

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 10 June 2013.

Present: Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Professor SM Black, Emeritus Professor A Burchell, Mr R Burns, Ms SC Campbell, Lord Provost Mr R Duncan, Mr J Elliot, Professor TA Harley, Mr IA Kennedy, Ms S Krawczyk, Dr J Lowe, Ms B Malone, Dr H Marriage, Ms J McGovern, Professor GJ Mires, Ms CA Potter, Dr AD Reeves, Mr KA Richmond, Dr AM Roger, Mr KAC Swinley and Mr IDM Wright.

In Attendance: University Secretary; Ms Ngaire Dennison (Home Office Inspector); Mr RS Bowie; Dr WGC Boyd; Dr DH Crouch; Mr I MacKinnon; Mr Andrew Smart (Minute 84); Mr D Taylor; Director of External Relations; Director of Finance; Director of Human Resources; Director of Policy, Governance & Legal Affairs; Director of Strategic Planning (Minutes 106 & 107) and Clerk to Court.

The Chair welcomed the new members of Court, Mr RS Bowie, Dr WGC Boyd, Dr DH Crouch, Mr I MacKinnon, and Mr D Taylor to their first meeting of Court following their appointment/election to Court.

83. PRESENTATION BY HOME OFFICE INSPECTOR

The Home Office Inspector, Ms Ngaire Dennison, gave a presentation to the Court outlining the responsibilities of the University under the Animals (Scientific Procedures) Act, and the role of the Animal Welfare and Ethical Review Body within the University of Dundee. Her presentation highlighted recent changes to legislation, the responsibilities of the Court, and consequences of non-compliance.

In response to questions Ms Dennison confirmed the frequency of inspections and the procedure for making changes to licenses. She told the Court that the systems in place at the University of Dundee were well developed, and outlined the ways in which the sharing of best practice was encouraged by the Home Office.

Members asked about legislative requirements for overseas collaborations involving animals. Ms Dennison confirmed that the Home Office only inspected UK-based facilities, but that many institutions had implemented policies to ensure that the same ethical standards were expected of overseas collaborators as would be for those based in the UK. The convener of the University's Animal Welfare and Ethical Review Body (previously the Ethical Review Committee) confirmed that this matter would be further considered at a future meeting of the Body.

The Court decided: to thank Ms Dennison for her presentation.

84. ANNUAL REPORT OF THE SPORTS UNION

The Sports Union President, Mr Andrew Smart, presented the Union's annual report. In doing so, he highlighted the strong partnership with both the Institute for Sport & Exercise (ISE) and the Dundee University Students' Association (DUSA).

The President told the Court that there had been a notable increase in interest in membership of the Sports' Union and its affiliated clubs following the Olympic Games last summer - resulting in a 23% increase in club membership for 2012/13. The President went on to highlight the success of the Union's newest club, the University of Dundee Handball club, which had been the highest ranking Scottish University club at the National Handball Tournament in London.

Turning to financial matters, the President highlighted that the Sports Union budget had not increased in line with the increase in membership numbers. He told the Court that the Union was taking measures to make best use of the funding received, and that he believed that the Sports Union was in a strong position to overcome the financial challenges, but that the option to carry unspent funds over from one academic year to another would enhance its ability to do so.

The President also highlighted issues relating to the number of minibuses available to the Sports Union given the increase in the number of clubs and members. The University Secretary told the Court that a proposal relating to this issue had been received, and that it would be considered following finalisation of the budget. Members noted that at present there was only one external supplier for rented minibuses in the area, and so there was a risk to Sports Union activities if this supplier withdrew from the market.

The Court noted that participation in the Sports Union varied greatly across the academic Schools, and the President agreed that targeted marketing in addition to the marketing of the Sports Union during Freshers' Week could be considered for future years.

Members also highlighted the positive role of the Sports Union in the overall student experience, and in bringing a sense of identity and community to staff and students at the University. The Principal encouraged members of Court to attend University sporting events, highlighting the excitement and atmosphere at the recent varsity matches.

