring and motivating staff and students.

Members praised the approach taken so far, and while noting that the translation of the high-level strategy to operating plans would represent a key task, members were supportive of the inclusive approach taken in laying the foundations for the consultative draft. Turning to the draft, the Court was particularly supportive of the focus on developing the unique/distinctive features of the University, including the proposed aims to: become the most potent force for economic, cultural and social development in our region; to ensure that our community is vibrant, rich and welcoming for everyone; and to embed interdisciplinary working in our culture. In this respect members highlighted the importance of clear messages in terms of the local vs global ambitions of the University. Through discussion members also made a number of suggestions for additional key aims. In response to questions relating to the core vision to be 'Scotland's Leading University' the Principal highlighted the need for the new Strategy to give a clear sense of concrete aims and goals within this vision, while allowing it to grow and encompass new ideas.

The Principal thanked the Court for the feedback received and encouraged members to engage with the consultation survey, and to provide further comments and feedback directly to the Director of Strategy Planning.

- The Court decided:**
- (i) to provide further feedback to the Principal and Director of Strategic Planning by 24 February; and
 - (ii) otherwise to note the report and await the draft Strategy to 2022, which was due for presentation at the next meeting of the Court on 18 April 2017.

56. STRATEGIC PRESENTATION BY THE VICE-PRINCIPAL RESEARCH, KNOWLEDGE EXCHANGE AND WIDER IMPACT: RESEARCH STRATEGY

The Vice-Principal (Research, Knowledge Exchange & Wider Impact) presented an update to the Court which outlined the developing research strategy in the context of the existing internal research environment and the changing external research funding context. Initial discussions focussed on the roll-out of the Annual Research Review, a peer-review exercise, and in particular the benefits of the review in terms of driving the research quality agenda. Members were particularly pleased to note engagement with the review process across all Schools, and the Vice-Principal highlighted to members the alignment of outputs to REF2014.

Turning to the REF2021, the Vice-Principal outlined the major recommendations from the Stern Review and considerations highlighted through the HEFCE consultation process, and members noted that guidelines for the REF2021 were expected to be published early in 2018. Noting that the University was well positioned to respond to anticipated requirements of the REF2021, members asked that the Vice-Principal keep the Court updated on further developments.

The Vice-Principal also focussed his presentation on matters relating to the financial sustainability of research, with members noting the importance of both enhancing efficiency and continuing to address the balance of Full Economic Cost (FEC) recovery. The Vice-Principal presented data which highlighted both the TRAC research deficit and the percentage FEC recovery by School and, whilst noting difficulties in tracking research efficiency in the same manner following the implementation of the FRS102 accounting standard, members nevertheless noted the potential for the TRAC deficit to be significantly reduced by raising research efficiency to a consistently high level across all schools. In response to questions regarding the operational approach to improving research efficiency, the Vice-Principal told the Court that this was a long-term sustainability goal, with different drivers being required for different areas of the University's research portfolio.

The Vice-Principal also drew members attention to proposals to increase the number of PhD students at the University in a manner which would enhance the research environment and provide additional income, and members were particularly interested in the '100 Projects' initiative which had been designed to link the best researchers across the University through 100 new interdisciplinary PhD projects.

Turning to the future Research Strategy, members were supportive of the emerging holistic research vision outlined which brought together quality, financial sustainability, impact and

teaching within a model where excellence was connected to interdisciplinary networks and impact themes rather than a traditional discipline-based approach.

The Court decided: to thank the Vice-Principal for the presentation and await further updates in due course.

57. **UNIVERSITY STRATEGY TO 2017: RESEARCH KEY PERFORMANCE INDICATOR REPORT**

The Court received a report from the Director of Strategic Planning detailing performance relative to Key Performance Indicators (KPIs) within the Research Enabling Strategy of the University Strategy to 2017.

The Court decided: to note the report.

58. **UPDATE ON CHANGES TO THE CHARTER AND STATUTES**

The Director of Academic & Corporate Governance introduced a paper which outlined the outcomes of discussions with the Scottish Government Advisors to the Privy Council in relation to changes to the Charter, Statutes, and Ordinances of the University which had been previously approved by the Court, and which were designed to enable implementation of the requirements of the Higher Education Governance (Scotland) Act 2016. The paper (**Appendix 2**) included updated text for amendments along with proposals for the commencement of arrangements for the changes. Members were content that the further amendments resulting from discussions with the Scottish Government advisors did not materially change the proposals previously approved by the Court, and that as such the approval of these amendments lay within the expected latitude of the original resolution.

The Court decided:

- (i) to approve the commencement arrangements as outlined;
- (ii) to approve the revocation of Ordinance 45 (Election of Member of Court by the Non-Teaching Staff) with effect from 1 August 2017, subject to consultation with the Senate and ratification at a subsequent meeting of the Court; and
- (iii) to note that the Court's approval of the amendments to the Charter and Statutes were subject to any additional changes required by the Privy Council.

59. **COMMITTEES**

(1) Finance & Policy Committee

The Court received a report from the meeting of the Finance & Policy Committee on 23 January 2017 (**Appendix 3**). In introducing the report the Chair drew members' attention to the Committee's discussions relating to the development of the estate in the context of a new Estates Strategy. Following discussion the Chair asked that the Principal give consideration to how the University may be best advised on the development of the campus, including the potential for an additional group to be

convened with this remit. The Court also discussed the most recent management accounts and noted that more detailed forecast updates would be incorporated following review of the Period 6 accounts.

The Court decided: to approve the report.

(2) People & Organisational Development Committee

The Court received a report from the meeting of the People & Organisational Development Committee on 24 January 2017 (**Appendix 4**). The Acting Convener for the meeting highlighted to members discussions relating to Objective Setting & Review (OSaR) completion rates and sickness absence data, with discussions focussing on the relationship between the completion of OSaR processes and submissions relating to the award of Contribution Related Points. Members noted that this was an area which would be further explored by the Committee at its next meeting.

The Court decided: to approve the report.

(3) Governance & Nominations Committee

The Court received a report from the meeting of the Governance & Nominations Committee on 23 January 2017 (**Appendix 5**). The Convener drew members' attention to the Committee's recommendation that the membership of Denis Taylor be renewed for a second period of 4 years. The Convener also highlighted to the Court succession planning matters relating to the Audit Committee and the Court, and discussions relating to the proposed University Statement on Modern Slavery. Finally, members of Court noted that the Committee had considered a declaration made by a member of staff in accordance with the University's policy on 'Employment of Close Relatives', and that after due consideration the Committee was content that appropriate arrangements were in place.

The Court decided:

- (i) to unanimously approve the renewal of the lay membership of Court of Mr Denis Taylor for a further period of 4 years from 1 August 2017;
- (ii) to encourage members interested in serving in the role of Convener of the Audit Committee or Finance & Policy Committee to indicate this interest to the Chair of Court or University Secretary at their earliest possible convenience;
- (iii) to ask members to draw attention to the lay vacancy on the Audit Committee and upcoming vacancies on the Court to any potentially suitable individuals;
- (iv) to note the Committee's consideration of a declaration of interest made by a member of staff in accordance with the University's policy on 'Employment of Close Relatives';

- (v) to approve the proposed University Statement on Modern Slavery (**appendix 5 annex**); and
- (vi) otherwise to approve the report.

60. **COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

The Court received a report from the meeting of the Senatus Academicus on 1 February 2017 (**Appendix 6**). The Court was pleased to note the Senate's discussion of the University Strategy to 2022, and expressed an interest in further updates from the Senate in relation to the Review of Senate Effectiveness.

The Court decided: to note the report.

61. **RESEARCH GOVERNANCE COMMITTEE: ANNUAL REPORT**

The Court received the annual report from the Research Governance & Policy Sub-Committee which is available on the University's website at: <https://www.dundee.ac.uk/media/dundeewebsite/researchgovernanceandpolicy/documents/RGPSC-Report-to-Court-2015-16-Feb-17.pdf>.

The Court decided: to note the report, and await further reports on an annual basis.

62. **MUSEUM ADVISORY COMMITTEE**

The Court received the minutes of the meeting of the Committee on 7 December 2016 for information. The Court noted the context for decisions taken by the University Staffing Committee reported in the minute and members indicated that they were content that due process had been followed in this respect.

The Court was pleased to note that, as part of the wider review of the University Strategy, the University Executive Group intended to give consideration to how the development of different areas of cultural activity within the University could be best coordinated.

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

63. **WELFARE & ETHICAL USE OF ANIMALS COMMITTEE**

The Court received a report of the meeting of the Welfare & Ethical Use of Animals Committee on 11 January 2017 (**Appendix 7**).

The Court decided: to approve the report.

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

The Court noted the appointment of the following:

Jenny Woof	Professor of Biology	1 October 2016
Lesley McLellan	Director of Quality and Academic Standards	1 January 2017

The Court decided: to note the appointments.

(2) Grievances, Appeals and Hearings

Members noted the appointment of a person not employed by the University holding, or having held, judicial office or being advocates or solicitors of at least ten years' standing to hear an appeal relating to a grievance previously reported to the Court

The Court decided: to note the composition of the panels and the update.

65. **COURSES FOR ADULTS**

The Chair drew members' attention to correspondence received in relation to changes to the Dundee University Courses for Adults Programme. After discussion, the Court indicated that it was content that the process of reaching the decision had been appropriate, and was supportive of the decision reached in the context of the University's current financial operating environment and its broader commitment to, and priorities for, public engagement.

The Court was however sympathetic to the disappointment of individuals currently engaged with the programme, and was pleased to note that a number of subjects within the programme would continue to be available through credit bearing courses, with opportunities for financial support being brought to the attention of those who were eligible.

Mr Ronald Bowie
Chair of Court
University of Dundee

APPENDIX 1

PRINCIPAL'S REPORT (Minute 53)

Introduction

1. The fourth meeting of the Court falls close to the mid-point for the academic year, and while the agenda is often shorter than at other meetings, this has the advantage of allowing us the opportunity to reflect in more detail on some of the Year's key themes before we begin the detailed review of performance and forecasts which will inform the development of the budget for 2017/18. All of the six themes identified at the Court Retreat are reflected in some manner at this meeting, largely through the advancement of items through the Committees. In this report I have chosen to focus on the development of the new University Strategy to 2022, and I look forward to engaging with members again in relation to this theme.

University Strategy

2. At the September Retreat Court members started the process for the development of the new University Strategy to 2022 within the context of our ambitious 25 year vision for the University. The process remains on track, with the Director of Strategic Planning having previously provided updates to the Court on the initial development and informal consultation phases - including engagement with a wide range of staff and students, scenario planning for the changing HE sector landscape, and the identification of key priorities for the coming 5 year period. The process has now moved into the formal consultation phase, with the consultation draft being distributed to all staff along with a survey designed to enable the collection of a wide range of views from across the institution. In parallel to this, by the time Court meets I will have led a series of open meetings across the city and Ninewells Campuses. This approach of bringing together 'top-down' and 'bottom-up' thinking has been central to the development of the Strategy.
3. In a departure from recent strategies, the Strategy to 2022 is deliberately set out as a high-level strategy which will ultimately be supported by a number operational action plans to transform high-level priorities and Key Performance Indicators (KPIs) into more specific actions. It has been drafted from the perspective of needing to build on the progress we have made in the first 5 years of our 25 year goal, while reflecting both the current circumstances and the flexibility which will be needed to achieve our aims in the face of changing conditions within which we operate. It is also intended to be a document capable of inspiring and motivating our staff and students in pursuit of our goal to become Scotland's leading University. Importantly, the Strategy focusses on our commitment to further develop the distinctive features of the University to enable us to become the most potent force for economic, cultural and social development in our region, to ensure that our community is vibrant, rich and welcoming for everyone, and to embed interdisciplinary working in our culture.
4. It remains our intention to bring a revised draft strategy to the April Court meeting, and to seek approval of the final strategy from the Court at its meeting in June. I will therefore be particularly interested to hear the views of the Court in relation to both the approach and proposed structure for the high level University Strategy to 2022, and also the development of operational action plans which will of course need to take into account a number of influences being discussed at present by the Court.

Budget and Financial Outlook

5. At the time of writing my report we are still awaiting the indicative funding letter for 2017/18. The Scottish Government has however confirmed a flat cash position for the Higher Education sector with respect to the main teaching and research components, and a conversion from fees to loans for Home/EU TPG. This represents a 1.3% cut which the sector will need to recover from TPG recruitment under changed market conditions. In light of the announcement, we have updated our 3 year financial projections to reflect an assumption of a flat-cash position for the next 3 years rather than a return to levels equivalent to those of 2014/15 by 2018/19 as was previously the case.
6. The Court will by now be familiar with the long-term sustainability issues for the sector that one-year budgets and flat-cash settlements present, especially in terms of financial planning and strategic investment. It is therefore pleasing to report that despite the constraints of static or reduced levels of public funding, the University's underlying financial trajectory remains on course to produce a year end position well within the parameters agreed by the University Court. In fact, the financial forecast at the end of period 5 (December) reviewed by the Finance & Policy Committee predicted a full year result almost £1.0m better than budget.

7. Given the relative timing of the meetings of the Finance & Policy Committee, Court and the January student intake, it is typical for me to provide Court with a brief overview of progress in this area. The budget position for the current year reported above has been helped by a strong student recruitment performance, where it is likely we will matriculate significantly more overseas TPG students in Semester 2 than our target, and in fact are likely to matriculate more overseas TPG students this January than last year's Semester 2 intake despite fewer programmes running. Home TPG recruitment has also been healthy and we expect to meet and slightly exceed our target. At its next meeting the Finance & Policy Committee will receive a full update on recruitment patterns for entry in 2017/18, however despite the current global economic and political uncertainties our outlook for 2017/18 entry and in particular unregulated fee income appears strong.