The Court decided: to thank the President for his report, congratulate him on a successful year and to wish him well for the future.

85. ANNUAL REVIEW OF PERFORMANCE AND EFFECTIVENESS

(1) Annual Review of Performance and Effectiveness of the Chairperson

[Secretary's note: The Chair of Court and Officers (except for the Secretary and the Clerk to Court) withdrew from the meeting for discussions on the effectiveness of the Chair of Court. The session was chaired by the Chancellor's Assessor, Dr Lowe].

The Court considered the performance of the Chairman of Court under the following four sub-headings: stewardship, communication, challenge and sectoral awareness. Members noted that the Chair had responded well to

feedback from the previous review of effectiveness, and also praised his commitment to good governance at a local and sectoral level. The University Secretary and the Chancellor's Assessor undertook to report the outcomes of the discussions to the Chair of Court, in particular the need to complete scheduled meetings with Court members before the end of the academic year, and to further evidence his challenge of management through his regular reports while continuing to ensure open and productive debate through his Chairmanship of Court meetings.

Members also proposed a number of changes to the guiding questions for use in future reviews.

The Court decided: to await a response from the Chair in relation to the feedback provided by members on his own performance, which would be considered in the first instance by the Governance & Nominations Committee prior to submission to the Court.

(2) Annual Review of Performance and Effectiveness of the Court

[Secretary's note: The Chair of Court and Officers returned to the meeting for discussions on the effectiveness the Court].

As with previous reviews, the discussions focussed on the areas of: effective governance, strategic role, conduct and spread of business, quality of communication and information, opportunities for participation and support for members.

Noting that the Scottish Code of Good HE Governance may influence future approaches to such reviews, and that a quinquennial review of Court Effectiveness was due to take place in 2013/14, members proposed that Court's approach to effectiveness reviews should be discussed further at the Court Retreat once the Code was published.

Members also discussed: (a) the information received for meetings, asking officers to consider if there were opportunities to reduce the volume of papers provided for meetings of Court; and (b) the nature of meeting minutes, identifying the need to balance brevity with a desire to capture the flavour of debate.

As with the review of the effectiveness of the Chair of Court, members proposed that in future reviews the guide questions should take a quality enhancement approach.

Following a discussion of the quality of the decision-making processes at Court, members considered that it would be useful to review some of the major decisions taken by the Court over the last five years, and in doing so consider the information provided, discussions held, and decisions made. Members suggested that this could form part of the discussions of plans for the quinquennial review which were scheduled for the Retreat.

Members indicated that they were satisfied that management was held to account by the Court and praised the actions of the Committees of Court in this

respect, citing a number of examples as evidence of the appropriate oversight and challenge by Committees.

Overall, members were satisfied that the Court was effective as a governing body, noting that the collegial attitude of the members had led to improvements in governance, but that there were still areas where improvements could be made.

The Court decided: to request that a review of the decisions of Court over the last five years form part of discussions at the Court Retreat.

86. MINUTES

The Court decided: to approve the minutes of the meeting on 22 April 2013.

87. MATTERS ARISING

(1) Senate Elections to Court (Minute 72(3)(b))

The Court noted that Dr Sam Crouch (School of Dentistry) had been elected to serve on University Court as a non-professorial member of the Senatus in accordance with Statute 9(1)(g) and the provisions of Ordinance 18.

The Court decided: to congratulate Dr Crouch on her election by the Senate to serve on Court for the period 1 August 2013 to 31 July 2017.

(2) Academic Council Election to Court (Minute 72(c))

The Court noted that Professor Sue Black (College of Life Sciences) had been re-elected to serve on University Court as an Academic Council member on Court in accordance with Statute 9(1)(h) and the provisions of Ordinance 18.

The Court decided: to congratulate Professor Black on her re-election to serve on Court for the period 1 August 2013 to 31 July 2017.