Strategic Updates

8. For this report, rather than including a distinct set of reports from the Vice-Principals as a strategic update appendix, I include an overview of developments in relation to strategic matters being led by members of the University Executive Group (UEG). I hope that this integrated approach will better reflect the interconnected nature of activities being undertaken, and I look forward to feedback from members of the Court on this approach.
9. I would like to start this section by highlighting engagement over the last few months in a series of 'Principals visits' - meeting with staff from across all Schools and Directorates as one element of the UEG response to feedback from the staff survey. These visits used a variety of formats, but with the consistent aim of enabling staff to speak directly with me on matters which they feel are most important to them as members of the University. The questions and comments from staff at these meetings align well with a number of the themes I address in my report, and are a reminder of the importance we place on our staff and students roles in achieving the goals we set.
10. In my last report I indicated to members the University's decision to participate in the Teaching Excellence Framework (TEF), the voluntary assessment exercise to assess the quality of teaching and learning in universities and other higher education institutions across the United Kingdom. Our submission, which was developed with input from DUSA, has now been finalised and is available to members within the University Court BOX folder. In making our submission we join four other Scottish universities and a substantial majority of the HE sector elsewhere in the UK in choosing to enter the second phase of the TEF. Taking part in the TEF is a clear indication to our students, our staff and the wider world of the value we place on teaching as well as research at the University. Furthermore, as one of the world's top 200 Universities TEF will also give all prospective and current students, from across the UK and internationally, a clear sign of the quality of the teaching and student experience they can expect from Dundee.
11. Elsewhere on the agenda for today's meeting the Vice-Principal (Research, Knowledge Exchange and Wider Impact) is giving a strategic update presentation. One important development is the Annual Research Review, which has catalysed open discussions on research culture and strategy in Schools. The review is now entering its second year, but has been an important factor in the University's ability to respond strongly to major funding opportunities such as the recent Global Challenges call from the National Institutes of Health Research (NIHR), for which the University identified four top-class bids to go forward. Each institution is eligible to bid for two larger (£7m) units and two smaller (£2m) groups, and the funding is sustainable with high levels of FEC. Professor Newman will update Court at the meeting on outcomes of this series of large-scale bids in Global Challenges, which is expected to be a major focus for the UK research community over the coming years.
12. The Annual Research Review is also an important foundation for the University's approach to REF2021, the consultation process for which is now well underway. HEFCE has the unenviable task of satisfying two government mandates: to reduce the financial burden of the REF process and to implement a set of new recommendations from the Stern Review. The University had representation at a recent event in Glasgow which both facilitated our understanding of some of the key issues and provided the opportunity for us to influence the REF process. The written consultation document will be submitted in March through the University's REF Steering Group and the deadline for REF submissions is currently expected to be November 2020.
13. The UEG focus on strategic leadership and quality is also evident in activities relating to our international strategy and agenda, and our excellent performance in the International Student Barometer (ISB) (ranked 1st in Scotland, 3rd in UK and 14th globally for average student satisfaction), is indicative of the quality of our offer to international students. Together with strategic investments in areas such as: admissions, key markets, conversion activity, international student ambassadors, and academic engagement, work undertaken to develop the theme of 'Dundee as a uniquely welcoming community', has been important in strengthening our ability to respond to market pressures and deliver overseas recruitment at levels above target and ahead of the sector. Recent developments include a review of English language support, welcome week, outward mobility initiatives and our exchange programmes.

14. This strengthening of our international strategy is however set against a backdrop where the national policy picture remains uncertain and challenging, particularly in relation to immigration and Brexit. It is therefore important that both as an institution and as a sector we continue to promote the UK as welcoming overseas and EU students. With this in mind, I wanted to highlight to members our involvement in 'Scotland Welcomes the World' activities – a coordinated Scottish University collaboration led by the Universities Scotland International Committee, which looks to identify suitable areas for cooperation in international markets. One of the first outcomes has been an all Scotland pre-Burn's night US event celebrating international students – mirroring our own annual International Student Reception on Friday 27 January.
15. Returning to our Learning and Teaching Strategy, and more specifically our widening access strategy, members of the Court will be interested to note that SFC analysis of the performance across the sector in widening access has confirmed that we have continued to increase strongly our numbers of MD40 and MD20 students. This means that we are well placed to engage with the newly appointed Commissioner for Fair Access, Professor Peter Scott, who has the remit of 'providing leadership, a voice for our most disadvantaged learners and a challenge – to all parts of the education system and Government – to do more and to push harder'. As reported to the Finance & Policy Committee, the University is participating in Universities Scotland working groups to take forward discussions relating to the implementation of the recommendations of the report by the Commission on Widening Access, and is well placed to engage with the Commissioner in due course.
16. Members may also be interested to note that the University has been announced as one of the providers of a major new programme of Graduate Level Apprenticeships launched by Skills Development Scotland (SDS) <http://uod.ac.uk/2iV0h9c>. The University is the only institution in Scotland offering places across all four strands of the apprenticeship programme which will see up to 70 Graduate Level apprentices employed by organisations working in each of these sectors combining academic learning at the University with practical learning in the workplace. The pilot intake to the four year programme is expected to generate £2m income for the University throughout its lifespan, and discussions are already underway regarding funding for the programme for future intakes. I will be able to provide members with further detail at the meeting should they wish, and I would like to acknowledge those leading this programme here in Dundee, in particular Dr Karen Petrie, for the hard work which has gone into developing our strong response to this initiative.
17. Finally, I wanted to bring to members' attention the University's Entrepreneurship week activities, which feature an inaugural Entrepreneurship Lecture by Josh Littlejohn on 23 February 2017, and the final of the University's Venture 2017 competition, which supports new business ideas among students, staff and recent alumni. Josh was awarded an MBE in the 2017 New Year Honours list for services to Entrepreneurship and Social Enterprise in Scotland for his role co-founding Social Bite, and he will be telling the story of how he founded his social enterprise projects and helped raise millions of pounds for charity. This week of events, is a significant step for the University in its enterprise and entrepreneurship agenda, and I hope that some of you will be able to attend the lecture to show your support.

50th Anniversary Events and Activities

18. I would also like to mark my first report of the University's 50th Year by drawing members' attention to some of the many events being organised as part of our 50th anniversary year. Full information on the programme of 50th Anniversary events is available from <https://www.dundee.ac.uk/50/>. It has been particularly pleasing to see the enthusiasm with which these events are being met, and with over 800 alumni indicating their planned attendance of the 50th Anniversary Alumni weekend (19-21 May 2017) events, it promises to be an exciting year for the University. One event I would especially like to highlight in this report is the 'Principal's Challenge' – an event which aims to support our fundraising activities. I hope to be in a position to outline this event in more detail at the meeting, though I will say that by the time this report is sent out I will have already undertaken a full fitness test at ISE to establish a training programme to prepare me for the challenge.

Professor Sir Pete Downes
Principal and Vice-Chancellor

University Executive Group Meetings

Since the last report to the Court, the University Executive Group have met formally on 14 December, 18 January and 1 February when the following matters were considered:

Corporate Issues

- Risk Appetite Statement
- University Strategy to 2017
- AHSP
- Smalls Wynd Development
- 2016 Gift Acceptance/Refusal
- Business Transformation
- Student Accommodation
- Income Growth Project Updates
- TEF Submission
- Admissions and Applicant Experience Discussion Paper: Nursing & Health Sciences
- Draft Outcome Agreement
- Research Strategy and Themes

Financial Issues

- International Income Generation
- Budget Guidance
- Impact of FRS 102
- Update on 3 Year Plans and Forecasts
- Capital Investment Plan Scenarios
- Management Accounts
- Student Intake Targets

Academic Management Issues

- UoD Centre of Entrepreneurship and Design in Action
- Student Recruitment Summary
- Robertson Trust Scholarships
- University Innovation Fund
- Scottish Pooling Streams
- Deans' Group Agenda
- Student Experience Oversight Group report

Human Resources Issues

- Leadership of EDR
- Long Service Awards
- Modern Slavery Statement

People and Prizes

The University of Dundee has been ranked 1st in Scotland, 3rd in the UK and 14th globally for overall average student satisfaction in this year's International Student Barometer (ISB)

'Growing up on the Streets', was named as the University's Public Engagement Project of the Year. The Project led by **Professor Lorraine van Blerk** (School of Social Sciences) seeks to improve the lives of vulnerable and marginalised street children in Africa.

Professor Jennifer Woof (School of Life Sciences) was named Engaged Researcher of the Year in recognition of her outstanding work with schools and the public to raise awareness of science.

Professor Irwin McLean (School of Life Sciences) was elected as a Member of the Academia Europaea. Members of the Academia comprise scientists and scholars from across Europe collectively aiming to promote learning, education and research.

Professor Mary Renfrew (Associate Dean in the School of Nursing and Health Sciences and Director of the Mother and Infant Research Unit) was appointed by the Nursing and Midwifery Council (NMC) to lead on the development of new standards of competence for the future graduate registered midwife.

Chloe Lewis, who graduated in Jewellery and Metal Design in June, won the regional award for Visual Arts & Design from the Undergraduate Awards, the largest international academic awards programme, for her essay on the impacts of climate change. Seven other University of Dundee students were highly commended at the awards in Dublin.

Major Grants and Awards

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

Dr A Alessandrini (Contemporary Art Practice)

Digital Fabrication and Maker Movement in Education: Making Computer-supported Artefacts from Scratch (eCraft2Learn) (joint with 11 Other Partners)

£176,276 (including £60,017) from EC Horizon 2020 ICT-22 Technologies for learning and skills.

The eCraft2Learn project will research, design, pilot and validate an ecosystem based on digital fabrication and making technologies for creating computer-supported artefacts. The project aims at reinforcing personalised learning and teaching in science, technology, engineering, arts and math (STEAM) education and to assist the development of 21st century skills that promote inclusion and employability for youth in the EU. The eCraft2Learn ecosystem will support both formal and informal learning by providing the appropriate digital fabrication, making technologies, and programming tools. It will also incorporate mechanisms for personalised and adaptive learning.

Professor M. C. Field (Biological Chemistry and Drug Discovery)

A Systems Approach for Understanding Cell Surface Dynamics in Trypanosomes (Investigator Award)

£1,393,659.00 from Wellcome Trust.

The fundamental aim is to harness the unique phylogenetic position of trypanosomes in eukaryotic evolution and, through the application of the latest genetic, cell biological and proteomic methods, uncover both conserved and unique features of intracellular protein trafficking. In particular, the program of work will study a cohort of proteins that are known to interface with drug uptake mechanisms; using these as probes we shall learn more concerning the dynamics of the surface of trypanosomes and identify new ways in which we can exploit the unique aspects of these organisms for the design of new drugs and drug delivery systems.

Dr D. Flatla (Computing)

ColourSpecs A Wearable System for Presenting Colour Information to People with Impaired Colour Vision'

£100,861.00 (including £55,748.00 overhead) from the Engineering and Physical Sciences Research Council.

People with Impaired Colour Vision (ICV) have difficulty identifying colours, which limits their employment opportunities, threatens their health & safety, and reduces their access to information. The ColourSpecs project, will identify new ways to 're-visualise' colour into other visual properties (e.g., texture) using transparent head-mounted displays to create a new type of assistive technology to help improve colour identification for people with ICV.

Professor Nicola Innes (Dentistry)

BRIGHT Trial: Brushing Reminder 4 Good oral HealTh: the Clinical and Cost-effectiveness of a Short Messaging Service Behaviour Change Programme to Improve the Oral Health of Young People Living in Deprived Areas (joint with Universities of Sheffield, Cardiff, York and Leeds)

£585,277 (including £110,692 overhead) from the NHS National Institute for Health Research

BRIGHT is a £1.9M NIHR-HTA funded study involving 48 schools and nearly 6000 young people in Scotland, England and Wales. BRIGHT is investigating whether a classroom-based lesson followed by a series of reminder text messages increases toothbrushing in 11-16 year olds, ultimately reducing tooth decay. Nicola Innes (School of Dentistry) is trial lead with Zoe Marshman (Sheffield University) and supported by Donna Dey (School of Education and Social Work) and Claire Jones (School of Medicine). Universities of Leeds, York and Cardiff are also involved.

Dr J. B. Vorstius (Mechanical Engineering)

Design of a Novel Marine Vessel Motion Monitoring System and Analytic Predictive Information System (Knowledge Transfer Partnership (KTP) with Finesse Control Systems)

£130,822.00 (including £54,321.00 overhead) from the Knowledge Transfer Partnerships.

The Project will see Dr Vorstius work with Finesse Ltd. (Arbroath) on a project with the scope developing a novel marine vessel motion monitoring and analytic predictive information system for heavy lifting activities to initiate a new product development and process hub within the company and Mechanical Engineering at Dundee. The KTP will run over 2.5 years.

Professor P. G. Wyatt (Drug Discovery Unit)

SHORTEN-TB: Developing Leads to Shorten Duration of TB Chemotherapy (Joint with NIH NIAD - Lead, University of Cambridge, University of Cape Town Braunschweig Germany)

£1,472,201.00 (including £237,257.00 overhead) from the Foundation for the National Institutes of Health.