(3) Independent Student Member on Court (73(3)(e))

The Court noted that Ms Marija Tasevska had been elected as the Independent Student Member on Court in accordance with Statute 9(1)(k).

The Court decided: to congratulate Ms Tasevska on her election to Court for the period 1 August 2013 to 31 July 2014.

(4) Communications from the Senatus Academicus (Minute 76)

The Court decided: to ratify the decision taken at its meeting on 22 April 2013 to approve changes to Ordinance 39 4(2) which had been designed to clarify the terms of external examiners' appointments.

88. CHAIRMAN'S REPORTS

The Chairman presented his regular report to the Court, outlining his activities since the last meeting. In doing so, he highlighted his continued involvement in the development of the Scottish Code of Good HE Governance which had been subject to a phase of consultation. He told the Court that the working group charged with the development of the Code would meet again later in the month to consider the responses received, after which the Code would be published.

The Chairman also presented his annual report to Court. In his report the Chairman focussed on the University vision, and the need to achieve the 6% investment surplus target in order to support necessary investment in academic programmes, estates, and infrastructure. The Chairman also reviewed his involvement with the Committee of Scottish Chairs (Higher Education Institutions) (CSC) and the Committee of University Chairs (CUC) over the past year, in particular his role in the CSC working group for the development of the Scottish Code of Good HE Governance. Members noted that the Chairman's involvement in these activities had contributed to strengthened relationships across the sector.

[Secretary's note: Officers, including the Principal, withdrew from the meeting while the Chair outlined the annual performance review meeting of the Principal which he had recently led.]

The Chair reported that he had met the Principal recently to conduct his annual Objective-Setting & Review (OSaR) meeting and had shared with him feedback from Court members and senior officers. The forms and process used had been the same as for all other University staff and a summary of the targets for the coming year were shared with the Court. The report was highly satisfactory.

The Chair also reported that he had had an initial discussion with the Principal regarding the renewal of his contract of service, which had one year still to run and which provided for renewal discussions to commence one year in advance. There was general agreement that the Court would wish to enter into a continuation of the Principal's employment. It was noted that it would be anomalous, in view of current legislation, to renew his contract on a fixed-term basis and that it might therefore be more appropriate to enter into a normal rolling contract with a review mechanism after a certain period of time.

In relation to the Principal's contract, members also considered the Principal's pension position in light of changes to the taxable treatment of pensions. The Chairman reported on the range of practice at other Higher Education Institutions and, after discussion, undertook to bring a proposal to a future meeting for consideration.

The Court decided: to note the report.

89. PRINCIPAL'S REPORT

The Court received a report from the Principal (**Appendix 1**). In his report the Principal reviewed progress toward the vision one year on from its launch. In doing so he highlighted the recent launch of the Offshore Renewables Institute and the creation of a Crop Security Alliance for Scotland as examples of where the University was

meeting the key challenges set out in the vision. He also outlined the role the University was playing in co-ordinating the Scottish e-Health Research Centre (HeRC) as an example of where it could already claim to be Scotland's leading university.

The Principal provided Court with an update on the development of the Post-16 Education (Scotland) Bill. Members noted that phase two of the consultation on the Bill had now been concluded, and it would be difficult for further changes to be introduced. The Principal told the Court that progress had been made in securing changes both in areas where the Court had previously expressed concerns, and in those where proposed amendments had introduced new concerns. He also informed the Court that he had been asked give a presentation on HE governance at the University Sector Advisory Forum which had been established following the review of Scottish Higher Education Governance by Professor Ferdinand Prondzynski.

Turning to student recruitment figures, members noted that the deadline for the acceptance of offers to undergraduate courses had not passed at the time of the Principal writing his report and hence that the reported recruitment patterns were still subject to change. At the time of writing, the figures indicated that total firm acceptances had risen by ~5%, but that acceptances from EU, Rest of UK (RUK) and overseas students had decreased on the previous year. Acceptances to taught postgraduate courses had risen when compared to the same point last cycle. The Principal told the Court that the focus of the admissions team was now on increasing recruitment figures via UCAS extra and clearing, and the conversion of MD40 applications to meet Scottish Funding Council (SFC) Outcome Agreement targets. Members requested that an update be provided at the next meeting and noted the importance of monitoring the performance of MD40 students compared to other student groups.

The Court decided: to request that an update on student recruitment figures be provided to the next meeting of Court.

90. DUNDEE UNIVERSITY STUDENTS' ASSOCIATION – ANNUAL REPORT

The Court received a report from Mr Iain Kennedy, the President of the Students' Association (DUSA). He told the Court that the newly elected President, Mr Iain MacKinnon, intended to continue the practice of developing a list of strategic priorities for the DUSA Executive for the coming year, and he proposed that these be shared with the Court at the September Retreat.

The report set out the role of DUSA representation on University Committees, the success of fundraising activities in 2012/13, and the role of DUSA in student advice and welfare. It also provided a review of the governance activities of DUSA including the recent DUSA executive elections, the appointment of Mr Robin Harper and Mr Shaun Mackintosh as DUSA trustees, and outcomes from the recent Annual General Meeting (AGM). In this respect the President drew to the attention of Court the discussions at the AGM relating to the Living Wage campaign.

Turning to financial matters, the President highlighted that this year DUSA had a direct input in discussions around setting its annual subvention from the University, which had been a beneficial and progressive change that would be continued in future years. The President went on to highlight the DUSA capital programme to develop the new Student Services Centre and for expansion of the Premier Shop. The Court noted

that as a result of reduced revenue from the DUSA commercial activities, DUSA expected to report a deficit, and the President highlighted measures being taken by the commercial management team to reduce costs and increase efficiency.

Court members noted that DUSA had maintained its position as the number one Students' Union/Association in Scotland, and congratulated the President on this impressive achievement.

The Court decided: (i) to thank the President for his report and congratulate him and his executive team on a successful year; and

(ii) to wish the President well for the future noting that his term of office would expire on 31 July 2013.

91. FINANCE MATTERS

(1) Report of the Finance & Policy Committee

The Court received a report of the meeting of the Committee on 13 May 2013 (**Appendix 2**). The Chairman of Court drew members' attention to discussions on the 2013/14 budget and the approval of the creation of the Offshore Renewables Institute as discussed at the previous meeting of Court.

The Court decided: to approve the report.

(2) Budget 2013/14

The Director of Finance set out the proposed budget for 2013/14, which had previously been discussed by the Finance & Policy Committee at its meeting on 13 May 2013. The Director outlined the approach taken and members noted that the budget forecast predicted a break-even position for 2013/14.

The Director highlighted the manner in which Transparent Approach to Costing (TRAC) data was being used as one indicator of areas where financial improvements needed to be made to achieve the target of a 6% return on income. Given that the 6% investment target was subject to in-year investment, members suggested that the target be defined in a manner which would clarify progress toward the target, adjusting for in-year investments and defining where investments had been made and the returns expected as a result.

In response to questions regarding the reliability of TRAC data and low return rates, the Director told the Court that TRAC data was being triangulated with other relevant information to identify areas for attention and so any analysis was not being based on TRAC data alone. Members also noted that there were currently differences in the percentage contributions made by individual Schools and Colleges to central costs which might impinge differentially on their abilities to achieve further increases.

The Court discussed sectorial approaches to achieving investment surpluses, and noted the positive trajectory of those who had acted quickly to achieve a strong financial position. Members also discussed the cash flow position, and mechanisms for monitoring the benefits achieved through the recent investment posts.

- The Court decided:**
- (i) on the recommendation of the Finance & Policy Committee, to approve the proposed budget for 2013/14; and
 - (ii) to ask that further work be done on how the 6% investment surplus target should be defined and reported for discussion as early as possible in the 2013/14 session.