The grant is a second phase of the DDU's current HIT-TB programme, a collaboration with many of the partners of HIT-TB. It is to discover new drug targets/mechanisms and then potential drugs, that could lead to shortening of the duration of treatment of TB from the current 6 months to at a stretched goal 1 month. SHORTEN-TB will continue to be part of the TB

Drug Accelerator a consortium of 8 pharma companies and 9 research organisations. Dundee is a full member also through its TB Lead Optimisation Programme, jointly funded by Wellcome and the Gates Foundation.

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

APPENDIX 2

UPDATE ON CHANGES TO THE CHARTER AND STATUTES (Minute 58)

Amendments to Charter, Statutes and Ordinances in Accordance with the Requirements of the Higher Education Governance (Scotland) Act 2016

The following text sets out the additional changes required at the current time by the Scottish Government advisers to the Privy Council. The underlying text of the instruments is as approved by Court at its meetings on 24 October and 12 December 2016, with changes required marked in red. Since Court approved the original amendments 'subject to [...] formal approval by, and any changes required by, the Privy Council', the changes set out here are taken to have been approved by Court.

*Dr Neale Laker
7 February 2017*

Statute 9 - The Court

- (1) The Court shall consist of the following persons, namely:
- (a) A Chairperson (in terms of paragraph (3) below), who shall also be the senior lay member in terms of the Higher Education Governance (Scotland) Act 2016
 - (b) A Deputy Chairperson (in terms of paragraph (4) below)
 - (c) The Principal or, in the absence of the Principal, a Vice-Principal
 - (d) The Rector or an Assessor nominated by him or her, after consultation with the Students' Association, to serve throughout the Rector's term of office
 - (e) The Lord Provost of Dundee City Council or an Assessor nominated by him or her to serve throughout the Lord Provost's term of office.
 - (f) Two members of the Graduates' Association appointed by the Graduates' Association, to be known as Graduates' Association members.
 - (g) Three members of the Senatus elected from its members by the Senatus.
 - (h) Two members of the Staff Council elected by the Staff Council.
 - (i) Two members nominated from among the students of the University by the Students' Association.
 - (j) One member of academic staff nominated ~~from among its members~~ by a trade union having a connection with the University ~~from among that union's members~~.
 - (k) One member of support staff nominated ~~from among its members~~ by a trade union having a connection with the University ~~from among that union's members~~.
 - (l) ~~Eight Seven~~ other persons, not holding ~~full-time~~ appointments from Court, as may be co-opted by the Court.

Provided always that no matriculated full-time student of any university, other than the members nominated under sub-paragraph (i) of this paragraph, shall be a member of Court.

Provided also that no ~~full-time~~ member of the staff of the University may serve as a nominated or elected Assessor or representative save as provided for under sub-paragraphs (g), (h) (j) and (k) of this paragraph.

Provided further that no former member of staff of the University or former student of the University may serve on Court either as a Chairperson in terms of sub-paragraph (a), Deputy Chairperson in terms of sub-paragraph (b), an assessor in terms of sub-paragraphs (d) and (e), as a Graduates' Association Member in terms of sub-paragraph (f), or as a co-opted member in terms of sub-paragraph (l) of this paragraph until four years have elapsed from the point at which that person ceased to be a member of staff or a student of the University. ~~This provision, however, shall not apply to any members serving on Court at the point at which it comes into force.~~

- (2) (a) The Chancellor of the University shall have the right to receive Court papers and to attend Court meetings, but shall not be a member of the Court and shall not be entitled to vote at Court meetings.
- (b) The Principal and the Rector shall hold office as long as they continue to occupy the positions named respectively.

- (c) The manner of appointment and period of office of the Graduates' Association Members of Court shall be as prescribed in the Ordinances.
- (d) The manner of election of the members of Court elected by the Senatus and by the Staff Council and their respective periods of office shall be as prescribed in the Ordinances.
- (e) The manner of appointment of the members nominated under sub-paragraphs (i), (j) and (k) of paragraph (1) shall be as prescribed in the Ordinances.
- (f) Where, under sub-paragraph (d) of paragraph (1) above, the Rector elects not to hold office as a member of Court, but to appoint an Assessor, the Rector shall nevertheless retain the right to receive Court papers and attend Court meetings, but shall not be a member of Court and shall not be entitled to vote at Court meetings. An Assessor so nominated by the Rector shall hold office until the expiry of the term of office of the Rector by whom he or she was nominated and shall be eligible for further nomination, but shall not hold office continuously for a longer period than six years:
- Provided always that on the expiry of a Rector's term of office any serving Assessor shall continue to be a member of the Court until a new Rector is elected and joins the Court as a member or nominates a new Assessor to hold office as a member of the Court in his or her place.
- (g) A co-opted member shall hold office for a period of four years from the date of co-option and shall be eligible for further co-option, but shall not hold office continuously for a longer period than eight years.
- (h) ~~Except in the case of the Chairperson appointed under paragraph (3) below,~~ The maximum total continuous period of office of a member of Court ~~serving under the terms of sub-paragraphs (b), (f) to (h) and (j) to (l) of paragraph (1) above, or under a combination thereof,~~ is eight years, subject to the terms of sub-paragraphs (i) and (k) below of this paragraph.
- (i) Where a particular skill or expertise might otherwise be lost, the Court may exceptionally agree to extend by a maximum of two years the period of office of members serving under the terms of sub-paragraphs (b) or (l) or as an assessor in terms of sub-paragraphs (d) or (e) of paragraph (1) above. Graduates' Association Members of Court who have reached their maximum term of office in that category may, for the same reason, be co-opted for an additional maximum period of two years under the terms of sub-paragraph (l) of paragraph (1) above, if such a vacancy exists.
- (j) On expiry of their maximum period of office on Court, members shall not be permitted to seek re-election, re-nomination or re-appointment in any category until a period of at least four years has elapsed from the date on which their membership ceases. ~~For this purpose membership includes any period of extension granted under sub-paragraph (i) of this paragraph.~~
- Provided that in the case of the appointment of the Chairperson of Court, this rule shall not apply.
- (k) Casual vacancies among the members of the Court shall be filled as soon as conveniently possible by the body which or person who appointed, nominated or elected the person whose place has become vacant, and the person appointed, nominated or elected to fill the vacancy shall begin a full term of office and shall be eligible for re-appointment, re-nomination or re-election in accordance with the relevant paragraphs of this statute and respectively with the appropriate Ordinances.
- Provided that where such an appointment begins at a time of year other than 1 August, for the purposes of regulating the length of the term of office it shall be deemed to have begun on 1 August preceding the actual appointment where this is before 1 February and on 1 August following the actual appointment where this is on or after 1 February.
- (l) Any member of the Court, not being an ex officio member, may resign at any time by writing addressed to the Secretary.
- (m) (i) The Court shall have the power after due investigation to remove the Chairperson or any other member of Court on the grounds of serious personal misconduct, ~~inability to exercise the functions of Chairperson or of membership of the Court,~~ abuse of the rights and privileges of membership of Court, bringing the University into disrepute, persistent absenteeism, medical incapacity or legal impediment.
- (ii) If a member of Court or any other person believes that there is a prima facie case under the terms of clause (i) of this sub-paragraph for the removal from office of ~~a member of Court or the Chairperson or any other member of the Court,~~ that person shall inform the ~~University~~ Secretary, who shall make a recommendation to Court to investigate the case for removal from office. The Court shall appoint a committee to carry out such investigation, comprising the Chairperson of Court (or the Deputy Chairperson if the Chairperson is the subject of investigation), one additional lay member of Court, one staff member and one student member.

- (iii) When an investigation of the case for removal from office of a member of Court has been instigated the individual concerned shall be suspended from Court membership without prejudice pending the outcome of the investigation and the Court's decision thereon, but shall have the right to make representations to, and to appear in person before, the investigating committee.
 - (iv) If the investigating committee concludes that there are grounds for removal from office, it shall submit its recommendation, together with a summary of the supporting evidence, for the Court's decision. Having considered the report, the Court may decide to remove the member from office, provided that at least three-fourths of those members present and voting are in agreement.
 - (v) If the investigating committee concludes that the grounds for dismissal cannot be substantiated or are insufficient and if the Court accepts that conclusion, then the suspension of the member concerned shall immediately be rescinded.
 - (vi) In the event that the Court decides to remove one of its members from office, that member shall have the right to seek a review of the decision. Such a review shall be conducted by ~~a committee comprising two senior lay members (as defined in the Higher Education Governance (Scotland) Act 2016) of governing bodies of other Scottish universities and~~ a person not employed by the University, ~~nor having been employed by the University within the previous four years holding,~~ or having held, judicial office or being an advocate or solicitor of at least ten years' standing. The decision of ~~this person the review committee~~ shall be final.
 - (vii) In all proceedings under this paragraph the Court shall ensure that the requirements of human rights legislation are observed.
- (3)
- (a) A Chairperson of Court shall be appointed by the Court following an open advertising and recruitment process in accordance with the Higher Education Governance (Scotland) Act 2016. Students or ~~salaried~~ members of staff of the University shall be ineligible to be appointed as Chairperson, ~~and as stated in paragraph (1)~~ no former member of staff or student shall be eligible to be appointed as Chairperson until four years have elapsed from the point at which that person ceased to be a member of staff or a student of the University. The appointment process shall be as prescribed in the Ordinances.
 - (b) The Chairperson so appointed shall begin a new term of office on the Court and shall hold office for a period of three years whereafter the Chairperson shall cease to be a member of the Court. Provided always that the Chairperson shall be eligible for re-appointment but shall not serve continuously for more than six years in that office.
 - (c) Any vacancy created as a result of the appointment of a new Chairperson of Court shall be filled in accordance with either sub-paragraph (l) of paragraph (1) or sub-paragraph (k) of paragraph (2), as appropriate.
 - (d) The Chairperson shall preside over any meeting of the Court but in the absence of the Chairperson from a meeting of the Court or, in the event of the business of the Court making it inappropriate for the Chairperson to ~~be present at~~ ~~preside over~~ any meeting or part thereof, the Deputy Chairperson shall preside over the meeting. In the absence of both the Chairperson and the Deputy Chairperson another member shall be elected from among its members who are not students or ~~salaried~~ staff of the University to preside over the meeting.
 - (e) The person presiding over any meeting of the Court shall have a deliberative vote and also a casting vote in case of equality.
- (4)
- (a) A Deputy Chairperson shall be appointed by the Court from amongst its members who are not students or ~~salaried~~ staff of the University in such a manner and with such duties as shall be defined in Ordinance.
 - (b) The Deputy Chairperson so appointed shall begin a new term of office on the Court, shall hold office for a period of four years and shall be eligible for re-appointment. Provided always that the person so appointed may not exceed the maximum total continuous period of office on Court as set out in sub-paragraph (h) of paragraph (2) except as a result of an extension in terms of sub-paragraph (i) of the same paragraph.
 - (c) The vacancy created as a result of the appointment of a Deputy Chairperson of Court shall be ~~treated as a casual vacancy and~~ filled in accordance with ~~either sub-paragraph (l) or paragraph (1) or~~ sub-paragraph (k) of paragraph (2), ~~as appropriate.~~
- (5) Seven members of the Court shall constitute a quorum. In the absence of a quorum, no business shall be transacted other than the adjournment of the meeting. At the adjourned meeting, the business for which the original meeting

was called may be completed in the absence of a quorum. The manner of summoning the adjourned meeting and the period of notice to be given shall be prescribed in the Regulations.

[...]

Ordinance 65 – Appointment of the Chairperson of Court

(An Ordinance made in terms of Statute 9(3)(a) and in accordance with sections (3)-(8) of the Higher Education Governance (Scotland) Act 2016.)

1. (1) In a year in which a vacancy in the position of Chairperson of Court arises, the Court shall establish an appointing committee.

(2) The appointing committee shall include in its membership at least one member of staff, one student, and one graduate of the University. Only persons who have declared that they shall not seek candidacy for the vacancy may be members of the appointing committee. The members of the appointing committee shall normally be members of the Court, but the Court may appoint members to the committee from outside the Court or from outside the University. The Court shall ensure that there is an appropriate balance of membership of the committee in terms of accepted equality and diversity principles.

(3) The appointing committee shall normally be chaired by the Deputy Chairperson of Court, unless that person wishes to be considered for the role of Chairperson, in which case the Court shall decide who, from among its lay members and from those who do not wish to be considered for the role, shall chair the committee.
2. The sitting Chairperson of Court shall take no part in the selection process for the new Chairperson and shall absent him or herself from any discussion.
3. Existing lay members of Court shall be eligible to apply to be appointed as Chairperson. Students or ~~salaried~~ members of staff of the University shall be ineligible to be appointed as Chairperson, and no former member of staff or student shall be eligible to be appointed as Chairperson until four years have elapsed from the point at which that person ceased to be a member of staff or a student of the University.
4. The appointing committee established under paragraph 1 shall have responsibility for:
 - (i) Devising the relevant criteria with respect to the position of Chairperson of Court, ~~having due regard to identifying which must include the availability, skills and knowledge that the appointing committee consider necessary or desirable~~ to exercise the functions of Chairperson of Court and command the trust and respect of other members of the Court, of the members of the Senatus and of the staff and students of the University.
 - (ii) ~~Ensuring the efficiency and fairness of the process for filling the position of Chairperson of Court.~~
 - (iii) Publishing anonymised data relating to the protected characteristics, as listed in section 149(7) of the Equality Act 2010, of the applicants, the applicants invited to interview, and the applicants entitled to stand as candidates in an election for the position.
 - (iv) Advertising the vacancy widely sufficient to attract applications from a broad range of persons and in accordance with the requirements set out in ~~section 4 of~~ the Higher Education Governance (Scotland) Act 2016.
 - (v) Interviewing those applicants who appear to the committee to meet the relevant criteria for the position.
 - (vi) Declaring whether those applicants who have been interviewed have satisfactorily demonstrated that they meet the relevant criteria.
5. Applicants who are invited to interview shall also be invited to meet with the Principal and members of the senior management, with academic staff and with students. Each of these groups shall provide comments to the appointing committee to enable them to determine whether each applicant has satisfactorily demonstrated that he or she meets the relevant criteria for the position.
6. Applicants who have satisfactorily demonstrated to the appointing committee that they meet the relevant criteria are entitled to stand as candidates in an election for the position of Chairperson of Court. An election shall only take place in the event that there are two or more candidates. In the event that there is only one candidate, a new appointment process shall be commenced with the same appointing committee. The remaining candidate shall be entitled to stand for election without further interview.
7. The University Secretary shall act as the Returning Officer for an election for the position of Chairperson of Court.
8. The election shall take place using electronic voting.
9. Those eligible to vote in the election shall be the members of the governing body, the staff of the University and the students of the University. No person shall be entitled to cast more than one vote.

10. The candidate who secures a simple majority of the total number of votes cast shall be declared the winner. In the event of a tie, the winner shall be determined by lot in a manner to be decided by the Returning Officer.
11. The candidate who wins the election shall be appointed as Chairperson for a period of three years and shall be eligible for re-appointment for a second term of three years on the recommendation of the Governance & Nominations Committee. In considering the re-appointment of the Chairperson for a second term, the Governance & Nominations Committee shall be chaired by the Deputy Chairperson.

**Establishment of a Staff Council:
Changes to Charter, Statute 6, Statute 15 and Ordinance 27**

Charter

[...]

12.1 There shall be a **Staff Council** of the University which shall consist of all the staff of the University and such other members of the University as shall be designated by the Senatus. The Principal shall be the Chairperson of the Staff Council.

12.2 The powers and functions of the Staff Council and all other matters relative thereto which it may be thought proper so to regulate shall be as prescribed in the Statutes or Ordinances.

[...]

17 Subject to the provisions of this Our Charter, the Statutes and Ordinances, the Court, the Senatus, the Graduates' Association and the Staff Council respectively may from time to time make regulations for governing their proceedings, and may amend, add to or repeal any regulations theretofore made.

[...]

Statute 6 - The Secretary

[...]

(2) The Secretary shall be responsible for providing secretarial services for the Court, the Senatus, the Staff Council, and the Graduates' Association and, under the direction of the Principal, for the administration of the University.

Statute 15 – Staff Council

(1) The Staff Council shall meet at least twice in each year.

(2) The Staff Council may at any of these meetings:

- (a) Discuss and declare an opinion on any matter whatsoever relating to the University including any matters referred to it by the Court or Senatus;
- (b) Communicate directly with the Court or Senatus on any matter affecting the University.

(3) A Special Meeting of the Staff Council may be convened at any time by the Principal or on the written request of not less than twenty-five members of the staff of the University.

Ordinance 27 - Staff Council

1 In the absence of the Principal from a meeting of the Staff Council, a Vice-Principal, if any, shall preside, and in the absence of both the Principal and a Vice-Principal, if any, the Convener of the Standing Committee shall preside. In the absence of all the foregoing persons, a Chairman for the time being shall be elected by the meeting from among the members of the Staff Council present.

2 (1) There shall be a Standing Committee of the Staff Council consisting of ~~21~~ **twenty-one** members. Each School shall elect two members, one of whom shall be and one of whom shall not be an academic member of staff. The Professional Services shall elect three members.

(2) The manner of election of the members of the Standing Committee and their periods of office shall be as prescribed in the Regulations made by the Staff Council.

(3) The members of the Standing Committee shall annually elect one of their number to be Convener. The Convener shall, when present, preside over meetings of the Standing Committee; in the absence of the Convener from a meeting of the Standing Committee a Chairperson for the time being shall be elected by the meeting.

(4) Meetings of the Standing Committee shall be held from time to time as decided by the Committee. Special meetings may be convened at any time by the Convener or at the request of not less than four members of the Standing Committee.

(5) Six members of the Standing Committee shall constitute a quorum.

(6) The functions of the Standing Committee shall be as follows:

- (a) to prepare the agenda for meetings of the Staff Council;

- (b) to advise concerning the calling of Special Meetings of the Staff Council under Statute 15(3) and on the calling of meetings of the Staff Council outside term time;
- (c) such other functions as the Staff Council may from time to time determine.

**Ordinance 66 – Nominations to the Court by the Trade Unions
and the Students' Association**

(An Ordinance made in terms of Statute 9(1)(i-k) and in accordance with sections 10 and 12 of the Higher Education Governance (Scotland) Act 2016)

1. **For the purpose of this Ordinance the University recognises the following trade unions: Unison, Unite and University & College Union.**
2. Valid nominations of members of Court by the trade unions and the students' association are those made in accordance with this Ordinance, and they shall also be subject to the general provisions governing Court membership as set out in Statute 9.
3. The nomination of such members by the trade unions and the students' association shall take place in the second semester to enable, whenever possible, an announcement of the successful candidates to be made at the latest by the last Court meeting of the academic year in which a nomination is due.
4. (1) The period of office of members nominated by the trade unions shall be four years. Members so nominated shall be eligible for re-nomination, but shall not hold office continuously for a longer period than eight years. A member of Court nominated by a trade union who ceases either to be a member of the trade union or to be a member of staff of the University shall simultaneously cease to be a member of the Court.

(2) The nomination of an academic member of staff who is a member of a trade union shall be the responsibility of the local branch of the University & College Union, which shall make a nomination from within its own academic staff membership at the University.

(3) The nomination of a support member of staff who is a member of a trade union shall be the joint responsibility of the local branches of the Unison and Unite trade unions, which shall make a nomination from within their own memberships at the University.

(4) Each trade union shall ensure that it invites applications for nomination for membership of the Court from all of its members. The executive committee of the local branch of each trade union shall be responsible for determining its own preferred candidate for nomination and shall devise procedures which it shall advertise widely amongst its membership to ensure that the process of determining a nominee is fair, transparent and equitable.

(5) Once each trade union as set out in sub-paragraphs (2) and (3) above has determined its preferred candidate for nomination, all three trade unions shall meet to agree the final nominations for each of the two nominated positions on Court. In reaching the final nomination, the trade unions shall have due regard to accepted principles of equality and diversity and shall espouse the commitment of Court to achieving greater diversity in its membership.

(6) Where a casual vacancy arises in either of the nominations from the trade unions, the trade unions responsible shall seek to make a new nomination as soon as possible in accordance with the provisions of this Ordinance and with the procedures devised by the relevant trade union in line with sub-paragraph (4) of this paragraph. The new nominee shall begin a full term of office in accordance with Statute 9(2)(k).
5. (1) The period of office of students nominated by the Students' Association shall be one year. Members so nominated shall be eligible for re-nomination, but shall not hold office continuously for a longer period than four years.

(2) A member of Court nominated by the Students' Association who ceases to be a student shall simultaneously cease to be a member of the Court.

(3) The nominees of the Students' Association shall be made by its Executive and shall be the President of the Students' Association and a student elected for the purpose by the student body to be known as the independent student member on Court.

(4) The method of election and the procedure for nomination of candidates in the election of the independent student member of Court shall be as prescribed by the Students' Association for the nomination and election of its own officers:

Provided that where no nominations for candidacy in the election are received by the due date, no election shall be held, and the Executive shall nominate another of its number to membership of the Court.

(5) Where a casual vacancy arises in members nominated by the students, the Executive of the Student's Association shall seek to make a new nomination as quickly as possible. The Executive shall nominate one of its own number to fulfil the nomination, and that person shall hold office until 31 July of the academic year in question, whereafter the new Executive shall nominate two new members in accordance with sub-paragraphs (2) and (3) of this paragraph.

Statute 10 - The Senatus

- (1) The Senatus shall consist of the following persons, namely:
- (a) The Principal
 - (b) The Vice-Principals, if any
 - (c) Deans of the Schools
 - (d) Two members of **the** Staff Council elected by the Council
 - (e) The President and all student sabbatical officers of the Students Association, having been elected for the purpose by the students of the University.

Provided always that the number of student members so elected shall not fall below one tenth of the total membership of the Senatus.
 - (f) Such other student representatives as the Court, on the recommendation of the Senatus, may from time to time determine.
 - (g) The Students' Assessors, if any, who shall be appointed in accordance with such procedures, and who shall hold office for such period and on such terms, as may be prescribed by Ordinance.
 - (h) A minimum number of twenty-seven Professors, Readers, Senior Lecturers and Lecturers who shall be elected in accordance with such procedures, and who shall hold office for such period and on such conditions, as may be prescribed by Ordinance.

Provided always that not less than one-third of the total number **that fall within this category** shall be Professors and that not less than one third of **that ~~the~~** total number shall be Readers, Senior Lecturers and Lecturers.
 - (i) Such other Professors, Readers, Senior Lecturers, Lecturers and officers of the University as the Court, on the recommendation of the Senatus, may from time to time determine and who shall hold office for such period and on such conditions as the Court shall decide.

[...]

Statute 16 - Staff of the University

- (1) This Statute and any Ordinance, policy or procedure adopted under paragraphs (2) and (3) shall in every case be construed to give effect to the following guiding principles, that is to say
 - (a) to avoid unlawful discrimination and promote equality of opportunity, dignity at work and good relations within the University;
 - (b) to ~~ensure~~ uphold the academic freedom of any member of staff who is engaged in teaching, the provision of learning or research. Academic freedom is taken to be the freedom to hold and express opinions, question and test established ideas or received wisdom, develop and advance new ideas or innovative proposals, and present controversial or unpopular points of view, without placing oneself in jeopardy of losing one's job, ~~entitlements~~ or privileges, provided always that such freedom is exercised lawfully and respects the academic freedom of others;
 - (c) to enable the University to provide education, promote learning and engage in research efficiently and economically; and
 - (d) to apply the principles of justice and fairness.
- (2) The Court shall, following consultation with the Senatus, approve and maintain in Ordinance the procedures which apply to any member of staff engaged in teaching, the provision of learning or research who believes their freedom, as defined in ~~sub~~ paragraph (1)(b) above, has been adversely affected.
- (3) In relation to the University's staff, the Court shall approve and maintain policies and procedures for:
 - (a) the handling of disciplinary cases and appeals against disciplinary action;
 - (b) the handling of grievances raised by members of staff and appeals against the outcome of grievance proceedings;
 - (c) the avoidance of redundancy; and
 - (d) the dismissal of members of staff, whether by virtue of redundancy, unsatisfactory performance, capability, misconduct, ill health or medical incapacity, and appeals against such dismissals.
- (4) In approving Ordinances, policies and procedures under paragraphs (2) and (3), the University Court shall:
 - (a) undertake to consult with the recognised Trade Unions with a view to reaching agreement with them;
 - (b) ensure that such policies and procedures are at all times compliant with any requirement contained in employment legislation which is in force at the time. In the event that any such policy or procedure is not so compliant, the relevant employment legislation shall prevail;
 - (c) ensure that such policies and procedures shall provide the right to a panel hearing of two or more persons at the final appeal;
 - (d) ensure that any panel convened to hear a case brought by or against a member of staff engaged in teaching, the provision of learning or research shall include amongst its members another such member of staff not connected with the case brought;
 - (e) oversee all cases of dismissal on the ground of redundancy of a person who is engaged in teaching or the provision of research or learning;
 - (f) ensure that panels taking decisions on dismissals on medical grounds have available to them appropriate expert medical advice;
 - (g) ensure that appeals against dismissal from a member of staff engaged in teaching, the provision of learning or research are heard by a panel that includes a lay member of the University Court as Convener.
- (5) In any case of conflict, the provisions of this Statute along with the provisions of any Ordinance, ~~regulation, policy or procedure~~ Regulation, Policy or Procedure made under this Statute shall prevail over those of any other Statute and over those of any other Ordinance, ~~regulation, policy or procedure~~ Regulation, Policy or Procedure.

- (6) Notwithstanding paragraph (5) above, any Ordinance, policy or procedure adopted under this Statute shall not be repugnant to the general aims of this or other Statutes or of the Charter.

APPENDIX 3

FINANCE & POLICY COMMITTEE (Minute 59(1))

A meeting of the Committee was held on 23 January 2017.

Present: Andrew Richmond (Convener)
Ronald Bowie
Principal Professor Sir Pete Downes
Iain Howie
Bernadette Malone
Jane Marshall
Indrė Urbanavičiūtė

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

Apologies: Professor Dame Sue Black and Professor Mairi Scott

1. MINUTES

Resolved: to approve the minutes of the meeting of 14 November 2016.

2. MATTERS ARISING

(1) Action Log

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

Discussions focussed on the update relating to the report by the Commission on Widening Access, and in particular the appointment of an Access Commissioner and the creation of Universities Scotland working groups to take forward discussions relating to the implementation of the recommendations of the report.

Resolved: to note the log.

(2) Discovery Centre Level 3 Refurbishment

The Committee formally noted that its recommendation relating to the proposed Discovery Centre Level 3 Refurbishment (which it had considered by email on 7 December 2016) had been approved by the Court at its meeting on 12 December 2016.