(3) Dundee University Press

The Director of Finance presented a paper which outlined options for the future of Dundee University Press (DUP). The Director highlighted interest from Edinburgh University Press (EUP) in acquiring DUP, and members noted that DUP did not currently have sufficient scale to trade profitably or to provide substantial benefit to the University.

In the absence of funds for further investment in DUP, and noting that the decision was strategically important and that the DUP Board had discussed the matter and recommended the sale, members agreed that the offer from EUP should be pursued.

The Court decided: subject to further negotiation, to approve the decision to sell the majority of the assets of Dundee University Press to Edinburgh University Press.

(4) 2013 Strategic Plan Forecast for the SFC

The Director of Finance provided a draft of the Strategic Plan Forecast return for submission to the Scottish Funding Council (SFC) at the end of June 2013.

The Court decided: to approve the draft of the Strategic Plan Forecast for submission to the SFC

92. AUDIT COMMITTEE

The Court received a report of the meeting of the Committee on 22 May 2013 (**Appendix 3**). The Convener of the Committee highlighted its discussions relating to the University's Business Continuity Plan, the Institutional Risk Register, the development of a draft Information Security Policy, and the external audit plan for the year ending 31 July 2013.

The Court also noted the Committee's discussions relating to the health and safety matters reported by the Health & Safety Sub-Committee, and the Convener proposed that as these matters were also discussed at length at the Human Resources Committee, that the comments from the Audit Committee on this matter be taken alongside discussions of the report of the meeting of the Human Resources Committee meeting (Minute 95).

The Court noted that the Committee was satisfied that the University was properly discharging its duties under information legislation.

The Court decided:

- (i) to approve the University's Business Continuity Plan;
- (ii) to approve the draft Information Security Policy; and
- (iii) otherwise, to approve the report.

93. INSTITUTIONAL RISK REGISTER

The University Secretary introduced proposed revisions to the Institutional Risk Register (<http://www.dundee.ac.uk/academic/court/riskm/>). Items within the register had been updated, and a commentary on them had been provided. The Court noted that the proposed changes to the Institutional Risk Register had been discussed by the Audit Committee, and that the auditors had suggested future revisions that would help to differentiate scores further so that key risks could be more easily identified.

Members of Court highlighted the importance of the inclusion of 'risk owners' in the register, and suggested that regular reports from action owners to the Audit Committee on the status of the risk would give greater confidence that the risk was being appropriately addressed.

The Court decided: to approve the revisions to the Institutional Risk Register.

94. GOVERNANCE

(1) Governance & Nominations Committee

The Court received a report of the meeting of the Committee on 13 May 2013 (**Appendix 4**). The Court received proposals from the Governance & Nominations Committee relating to the memberships of individual Court Committees, and to the convenership of the Audit and Human Resources Committees for 2013/14.

The Convener also highlighted a request from the Graduates' Council Business Committee asking the Committee to review the mechanism for ensuring

appropriate graduate representation on the Court in light of low engagement levels in recent elections. Following discussion of the request a paper had been produced by the Governance & Nominations Committee which had subsequently been submitted to, and approved by, the Graduates' Council Business Committee on 18 May 2013. The Court noted that the paper proposed that the mechanism for appointment be changed from an election by the graduate body, to an advertising and selection process led by the Graduates' Council Business Committee with support from the Governance & Nominations Committee. The University Secretary told the Court that, pending the necessary approvals, work was underway by the members of the Business Committee to develop targeted advertising materials and appointment criteria for future Graduates' Council Assessor vacancies under the new proposals.

- The Court decided:**
- (i) to approve the proposed memberships of the Court Committees (**Appendix 4** refers);
 - (ii) to approve the appointment of Ms Christina Potter as Convener of the Human Resources Committee from 1 August 2013;
 - (iii) to approve the appointment of Mr Jo Elliot as Convener of the Audit Committee for a period of 1 year from 1 August 2013;
 - (iv) to approve the proposal to change the mechanism for identifying future Graduates' Council Assessors on Court; and
 - (v) otherwise, to approve the report.