Resolved: to formally note Court's approval of the proposal.

3. PERIOD 5 MANAGEMENT ACCOUNTS

The Committee received the management accounts for the period to the end of December 2016 (Period 5 Accounts). In introducing the accounts the Director of Finance drew members' attention to changes to the format and reporting, both to take account of the changes as a result of the introduction of FRS102 and in order to ensure a consistent view of the underlying surplus/deficit position on continuing operations in a way which was readily understandable. While noting the contribution analysis which would be reported externally, discussions largely focussed on the reported surplus/(deficit) on operational activities. Members noted that this forecast showed a

positive variance of £1m relative to the budget, with the potential to improve further as a result of strong student recruitment in January.

The Committee was pleased to note the pace of year-on-year income growth reported in the 'Student Income Theme' schedule of the management accounts. Through discussion, members noted that the January student recruitment figures would be formally reported to the Committee at its next meeting on 20 March 2017, but that initial data was positive in this respect.

In summarising the report, the Deputy Director of Finance told the Committee that a detailed review of the forecast out-turn for the year would be undertaken following preparation of the Period 6 accounts, with this forming the baseline for preparation of the 2017/18 budget. Members also noted that further analysis would be undertaken in relation to negative variances reported within 'Other Operating Expenses'.

Resolved: to note the accounts.

4. **UPDATES ON BUDGET AND THREE YEAR PLANS**

The Committee received a paper from the Director of Finance which provided a high-level update on the existing three-year forecast. Members noted the sensitivities, risks and uncertainties within the current plan, and the Director of Finance highlighted areas of potential variance which required resolution during the development of the budget for the coming year. In response to questions, the Director confirmed that the indicative funding letter from the Scottish Funding Council (SFC) had not been received at the time of the meeting, but that a flat-cash position on core teaching and research allocations appeared likely for the sector for the 2017/18 academic year. Members recognised the challenges of working with one-year budgets, and noted that the graphs presented were based on the assumptions of a flat-cash position for the coming three years rather than a return to 2015/16 levels of funding as had previously been the expectation.

Discussions focussed on projections within the budget relating to student recruitment, and in particular recruitment of Rest of UK (rUK) students. Members noted that this remained a challenging and highly competitive area, but that it was felt that the associated net income projection within the budget remained achievable. Members noted the importance of accurately judging the projected increases in student numbers when considering issues relating to future student accommodation needs later in the agenda (minute 8 below).

The Vice-Principal (Learning & Teaching) went on to highlight to the Committee recent, in-year changes to the funding arrangements for home taught postgraduates and for undergraduate nursing degrees, and the potential risks and mitigating activities being pursued in this respect.

Resolved: to note the update.

5. **IMPACT OF FRS102 ON OTHER UNIVERSITIES**

The Committee received a paper from the Director of Finance outlining the impact of FRS102 on the reported accounts of institutions of a similar size to the University of Dundee. Members noted that the impact of FRS102 on the accounts of the University was broadly similar that seen by comparable Universities, although the impact on the local pension scheme liabilities was higher at Dundee than for the comparator group.

Resolved: to thank the Director for the report.

6. **ASSESSING THE FUNDING AVAILABLE FOR CAPITAL EXPENDITURE**

The Director of Finance introduced a paper which set out potential routes by which funds could be made available to enable a more extensive capital expenditure programme to be included in the next budget and three-year plan. In doing so he highlighted a number of long-term funding options and the currently favourable interest rates, as well as the focus of proposals on investments designed to align with strategic priorities and enhance financial sustainability.

Noting the improved financial outlook for the University, members were supportive of pursuing options appraisals for potential projects, including those relating to the Small's Wynd and Student Accommodation items elsewhere on the agenda (minutes 7 and 8 below respectively). Members were also keen to ensure that emerging capital investment proposals took account of requirements across the Schools. The Committee was however mindful of the financial risks, and in particular the need to ensure that through the return on investment the University would be able to fully service any debt entered into irrespective of the outcome of the previously noted pension liabilities.

The Committee also recommended that the Court be asked to consider the appointment of a financial advisor to take forward the appraisal of funding options.

- Resolved:**
- (i) to recommend that officers continue to develop options appraisals for a range of potential capital investment projects, and explore options for the provision of external advice in relation to the appraisal of funding options;
 - (ii) to note that the Director of Campus Services would be invited to present emergent thinking in relation to the Campus Plan and Estates Strategy to a future meeting of the Court; and
 - (iii) otherwise to note the report.

7. **POTENTIAL DEVELOPMENT: SMALL'S WYND**

The Committee received an initial paper outlining proposals for the possible inclusion in the new Campus Masterplan of a new iconic building on the site of Smalls' Wynd which would house a multi-purpose interdisciplinary research and teaching facility. Following discussion of fundraising opportunities and initial concepts for the occupancy/use of the building, in particular opportunities arising from the creation of flexible space, members were supportive of officers taking forward further work in this area, including further exploration of the possible content and design of the building in a way which would benefit the whole University, and the development of a five-year fundraising plan.

Some members questioned whether there was a need to make an appointment specifically to support fundraising linked to the capital investments discussed during the meeting, and officers undertook to consider this further at an appropriate time in the context of the future development of the University's External Relations activities.

- Resolved:** to recommend that officers take forward work to explore the potential design and content for the proposed building, along with the development of a five-year fundraising plan.

8. **STUDENT ACCOMMODATION**

The University Secretary introduced a paper which provided an overview of considerations relating to the University's long and short-term future student accommodation needs in the context of growth projected within the budget and three-year plan. Members noted the importance of the University being able to offer late-cycle accommodation guarantees, in particular in relation to rest of UK (rUK) and overseas students, when seeking to meet conversion targets. Following discussion of options, the Committee agreed that the University was best placed to manage the occupancy and other risks associated with increasing the student accommodation profile. Members also encouraged officers to consider if the proposed additional 200 bed-spaces was ambitious enough given recruitment targets.

- Resolved:**
- (i) to note the intention to seek to secure additional bed-spaces in the private sector for 2017/18 to support recruitment activities; and
 - (ii) to support the inclusion of proposals within the developing Estates Strategy for around 200 additional bed-spaces on a longer-term basis.

9. **CAMPUS SERVICES**

[Secretary's note: the Convener, Mr Andrew Richmond declared a potential interest in the item and took no part in discussions relating to the refurbishment of Level 3 of the Discovery Centre].

The Committee received a paper from the Director of Campus Services outlining performance relative to the University Strategy to 2017 Key Performance Indicator (KPI) for backlog maintenance. Members were pleased to note that following the recent downward trend, the condition of the estate was expected to improve from 2017/18 through a combination of investment in backlog maintenance for the estate and space management.

The Director also highlighted updates on capital expenditure projects, and members noted progress and projected expenditure in relation to the Leverhulme Research Centre for Forensic Medicine, the Discovery Centre (Level 3), the Business School, and the Crawford and Matthew Buildings.

- Resolved:** to note the update.

10. UPDATES**(1) Progress report for Growth and Savings Projects**

The Committee received the regular progress update in relation to the growth and savings projects approved by the Court. The Committee noted that the University Executive Group was to undertake detailed reviews of each of the projects following the completion of the Period 6 accounts, and that the next update report would reflect the findings of that review. Members also noted that future reports would include additional quantitative financial data as requested by the Court, but that this had not been available prior to the half-year point.

Resolved: to note the update.

(2) Business Transformation Update

The Committee received the minutes from the Business Transformation Programme Steering Group meeting on 19 December 2016 and had access through BOX to the slide-pack considered by the Steering Group at that meeting. Members noted that intensive workshops were currently taking place in relation to the Finance element of the programme and that work on the Student Enquiry Management element was underway.

Resolved: to note the update.

11. PENSION SUB-GROUP

The Committee, with the exception of Dr Neale Laker and Mr Iain Howie who had, as trustees for the University of Dundee Superannuation Scheme (UoDSS), declared an interest in the item, received the minutes from the meeting of the Pensions Sub-Group on 14 November 2016.

Resolved: to note the report.

12. USE OF DELEGATED AUTHORITY

The Committee noted that there had been no instances of the use of delegated authority to report since the last meeting of the Committee.

Resolved: to note the update.

13. DATE OF NEXT MEETING

The Committee noted the next meeting of the Finance & Policy Committee was scheduled for 20 March 2017.

Resolved: to note the date.

APPENDIX 4

PEOPLE & ORGANISATIONAL DEVELOPMENT COMMITTEE (Minute 59(2))

A meeting of the Committee was held on 24 January 2017.

Present: Denis Taylor (Acting Convener);
Anne Anderson;
Dr William Boyd;
Professor Stuart Cross;
Professor Tim Kelly;
Karen Reid

In Attendance: Professor Nic Beech Vice-Principal (Academic Planning & Performance);
Dr Jim McGeorge University Secretary;
Pamela Milne Director of Human Resources and Organisational Development;
Julie Strachan Deputy Director of Human Resources and Organisational Development;
Damian Leddy Acting Head of Safety Services;
Dr Liz Rogers (Assistant Policy Officer (Risk and Audit))

Apologies: Shirley Campbell, Dr Alison Reeves.

The Convener welcomed Anne Anderson to her first meeting of People and Organisational Development Committee.

1. MINUTES

Resolved: to approve the minutes of the meeting on 31 October 2016.

2. ACTION LOG

The Committee considered a log of Committee actions ongoing from 2016. Members noted the need to identify actions explicitly throughout the meeting to ensure they were effectively captured and could be reported in the log. Two further actions were noted from the previous meeting in relation to the desired culture change sought as a result of Business Transformation and the use of surveys to assess progress with the programme.

Resolved: to approve the Action Log subject to aforementioned updates.

3. COMMITTEE OPERATIONS

At the meeting on 31 October 2016, members had agreed that it would be beneficial to remind themselves of the Terms of Reference and Remit for the Committee at each meeting.

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

4. MATTERS ARISING

Procedural Agreement

The Director of Human Resources and Organisational Change provided a verbal update on the development of a new Procedural Agreement with the campus unions. The Committee learnt that a date had been set for the unions and the Director of Human Resources and Organisational Change to meet to discuss a draft and that further updates would follow in due course.

Resolved: to consider the Procedural Agreement as and when available.

5. PEOPLE STRATEGY

The Director of Human Resources and Organisational Development informed the Committee of progress on the development of a 'refreshed' People Strategy consistent with the ongoing development of the new University Strategy to 2022. It was noted that School Managers had presented strategic priorities for each School at the

meeting of Professional Services Group that morning (24 January) and that cognisance of these would be taken when rewriting the People Strategy.

There was some discussion on Aim 3 of the existing University Strategy to 2017 ('Recognise and reward staff excellence in learning and teaching publicly and through promotion'). The Committee's discussions mainly focused on the issue of ensuring appropriate systems of recognition and reward for staff in Professional Services and the current suspension of an annual HERA round. It was noted that HERA had been suspended due to the high levels of organisational changes taking place across Professional Services in both Schools and Directorates and that consideration would be given to its reinstatement in due course. Members noted that the Director of Human Resources & Organisational Development and University Secretary had been already considering this matter following the recent CRP round for Professional Services staff (see 10.2 below) and would report back in due course.

The Committee noted that new action plans for people matters would be developed in line with key priorities from the refreshed University Strategy to 2022 once finalised.

- Resolved:**
- (i) to develop new action plans for people matters in line with the refreshed University Strategy.
 - (ii) to note that proposals in relation to recognition and reward for Professional Services staff would be brought forward for consideration at a future meeting.

6. STAFFING PROFILE

The Committee viewed the quarterly report depicting the current staffing profile of the University at 1 January 2017. The Deputy Director of Human Resources and Organisational Development informed the Committee that the School management teams were currently reviewing this information.

The Committee welcomed the clear presentation of data and suggested that this information could be used to inform the future People Strategy and associated KPIs and targets. Discussion focussed on trends in the data, and the Committee stated that was important to capture these and use them in decision-making processes. Key observations included: the 10% of EU staff, which related to risk in light of Brexit; the timescales for carrying out a further equal pay analysis; the low percentage of employed individuals aged 19 and under; and the value of an executive summary identifying variance and trends in the data for future reports. It was agreed that future reports would include an executive summary in order to highlight key observations arising from the data.

It was noted that there were no members of staff on 'Teaching Only' contracts, and that on the report this should state 'Teaching & Scholarship'.

- Resolved:** to note the update, and that future reports would include an analysis within the executive summary.

7. PEOPLE RISK REVIEW

The Committee discussed potential risks to achieving the objectives set out by the People Strategy. Key risks identified were in relation to the ageing staff profile and succession planning, recruitment of the best academic staff, the morale and effectiveness of staff (and how to measure this), staff retention and strategic changes (an example of which was the Business Transformation Programme). It was suggested that short 'temperature checks' (such as quick surveys between the major two-yearly staff survey) could be a useful method of assessing these risks, and learning about the culture of the organisation. The importance of being aware of stress in the workplace and addressing this was emphasised, as it was acknowledged that this can lead to increases in absence which, in turn, impacts on other members of staff.

- Resolved:** to return to the subject of stress in the workplace at a future meeting.

8. ORGANISATIONAL CHANGE AND STRATEGIC PROJECTS

(1) Business Transformation

- (i) Papers from the Business Transformation Steering Group meeting on 19 December 2016

The Committee viewed the minutes from the Business Transformation Steering Group meeting on 19 December 2016. It was noted that a lot of change and communication work had commenced, and that consultation in relation to this was ongoing. The Committee learnt that the University now had sight of the payroll element of the new integrated business system and that whilst there was a

slight issue with regard to E-recruitment, the Business Transformation team were aware of this issue, and management were confident this would be resolved. The University Secretary advised that the additional project resources identified in the papers to deliver the new systems could be met within the existing budget.

Resolved: to note the update.

(ii) Change and Communication Strategy

It was noted that there had been a slight delay in the finalisation of the Change and Communication strategy, but that it was now almost finalised.

Resolved: the Change and Communication Strategy would be circulated to Committee members once finalised.

(2) Other Strategic Projects

The Director of Human Resources and Organisational Change provided the Committee with an update on ongoing Strategic Projects:

Medicine: Phase 1 was reported as complete and Phase 2, a restructuring process, was on target. It was noted that very small numbers of staff would be relocated and that no redundancies were envisaged.

Biomedical Sciences: It was noted that three protected conversations had taken place, all of which had been optional and resulted in different outcomes. The savings target of 800k was on track and no redundancies were anticipated.

Campus Services: The Committee learnt that Phase 1 of the project (the implementation of a new management team) was complete and that Phase 2 (restructuring below the level of management) was well underway.

The Committee acknowledged that a lot of progress had been made across the projects reported.

Resolved: to await further updates at the next meeting.

9. **ENGAGEMENT STRATEGY**

The Director of Human Resources and Organisational Development provided a verbal update on actions taken as a result of the Staff Survey. The Committee learnt that the Communications team would be emailing staff to alert them to changes made in the last academic year as a result of the survey outcomes. It was also noted that the Vice-Principal (Learning & Teaching) was investigating potential further work in the area of putting the University's values into practice. She reported that plans were in place for the Staff Survey groups to meet frequently, and that as a result of the survey, the Principal had carried out visits to Directorates and Schools to meet with staff. The visits had been well received and would be repeated on a cyclical basis to ensure consistency and continuity.

The Committee acknowledged that staff may often get 'fatigue' from frequent communication emails and surveys, and suggested that 'pop-up polls' asking simple questions could be a way to further engage with staff.

Resolved: to further consider the use of 'pop up' surveys.

10. **REWARD AND RECOGNITION STRATEGY**

(1) Senior Staff Review (Grade 10)

The Committee viewed the Senior Staff Review summary, which had been considered by University Court on 12 December 2017.

Resolved: (i) to review this at the next meeting.

(ii) to note the update.

(2) Contribution Related Awards

The Deputy Director of Human Resources and Organisational Development updated the Committee on outcomes of the Contribution Related Points (CRP) process. The data presented had been collated from two meetings of the Professional Services CRP Committee. Members noted that there had been more awards made to female staff than male in the year in question and, while praising the transparency of the process requested that officers consider whether there were ways to enhance the promotion of the process across the relevant staff groups. The Committee also learnt about progress made towards launching long service awards as part of a broader consideration of recognition and reward strategies for Professional Services staff.

Resolved: to consider future proposals relating to Reward and Recognition when available.

11. **PERFORMANCE MANAGEMENT**(1) OSaR Report/Performance Management Report

The Committee considered a report on the completion rates for Objective-Setting & Review (OSaR) across the University, which showed an improving trend on previous years with some excellent completion levels in Professional Services and certain Schools. Members expressed disappointment that the School of Life Sciences had the highest non-completion rate for OSaRs. Noting that numbers of CRPs awarded to Professional Services staff in Life Sciences had been relatively high, members questioned whether completion of an OSaR should be made essential prior to nomination for a CRP and suggested that further research into this would be beneficial. However, it was suggested that it was likely that a high proportion of the non-completion related specifically to research staff rather than those in Professional Services. Members noted that the issue of OSaR completion had been raised with the Deans and Vice-Principal (Research) to help mitigate any cultural issues that might lead to poor OSaR completion rates.

Members also noted low completion in the School of Humanities, but acknowledged that due to the strategic project in that school which had included reviewing individual staff performance, it perhaps was understandable that OSaR completion had slipped.

It was noted that the Deans and Directors were responsible for the completion of OSaRs in Schools and Directorates respectively, and that they would have access to completion rates of OSaRs across the institution. The Deputy Director of Human Resources and Organisational Development informed members that the implementation of the Business Transformation systems would lead to enhanced data reporting in this area. Members also noted that the data presented was, at the time of the meeting, subject to confirmation with Deans and Directors prior to finalisation and might be expected to improve further.

Resolved: (i) to request further information relating to the Schools of Humanities and Life Sciences on OSaR completion rates.

(ii) to note the update.

12. **HEALTH, SAFETY & WELFARE**(1) Health, Safety & Welfare Annual Report

The Acting Head of Safety Services attended to discuss the Annual Health, Safety & Welfare report. The Committee learnt that whilst reported student incidents/accidents were in some cases above the sector average, this was due to the fact that the University of Dundee includes sporting accidents in this, which not all Universities do, as well as due to the University's subject mix. It was noted that all Schools had a Health & Safety Advisor and that there were key contacts in Professional Services. The Safety Advisors Group met monthly to share good practice and promote Health & Safety.

There was discussion on the subject of welfare, and how this was promoted. The Committee was informed that the Internal Communications team were working on this. It was acknowledged that the University had several positive mechanisms in place to promote Welfare, such as First Call and the Counselling Service. It was suggested that all of the University's support services could be promoted as a benefit of working at the University of Dundee.

The Committee noted that all incidents were 'closed off' to conclusion, near misses (where reported) were investigated and that prevention was a key factor in the work undertaken by Safety Services. It was noted

that the recent move from a paper reporting system to online reporting might increase the numbers of incidents and near-misses reported.

It was also noted that a key priority for Safety Services was fire safety, and that work was ongoing in this area.

Resolved: to note the report.

(2) Minutes from the Health, Safety & Welfare Committee

The Committee viewed the minutes of the Health, Safety & Welfare Committee meeting on 10 January 2017.

Resolved: to note the minutes.

(3) Absence Data/Statistics

The Committee considered a report by the Deputy Director of Human Resources and Organisational Development on staff absence data at the University of Dundee. The report provided a breakdown of absence type, the top ten reasons for absences, breakdown of absences by job category and reports from Occupational Health, the Counselling Service and University Health Service. The Committee noted that these absence rates appeared relatively high and asked officers to investigate benchmarking data and public sector norms and report to the next meeting.

The Committee learnt that a plan was being developed in light of the report, to ensure that staff are supported and to maximise attendance as a result. It was acknowledged that the University carried out a lot of positive work in this regard, such as counselling and exercise classes designed for individuals with health conditions at the Institute of Sport and Exercise. Return to work interviews were noted as a positive way of exploring attendance issues and ensuring that individuals did not return to work until they were fully fit and that appropriate support was available for their return to work if required.

The Committee stated that the figures for 'work related stress' should be treated with caution, as GPs may not always differentiate between personal stress and work-related stress. It was noted that more could also be done to highlight healthy patterns of work given some members of staff do not use up all of their annual leave, and often work long hours as exemplified by emails late at night or at weekends, which could contribute to stress and, as a result, absences.

The Committee expressed an interest in viewing the split between long and short term absences and in regular reporting of absence data in future.

Resolved: (i) to develop a plan in relation to this analysis, including reference to benchmarking data.

(ii) to note the report.

13. **LOCAL JOINT COMMITTEE MINUTES**

The Committee considered the draft minutes from the meeting of the Local Joint Committee on 10 January 2017.

Resolved: to note the minutes.

14. **DATE OF NEXT MEETING**

Resolved: the next meeting would be held on Monday 15 May 2017.

APPENDIX 5

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 59(3))

A meeting of the Committee was held on 23 January 2017.

Present: Ronald Bowie (Convener)
Janice Aitken
Richard Bint
Principal Professor Sir Pete Downes
Bernadette Malone
Jane Marshall
Sean O'Connor
Professor Mairi Scott

In Attendance: Dr Neale Laker (Director of Academic & Corporate Governance);
Dr Jim McGeorge (University Secretary);
Dr Christine Milburn (Policy Officer (Corporate Governance));
Professor Tim Newman (Vice-Principal (Research, Knowledge Exchange & Wider Impact)).

Apologies: Professor Mairi Scott.

1. MINUTES

Resolved: to approve the minutes of the meeting of 14 November 2016.

2. MATTERS ARISING

Action Log (Minute 2(1))

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

Resolved: to note the log.

3. CONVENER'S UPDATE

The Convener provided his regular update on themes emerging from his discussions with Court members out with meetings. In doing so he highlighted communications relating to the Court's decision to review the University's approach to seeking the best possible outcome for the University and the sector in the face of the UK's exit from the EU. He indicated that the consensus view from members had been that guidance on public statements by the Vice-Chancellor was not required or desirable and, noting that this was consistent with the position of other HE institutions, and with the Principal's right to academic freedom, the Committee recommended that this not be pursued as an action from the Court.

The Principal went on to outline the policy environment relating to Brexit, and members noted the alignment of the University's approach to that of Universities Scotland and Universities UK. It was agreed that the key issues arising from Brexit and how the University might respond to them should be the focus of an item at the next meeting of the Court.

Finally, the Convener highlighted his upcoming attendance at DUSA and Committee of University Chairs Board meetings.

Resolved: to note the update.

4. SECTOR UPDATE

The Director of Academic & Corporate Governance updated members on sectoral matters relating to the governance of Higher Education Institutions (HEIs). The Director focussed his update on the Review of the Scottish Code of Good HE Governance. Members noted it was currently expected that the revised Scottish Code would be published over the summer, and that the University Secretary hoped to be in a position to provide further updates arising from his membership of the technical advisory group which was supporting the development of the Code.

The Director provided an overview of the Enterprise and Skills Agency Review. Members were particularly interested to note that the Scottish Parliament had voted to retain the Highlands and Islands Enterprise Board which had been included in the original proposals for reform, and asked the Director to keep them updated on any impact that this may have on the similar recommendations relating to the Scottish Funding Council (SFC). Members reiterated the importance of retaining the SFC or a similar substructure in terms of both the management of the full breadth of activities currently administered by the SFC, and the classification of Universities as non-public bodies.

The Committee noted the House of Lords discussion of the Higher Education & Research Bill, and the likely delay arising from amendments tabled at its last reading. While these were unlikely to substantially change the Bill, the potential impact on aspects relating to private providers south of the border were noted.

Resolved: to note the update.

[Secretary's note: Subsequent to the meeting, the Office of National Statistics confirmed that its current review of the classification of Universities would not include the assessment of 'public sector control', and that as such Universities would remain classified to the private sector.]

5. HIGHER EDUCATION GOVERNANCE (SCOTLAND) ACT 2016

(1) Privy Council Approval of Changes

The Director of Academic & Corporate Governance updated members on progress in relation to the approval by the Privy Council of changes to the University Charter and Statutes previously approved by the Court to implement the requirements of the Higher Education Governance (Scotland) Act 2016. The Committee noted that the Director had met with the Scottish Government advisors in December, and was currently in the process of responding to written comments subsequently received.

To the extent that the likely timeframes became clearer, the Director undertook to update Court at its next meeting on likely timeframes for approval and implementation of the changes. The Director also highlighted guidance from the Minister for Further and Higher Education and Science outlining requirements for the implementation of regulations of the Act.

Resolved: to note the update.

(2) Guidance from the Minister for Further and Higher Education and Science

The Committee received a copy of guidance from the Minister for Further and Higher Education and Science which confirmed the timescales for implementation of regulations contained in the Act. Through discussion the Committee noted that the Scottish Code of Good HE Governance was expected to clarify best practice expectations in relation to various aspects of the Act and otherwise members noted that the University was on track to meet the requirements outlined.

Resolved: to note the guidance.

6. MEMBERSHIP OF THE COURT AND ITS COMMITTEES

(1) Lay Audit and Lay Court Vacancies

The Committee noted that the term of office of Sandra Morrison-Low as an external/lay member of the Audit Committee would expire on 31 July 2017 and that she had indicated that she wished to step down from the Committee at this point. Following discussion, members recommended that a successor be sought for Ms Morrison-Low, and that officers use both local and targeted advertising as well as the networks of officers, Court members, and alumni to seek suitable candidates. Noting the requirement for accounting experience on this Committee, members recommended the Institute of Chartered Accountants Scotland be considered as one route for promoting the vacancy. Members also noted a number of skills areas which the Convener of the Audit Committee had indicated would benefit its work, and officers undertook to develop appropriate advertising materials with the support, where required, of Mr Richard Bint as a member of both the Governance & Nominations and Audit Committees.

The Convener also updated the Committee on discussions with Denis Taylor, whose term of office as a co-opted lay member of the Court was also due to expire on 31 July 2017. The Committee noted that Mr Taylor had indicated an interest in continuing to serve on the Court for a further term of four years, and as such

the Committee formally considered the renewal of his membership based upon established practice, including the review of: attendance and contribution at meetings of Court and its Committees; involvement with other aspects of University business such as hearings and graduations; the qualities sought of Court members (as published alongside the advertisement for new members); criteria for members of the Court as used in recent interviews; the balance of skills across the Court; and the most recent declaration of interests made by the member. The Committee noted in particular Mr Taylor's commitment to the work of the Court, and his contributions to the People & Organisational Development Committee (formerly HR Committee).