(2) Scottish Code of Good HE Governance

The Court noted the submission of the response to the consultation on the Scottish Code of Good HE Governance as electronically circulated to members.

The Court decided: to note that the consultation response had been submitted.

(3) Emergency Committee

The Court decided: in accordance with accepted precedent, to remit the transaction of any urgent Court business over the summer to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairman of Court and the Convener of the Finance & Policy Committee) and one other academic member; the precise composition would be subject to availability. A report on any action taken would be submitted to the first business meeting of 2013/14.

The Convener introduced a report of the meeting of the Committee on 20 May 2013 (**Appendix 5**). The Court noted the approval of the Equality Outcome Plan 2013-2017, and discussions on Health & Safety arising from the report of the recent inspection and a reportable dangerous occurrence. Members noted that the Health & Safety issues had also been discussed by the Audit Committee. The Convener told the Court that the Health & Safety Sub-Committee was developing an action plan to address the issues arising, and that the Human Resources Committee would have oversight of the implementation of the action plan.

The Convener also highlighted discussions on the issue of the Living Wage which Court had asked the Human Resources Committee to consider. Members noted that, as the University was part of a national pay bargaining framework, there were concerns that the introduction of local changes could impact on national negotiations. Following extensive discussions on the matter, the Committee had recommended to the Court that a locally agreed salary point, consistent with the Living Wage should be introduced outside the national scale, but with the University reserving the right to retain points 1 and 2 of the national scales; and that the change should be implemented following conclusion of the annual pay round. The Court noted that the issue had also been debated by the Senior Management Team who had agreed with the recommendation from the Human Resources Committee to keep the current pay grade structure and to assert the University's intention to stay within national pay negotiations, but to agree an additional point outside the structure equivalent to the Living Wage.

Members noted the position of the Dundee University Students' Association in seeking the University to become an accredited Living Wage Employer. However as this would require the University to abide by any Living Wage increases thereafter, the preferred course of action was for the issue to be managed in future under the national pay negotiations through UCEA and for the University to reserve judgement on any future increases to the Living Wage. In that regard members noted in particular the fact that annual increases to the Living Wage over the last few years had significantly exceeded those agreed through national negotiations.

Members of Court were keen to ensure that the decision was communicated to those affected by the change as quickly and clearly as possible and noted that the normal route of communication would be via the unions representing staff.

The Court decided:

- (i) not to become an accredited Living Wage employer and to agree to maintain the integrity of the existing salary scale, but to agree an additional 'locally agreed' salary point, equivalent to the current Living Wage rate which would be implemented following the necessary negotiations with the trade unions and following the conclusion of the annual pay negotiations;
- (ii) to reserve judgement on any future increases to the locally agreed salary point;
- (iii) to note the responsibilities of Court regarding the health and safety issues raised, and to support the actions and continued monitoring of health and safety issues as proposed; and

- (iv) otherwise to approve the report.

96. **COURT RETREAT PROGRAMME**

The Court received a paper outlining the proposed programme for the Court Retreat in September 2013. Members suggested that, as discussed earlier in the agenda, the Dundee University Students' Association (DUSA) strategic priorities should be presented at the Business Meeting, and that a consideration of significant past decisions of Court should be included in the final session considering arrangements for the quinquennial review of the effectiveness of the Court.

The Court decided: to approve the draft programme.

97. **ETHICAL REVIEW COMMITTEE**

The Court received a paper outlining the review of the Ethical Review Committee (**Appendix 6**). The paper provided an overview of changes made in response to changes to legislation in this area and made a number of proposals in relation to the remit, terms of reference, composition and name of the committee.