- Resolved:**
- (i) to recommend unanimously to Court the renewal of the membership of Mr Denis Taylor for a further term of four years from 1 August 2017; and
 - (ii) to recommend that officers be asked to seek a successor for Ms Morrison-Low as an external/lay member of the Audit Committee through a combination of advertising and use of networks of contacts.

(2) Succession Planning

The Committee noted that the existing Conveners of the Audit and Finance & Policy Committees, Mr Jo Elliot and Mr Andrew Richmond respectively, would reach the end of their maximum terms of office on 31 July 2018, and that as such it was necessary to consider succession planning in relation to the balance of skills across the Court, and to ensure a smooth transition in the Convenership of the Committees. Noting that the membership of Committees for the coming academic year would be discussed at the May meeting of the Committee, and that it would be desirable for a new Convenor to have been in attendance at meetings of the Committee for the year leading up to their Convenership, members suggested that the Court be reminded of the upcoming vacancies, with a view to gauging interest from eligible members in serving in this capacity from 2018/19.

The Committee also noted the need to ensure that essential skill sets were not lost from the Court when Mr Elliot and Mr Richmond retired, and resolved to bring the matter to the attention of the Court to enable early engagement with networks which may identify potential new lay members when these vacancies arose.

- Resolved:**
- (i) to ask lay members of Court eligible to serve as Convenor of the Audit and Finance & Policy Committees to contact the University Secretary if they wished to express an interest in being considered for either role, and to review such expressions of interest at the meeting on 8 May 2017; and
 - (ii) to ask the Court members to draw the upcoming vacancies in lay Court membership to the attention of potentially suitable individuals at an early stage.

7. **PROPOSED MODERN SLAVERY STATEMENT**

The Committee received a paper which set out the proposed University Statement on Modern Slavery (annex), which was an annual requirement under the Modern Slavery Act, Section 54. Members noted that this would be the University's first published statement under the Act, and that it had been jointly developed by the Head of Procurement and Director of Legal.

Members considered the wording and implications of the statement and asked that officers consider a proposed minor amendment with the intention of strengthening the impact of the Statement.

- Resolved:**
- (i) to endorse the Statement to Court subject to consideration of a minor amendment; and
 - (ii) to approve its publication on the University website with immediate effect given noted deadlines for its publication.

8. **EQUALITY & DIVERSITY**

The Committee received a paper summarising a number of equality and diversity related matters of particular relevance to the Court. Members were pleased to note that all current members of the Court had now completed the two mandatory Equality & Diversity Modules (Diversity in the Workplace and Disability). Through discussion of the summary of Equality & Diversity monitoring form returns, and noting both the challenges and approaches currently employed, the Committee resolved to further develop its thinking over the remainder of the academic

year, with a view to developing plans, including the setting of suitable targets, for the further enhancement of diversity on the Court, especially with respect to protected characteristic beyond simply gender.

The Director of Academic & Corporate Governance drew members' attention to the Scottish Government consultation on the draft Gender Representation on Public Boards (Scotland) Bill. Following discussion, the Committee recommended that the University submit an institutional response to the consultation which highlighted support for the proposals, but with a recommendation that balance of non-executive members who are female or identify as female relative to those who are male or identify as male be set at a minimum of 40% of either gender rather than a 50%:50% for reasons of practicality and natural fluctuations within membership.

Members expressed some concern at the inclusion of Universities in the Schedule listing public authorities affected by the proposed legislation, and while recognising the responsibilities of the Sector in relation to its receipt of public funds, members also highlighted the importance of careful wording of legislation to avoid reclassification of Universities as public bodies. Members also highlighted an increasing trend for matters to be managed through the introduction of legislation, and questioned if in this instance the revised Scottish Code of Good HE Governance might be a more appropriate place for this issue to be addressed with the Sector.

- Resolved:**
- (i) to highlight to Court the completion of mandatory Equality & Diversity Modules by all eligible members of Court;
 - (ii) to further consider the diversity of the Court at future meetings; and
 - (iii) to ask the Director of Academic & Corporate Governance to draft a response to the consultation on the draft Gender Representation on Public Boards (Scotland) Bill.

9. **REVIEW OF COMPLIANCE WITH THE CORPORATE GOVERNANCE CODE**

The Committee received a paper from the Director of Academic & Corporate Governance which mapped the main principles and code provisions of the UK Corporate Governance Code to the University's own governance arrangements. Members noted that under the terms of the financial memorandum from the Scottish Funding Council (SFC) the University was required to demonstrate how it complied with good practice in corporate governance, explicitly the Scottish Code of Good HE Governance and those elements of the UK Corporate Governance Code that were applicable to the HE sector.

The Committee reviewed each of the principles, noting the strong existing alignment and proposed a number of minor changes to enhance current practice. Members also recommended that the mapping document be shared with Court members and highlighted to the Audit Committee for interest.

- Resolved:** to note the summary and recommend that the exercise be repeated when the UK Corporate Governance Code was next reviewed.

10. **GUIDANCE FOR REGISTER OF INTERESTS 2017**

The Committee received a copy of the proposed guidance for the completion of the register of interest forms in 2017. Members noted clarifications within the document and endorsed its use. Members also asked officers to consider the timing for completion of the annual return.

- Resolved:** to note the guidance.

11. **THE GOVERNANCE OF QUALITY: RESEARCH UPDATE**

The Vice-Principal (Research, Knowledge Exchange and Wider Impact) introduced a paper which summarised quality assurance processes for research degrees, including external and internal practices and requirements. Members highlighted the value of the report in supporting the Court in providing assurance to the Scottish Funding Council that the academic standards and the quality of the academic provision at the University met the requirements set by the Council.

- Resolved:** to thank the Policy Officer (Academic Governance) for drafting the report.

12. **ACADEMIC CALENDAR**

Noting the timeframe for the development of the 2017/18 academic calendar of meetings, members commented on aspects of the meeting cycle where further consideration would be valuable.

Resolved: to note the comments and await the draft academic calendar for 2017/18.

13. **COURT HANDBOOK**

The Committee received access, via BOX, to a revised Court Members' Handbook. Noting the intention to create a dynamic online resource for all members, members undertook to provide further comment to the Policy Officer (Corporate Governance) before its release to all Court members.

Resolved: to provide further comment, as required, to the Policy Officer (Corporate Governance) by 14 February 2017.

14. **DATE OF NEXT MEETING**

Resolved: to note that the next meeting would be held on 24 March 2017 at 2.00pm.

[Secretary's note: Subsequent to the meeting, members were asked by email to note a declaration of conflict of interest in a School which had been made in accordance with the University's Policy on 'Employment of Close Relatives'. After consideration of the matter outlined, members confirmed that they were content that appropriate arrangements were in place for the management of the potential conflict.]

Modern Slavery Act 2015

Modern Slavery Act 2015 (the “2015 Act”) requires organisations who meet certain criteria to publish an annual statement outlining the steps taken by the organisation to ensure slavery and human trafficking is not taking place within the organisation or in any of its supply chains.

The University of Dundee is an institution of higher education. Our core purpose is the transformation of lives by working locally and globally through the creation, sharing and application of knowledge.

We are committed to the principles of the 2015 Act and to ensuring that there is no modern slavery or human trafficking in our organisation or in our supply chains.

When entering into business contracts, we do so in accordance with our policies to ensure that our business relationships are conducted in an environmentally, socially and economically sustainable manner.

To identify and mitigate risks, we carry out due diligence on new suppliers. As a part of our procurement process we ask the bidders to accept the [APUC Supply Chain Code of Conduct](#) and, if the contract value exceeds £50,000, also require bidders to complete a European Single Procurement Document which contains specific disclosure requirements in relation to slavery and human trafficking. Using these documents allows us to ensure that our suppliers acknowledge and comply with our values.

We intend to take the following steps to mitigate any risks in our existing supply chains:

- identifying supply chains which we consider most “at risk” in terms of slavery and human trafficking; and
- working with our suppliers to investigate these supply chains to ensure that no issues are present and that preventative measures are in place.

We are as an institution seeking to identify better and practicable processes in our procurement and business operations which will make a real difference in helping combat slavery and human trafficking.

This statement is made pursuant to section 54(1) of the 2015 Act and constitutes University of Dundee’s slavery and human trafficking statement.

Approved by the University Court at its meeting on 14 February 2017.

APPENDIX 6

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 60)

Meeting held on 1 February 2017.

1. PRINCIPAL'S REPORT

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

The Principal outlined the expected timescale for confirmation of the University's core funding from the Scottish Funding Council for 2017/18 and noted that the draft Scottish Budget amounted to a flat-cash position for the sector as a whole. Senate noted that savings from the introduction of taught postgraduate loans would not be passed on to the sector and consequently institutions would be expected to maintain or increase the number of home taught postgraduates that it recruited.

The Principal explained that the University's current financial position represented more favourable news and that a £1m positive variance against the deficit budget was currently being predicted. He noted that a strong January intake had underpinned the improvement and that encouraging signs in relation to open recruitment for the next academic year were emerging.

On the developing University Strategy refresh exercise, the Principal reported on the consultation presentations and the online survey. Members of Senate were encouraged to participate and to ensure that their School colleagues were aware of the opportunity to feed in to the process.

Senate acknowledged the difficulties imposed by the Scottish Government's year-on-year budget setting arrangements and members noted the apparent gap between the level of governmental financial support and the University's success in attracting external research funding and recruiting students from deprived areas of the country.

In response to a question the Principal confirmed that both the University and the sector, through Universities UK, stood ready to offer support and advice to staff or students who might be affected by US immigration restrictions.

The Senatus decided: to note the report.

2. UNIVERSITY COURT

The Senatus received a communication from the Court meetings held on 12 December 2016.

The Senatus decided: to note the report.

3. REVIEW OF SENATE EFFECTIVENESS

The Principal gave a presentation on a proposed review of the effectiveness of Senate and outlined the changes made in response to (i) the most recent review in 2009/10 and (ii) the restructuring of the University in 2015. He also explained the regulatory requirements for review contained in the Scottish Code of Good HE Governance and the need to comply with the Higher Education Governance (Scotland) Act 2016. Senate also noted the internal governance definitions contained in Charter and Statute.

The Principal set out details of the proposed review and noted the need to agree on terms of reference, membership of a review group, the possible scope of the review and the potential for an external facilitator to help lead the review. Senate noted the need to agree on a method to re-elect School members to serve on Senate in the summer of 2017.

Members of Senate agreed that an external element to the review would help ensure validity and transparency and that the participation of some or all of those members of Senate elected to Court would be beneficial. Members also discussed the need to review the lines of communication between the Schools and Senate, of how best to encourage active participation in the work of Senate and the functioning of the Senate Committees.

Members were asked provide further feedback and to indicate their willingness to serve on the review group by email to the Senate Clerk. Senate agreed that draft terms of reference should be prepared for discussion at its next meeting.

- The Senatus decided:**
- (i) to approve the proposed review of Senate effectiveness;
 - (ii) to ask members to indicate willingness to serve on the Review Group; and
 - (iii) to ask that a draft terms of reference and review group membership is prepared in time for the next meeting in March 2017.

4. INTERNATIONALISATION COMMITTEE

The Senatus received a Report from the Internationalisation Committee meeting of 17 January 2017. Wendy Alexander (Vice-Principal (Internationalisation)) introduced the Report and asked Senate to note the excellent results from the latest International Student Barometer (ISB) Survey. The Vice-Principal highlighted the importance of the University continuing to develop its reputation as a uniquely welcoming international community.

Senate noted the Committee's discussion on trends in transnational education and welcomed the suggestion that the Presentation given by an external expert should be shared with members. The Vice-Principal explained that the growth in transnational education partnerships highlighted the need for a co-ordinated effort to prioritise both open recruitment and transnational education.

The Senatus decided: to approve the report.

5. RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE

The Senatus received a Report from the Research and Knowledge Exchange Committee meeting of 10th January 2017 and the University Strategy to 2017: Report on Performance Indicators.

Professor Tim Newman (Vice-Principal (Research)) introduced the report by updating members on sector level discussions on the next Research Excellence Framework (REF). He explained the tension between a desire to reduce the institutional resource burden and the complexity of implementing the Stern Report recommendations. Senate noted the confirmation that the next REF would take place in 2021 with submissions made in the autumn of 2020.

Senate noted that final decisions on the process for REF 2020 would be made in the summer of 2017 and in broad terms members expressed a hope that the Stern recommendations would be taken forward. Members also agreed that the University should continue to lobby for the introduction of new units of assessment such as forensic sciences to reflect the development of research activity over time.

The Vice-Principal also gave details of the University's Annual Review of Research that would enter its second year of operation and proposals for a census of Research Centres in the University to help ensure a strategic approach to supporting interdisciplinary research.

Senate welcomed the proposals for a new Research Integrity Officer role in each School to help ensure that any future problems or concerns can be dealt with in a supportive and effective manner.

Members also welcomed the emphasis on recruiting high quality research students in any plans to expand the University's provision in this area. Members asked that the issue of School accreditation of research supervisors is revisited by the relevant Sub-Committee as this might prove to be a limiting factor in any plans for expansion. Members also suggested that given the sometimes fragmented approach to research student support the introduction of a Graduate School and the integration of doctoral research skills training programmes should be considered.

Senate also noted the discussions on open access requirements for REF submission and the need to comply with the principles contained in the Concordat on Open research data in order to apply for certain research grants.

Athena Swan Silver Award

Members of Senate noted the application for Athena Swan Silver award recognition in Nursing and Health Sciences and asked if resources were available to support an institutional application for Silver Award. Professor Nic Beech (Vice-Principal Academic Planning) explained that the University was not yet in a position to meet the requirements

for a Silver Award application and that any future submission would need to be made with reference to successful School-level silver award recognition.

- The Senatus decided:**
- (i) to note the University Strategy to 2017: Report on Key Performance Indicators; and
 - (ii) to approve the report.

6. LEARNING & TEACHING COMMITTEE

The Senatus received a Report from the Learning & Teaching Committee meeting of 16th January 2017.

Professor Karl Leydecker (Vice-Principal (Learning & Teaching)) introduced the Report and highlighted the positive approach taken in relation to the University's submission to the Teaching Excellence Framework and the proposal to refresh the Chancellor's Award for Excellence in Teaching. In response to a question it was confirmed that the University was one of five Scottish institutions that had accepted the invitation to participate in TEF at this stage of its development.

The Vice-Principal also highlighted the University's participation in a scheme to offer Graduate Apprenticeships in the School of Science & Engineering in partnership with local employers and asked Senate to note the potential for the scheme to be expanded into other discipline areas in future.

Senate also noted the proposal developed by DUSA to further improve student representation systems in Schools and welcomed the early recruitment of elected class representatives. Members agreed that engagement with distance learning and postgraduate students should remain a priority for the University and DUSA and welcomed the useful internal audit report on distance learning provision reported to the Committee.

The Senatus decided: to approve the report.

7. QUALITY & ACADEMIC STANDARDS COMMITTEE

The Senatus received Reports from the Quality & Academic Standards Committee meeting of 28th November 2016.

The Senatus decided: to approve the report.

8. SUMMARY REPORTS OF SCHOOL BOARDS

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

School of Humanities

In response to a question Professor Jim Livesey (Dean, School of Humanities) clarified the changes to the Continuing Education programme that had been agreed. He confirmed that while the current programme will be withdrawn, a new suite of credit-bearing modules will be introduced to improve provision and to allow eligible students to be funded by Student Learning Accounts.

Senate noted the reported disagreement within the School over a staffing proposal affecting the History programme in 2017/8. Members were asked to consider the role of School Board in relation to such decisions and where there is significant opposition from staff affected by decision.

Members agreed that School Executive Teams had a duty to consider strong opinions held by staff within Schools and that the School Board had a role in allowing staff to express their concerns. It was noted that School Board minutes should reflect the discussions that had taken place and record opposition where this was expressed.

Members agreed that it was necessary to consult with and acknowledge the views of staff, some of whom might take a principled objection to decisions made by the Dean and School Executive. However, it was also recognised that School Executives had the responsibility and the authority to make decisions after due consultation with staff and consideration of the range of views expressed at School Board and elsewhere.

Members of Senate welcomed the discussion on the role of School Boards as a healthy sign in organisation still undergoing cultural change but agreed that there might need to be further work to clarify and communicate the University's Statutes and Ordinances that specify the roles and relationships in the new University structure, particularly given the move to Schools being led by Executive Deans.

Members suggested that when staff disagreed with management decisions there needed to be an effective way of resolving conflict other than by raising grievances. It was also suggested that better communication would help to overcome the assumption that all staff have a complete understanding of processes or have access to the full range of reasons behind a particular decision.

Some members reported a perception that a commitment to consultation with staff was undermined by important issues being decided in advance of proper debate within Schools.

Dr Jim McGeorge (University Secretary) agreed to consult with the Director of Academic & Corporate Governance on the development of further written guidance on the roles of and relationships between School Executives and School Boards.

The Senatus decided:

- (i) to ask for written guidance on the relationship between School Executives and School Boards to be circulated; and
- (ii) to approve the Reports.

9. POSTGRADUATE APPEALS COMMITTEE

The Senatus received the Report of a meeting of the Postgraduate Appeals Committee held on 9 January 2017.

The Senatus decided: to approve the report.

10. CONSULTATION ON DRAFT UNIVERSITY STRATEGY TO 2022

The Senatus received the Draft University Strategy to 2022, for information.

The Senatus decided: to note the Draft Strategy Document.

11. GRADUATION TIMETABLE

To note the following draft timetable for Academic Ceremonies (Graduation) Summer 2017:

Day & Time	School
10am Wednesday 21st June	School of Dentistry & School of Science and Engineering
2.30pm Wednesday 21st June	School of Nursing and Health Sciences & School of Art and Design
10am Thursday 22nd June	School of Social Sciences (Architecture and Urban Planning; Business & Management Studies; Geography; Politics; Psychology)
2.30pm Thursday 22nd June	School of Life Sciences & School of Social Sciences (Law; Water Law; Centre for Energy and Petroleum and Mineral Law and Policy)
10am Friday 23rd June	School of Education and Social Work & School of Humanities (including CASTLE)
2.30pm, Friday 23rd June	School of Medicine

12. DUSA ELECTIONS

To note the following dates for DUSA elections:

Online nominations close:	3 Feb 2017
Start of Campaigning/Candidates' Briefing:	17 Feb 2017
Election Dates (voting):	28 Feb - 2 March 2017
Results:	3 March 2017

13. OTHER BUSINESS**PRINCIPAL'S VISITS TO SCHOOLS & DIRECTORATES**

The Principal reported on his recent programme of visits to Schools and Directorates and noted that he had been impressed by the enthusiasm, commitment and well-spring of energy that he found in all parts of the University. He explained that staff were positive and appreciative of his visit and were willing to talk in an open and honest way.

The Principal explained that staff expressed strong commitment to the University's vision and values but some felt over-extended and worried about a lack of resources to support the University's and their own ambitions. He also reported that there was a misperception that the University leadership was overly focused on financial as opposed to academic issues and he acknowledged that more needed to be done to explain the link between financial sustainability and the ability to invest in the University's future.

The Principal also reported that he had found a strong commitment to interdisciplinary working and to developing a distinctive role for the institution in his discussions with staff. He expressed a hope that although there was a commitment to the one-Dundee ethos it would be strengthened by the success of the Business Transformation project and a closer connection with the University Strategy under development.

The Principal welcomed the suggestion that the forthcoming Principal's Question Time session might allow for some further reflection and feedback to staff on these issues.

APPENDIX 7

WELFARE AND ETHICAL USE OF ANIMALS COMMITTEE (Minute 63)

A meeting of the Committee was held on 11 January 2017.

Present: The Convener, the Establishment Licence-Holder (for items 1–5), the Director of Biological Services (DBS), the University Veterinary Surgeon (UVS), four NACWOs, two holders of Home Office licences and four other members.

In Attendance: The secretary to the DBS, the Home Office inspector and two animal care technicians.

1. MINUTES OF LAST MEETING

The minutes of the meeting held on 5 October 2016 were approved.

2. MATTERS ARISING

None

3. NEW CONVENER OF THE COMMITTEE

The Committee noted that the new convener was now effectively in post and wished to place on the formal record its thanks and appreciation for the work of the previous convener over the past four years.

4. BARRIER UNITS

The document prepared by the DBS and summarising the current arrangements in each resource unit was discussed. The Committee noted the proposed next actions in each unit, intended to remove any illogical differences, to remove inconsistencies within each unit and to enhance each barrier.

Resolved: as an immediate action, to approve the policy suggested by the UVS of requiring all current and aspiring owners of rodent pets to declare their interest, so that the UVS can assess the risks to the resource unit and advise on steps to be taken to minimise them.

5. EFFICIENT BREEDING OF GENETICALLY ALTERED ANIMALS

The Home Office framework document was discussed, primarily in relation to archiving, the Committee's own role as an AWERB in overseeing the activities, and the management of individual colonies.

- Resolved:**
- (i) to support the suggestion of the DBS to amend his funding model so as to include the costs of routine archiving and rederivation of mouse lines in the general husbandry charges for mice. This should remove a perceived financial barrier to archiving mouse lines and restoring them only when required again in the future;
 - (ii) to acknowledge the Committee's central role in monitoring mouse breeding in the University;
 - (iii) to develop a list of colony managers (whether in the scientific domain or among resource unit staff) who could reasonably be asked for more details as to their breeding strategies and efficiency;
 - (iv) once the data are available, to analyse the returns of procedures for 2016 and to compare them with the information previously collected for 2015.

6. PROJECT LICENCE APPLICATION

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

Resolved: to approve the application, subject to a number of changes being made to the satisfaction of the DBS and UVS. The amended Non-Technical Summary is to be distributed to two of the non-scientific members of the Committee for approval.

7. REPORT FROM THE UNIVERSITY VETERINARY SURGEON (UVS)

Standing agenda item. The UVS reported that she had dealt with a number of issues since her last report:

- There was a need routinely to record the initial weights of animals entering studies, so that these could be controlled for when assigning the animals to experimental groups. The values were also essential in assessing weight loss, or a failure to gain weight, during a study; a common humane endpoint in project licence protocols.
- There had been an unusual response in a bone-marrow chimaera experiment, in which a prolonged mucositis had been observed. A Condition 18 report would be sent to the Home Office, as is standard practice when unexpected events have occurred. However, the Home Office inspector had already been made aware via a verbal report and there were no compliance issues. The UVS is convening a local group, and is seeking external advice, with the intention of deriving updated good practice guidelines.
- There had been unexpected events in an early-life study, which seemed to have been cured by moving this to another room within the facility. Again, the Home Office inspector was already aware and a condition 18 report would be submitted.
- A study in rats had revealed some unusual lung pathology. Samples were being collected from other animals in the facility to check for micro-organisms often associated with similar pathology, as a precaution. [Note added after the meeting: All the results were negative]
- Gel impregnated with a non-steroidal anti-inflammatory drug had been ordered for self-administered analgesia in post-operative animals and those in which osmotic mini-pumps or cannulae have been implanted. This will be tested as to whether it is a better way to give analgesia than via injection, as is done currently.
- A plan for the comprehensive micro-biological screening of the facility not already covered by routine quarterly screening is being developed.
- A procedure is being put in place in order to formalise the capture of the scientific purpose of transferring animals between project licences. The UVS will review requests for such transfers, as a compliance check on behalf of the Establishment Licence-Holder.

Resolved the DBS is to remind all licence-holders to ensure that the initial weights of the animals are recorded for all relevant studies, both to ensure that the ARRIVE guidelines on assigning animals to experimental groups are followed, and as baselines for any subsequent changes.

8. CONCORDAT ON OPENNESS ON ANIMAL RESEARCH IN THE UK

Standing agenda item. The Committee discussed the urgent need for a public web site on which the University could set out the need for the use of animals in research and explain its policies and procedures for ensuring that the 3Rs are fully engaged. The web could also act as a portal for more restricted-access materials, including the necessary forms for requesting animal related activities (study plans, transfers, imports, etc.).

The UVS and DBS have recently met the outreach team in the School of Life Sciences and intend to provide a workshop on the use of animals in research for a future event for schoolchildren focused on the ethical dimensions of biomedical research.

Resolved: the DBS and the Director of Academic and Corporate Governance are to drive a common request to the University's marketing team to develop a web presence.

9. TRAINING

Standing agenda item.

- The UVS reported that training for personal licence-holders is being developed for delivery in February and March. There may not be time for every licence-holder to attend a workshop before the new licence fee year starts on 1 April 2017, but the expectation is that all will have done so by 1 April 2018.
- The DBS reported that only about 25% of personal licence-holders appeared to be "active" (performing at least a few practical techniques, whether regulated procedures or Schedule 1 methods). The other 75% were considered most likely not to be active at the present time, but to be holding their licences 'just in case' of a future need. The training plans being developed should be targeted at those who will benefit the most, i.e. personal licence-holders who are currently carrying out procedures, or who reasonably expect to

do so in the near future. The long-term holding of licences by individuals who are not in a position to use them, on the other hand, should be discouraged. The DBS therefore proposed that licence-holders should show evidence of at least minimum levels of 'activity' by attending at least one workshop (as above) and having validated, or revalidated, their practical skills in at least one technique, by 1 April 2018. Those who have not met these minimum requirements should not be supported in holding a licence after that date, at least without extenuating circumstances.

- The UVS reported that a workshop for a group of study directors (not necessarily all licence-holders) had been held in December 2016 and had been very well received.
- The UVS reported that a further cycle of project licence-holders' training was been planned for the first half of 2017.
- The DBS and UVS reported that the Dundee ScotPIL course delivered in November 2016 had received a very positive report from the accrediting body.

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

Standing agenda item. The DBS reported that one application for a new project licences had been reviewed by the Committee by email since its last meeting. An updated application, to address a number of questions raised by the Committee, was still outstanding. Two applications for amendments to existing licences had been approved by the full Committee, and subsequently granted by the Home Office.

11. **UPDATED CODE OF PRACTICE FOR THE USE OF ANIMALS IN TEACHING AND RESEARCH**

This document was approved for general issue

12. **GUIDANCE FOR ANIMAL WELFARE 'COUNSELLORS'**

This document was discussed and some amendments requested. The new version will be circulated to the Committee for approval by email.

13. **ANY OTHER COMPETENT BUSINESS**

(1) Environmental Plant

A NACWO noted that Estates had been asked to catalogue the spare parts that might have to be held on-site to mitigate the disruption of a failure in an item of air handling plant.

Resolved: the DBS to request an update on this project from Estates.

(2) RSPCA Document

The Convener noted the recent publication by the RSPCA of guidance entitled 'Delivering Effective Ethical Review: The AWERB as a forum for discussion'. He asked the DBS to circulate it to all members of the Committee.

14. **DATE OF NEXT MEETING**

The next meeting is due to be held on 12 April 2017.