- The Court decided:**
- (i) to approve the revised remit and terms of reference for the Committee;
 - (ii) to approve the revised composition of the Committee;
 - (iii) to approve the change of name of the Committee to 'Welfare and Ethical Use of Animals Committee'; and
 - (iv) otherwise to thank the convener for her update.

98. **COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

The Court received a report of a meeting of the Senate on 29 May 2013 (**Appendix 7**). The Chairman drew the attention of Court to the discussions at Senate on the upcoming Enhancement Led Institutional Review (ELIR) and the move of CAHID to the College of Art, Science & Engineering with effect from 1 August 2013.

The Court decided: to note the report.

99. **STRATEGIC FRAMEWORK BENCHMARKING REPORT**

The Court received the sixth and final annual benchmarking performance report for the Strategic Framework to 2012. In the report the Director of Strategic Planning set out the University's performance across a selection of performance indicators in comparison with a number of other universities. The report highlighted little relative change in measures relating to learning and teaching (Aims 1, 2, and 3), and improvement in the research and commercialisation indicators (Aims 4 and 5). Members noted the efficiency of support services had been maintained at a relatively high level, but that the operating surplus as a projection of total income had fallen short of the University's target and comparators. The University remained behind the benchmark for total income per academic staff, and though the efficiency of the use of learning and teaching space had improved to reach the sector average, estate quality and energy consumption remained behind target.

The Court decided: to note the trends identified through the report.

100. **ACADEMIC COUNCIL**

The Court received a report from the meeting of the Academic Council on 6 May 2013.

The Court decided: for its part, to note the report.

101. **STAFF**

Professorial and Other Grade 10 Appointments

The Court noted the appointment of the following:

Graeme Morton	Chair in Modern History	1 August 2013
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102. **HONORARY CHAPLAIN**

The Court decided: to approve the appointment of Imam Vali Hussein as Honorary Chaplain to the University for a period of one year in the first instance, with effect from 1 September 2013.

103. **DATES OF MEETINGS IN 2013/14**

The Court received a paper outlining dates of the meetings of the Committees of Court in 2013/14.

The Court decided: to note the dates contained within the paper.

104. **DATES OF GRADUATION 2013**

The Court decided: to note the dates for graduation ceremonies in 2013.

105. **FAREWELLS**

The Chairman paid tribute to the work of Emeritus Professor Ann Burchell, Mr Iain Kennedy, Dr Janet Lowe, Dr Howard Marriage, Miss Julie McGovern, and Dr Angela Roger who had reached the end of their terms of office and were attending their last meeting of the Court. The Chairman thanked them for the significant contributions they had made during their time on Court and he wished them well in their future endeavours.

RESERVED BUSINESS

[Secretary's note: The Chairman asked those in attendance to leave the meeting while the reserved business items were taken - with the exception of those officers required to facilitate discussions as follows: the University Secretary, the Director of External Relations, the Director of Finance, the Director of Strategic Planning and the Clerk to Court.]

Prior to the introduction of the items, the University Secretary highlighted the potential conflict of interest for the Principal, as a member of the Dundee Design Limited (DDL) board, the Director of Strategic Planning, as an alternate Director, and the Lord Provost Bob Duncan, as Dundee City Council was a partner in the project. The Lord Provost did not attend for these items of business. The attendance of the Principal and the Director of Strategic Planning was accepted on the basis of their roles and responsibilities within the University].

Present: Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Professor SM Black, Emeritus Professor A Burchell, Mr R Burns, Mr J Elliot, Professor TA Harley, Mr IA Kennedy, Ms S Krawczyk, Dr J Lowe, Ms B Malone, Dr H Marriage, Ms J McGovern, Professor GJ Mires, Ms CA Potter, Dr AD Reeves, Dr AM Roger (for part of discussion), Mr KAC Swinley and Mr IDM Wright.

In Attendance: University Secretary; Director of External Relations; Director of Finance; Director of Strategic Planning and Clerk to Court.

106. **RESERVED ITEM - MINUTE 5 OF THE REPORT OF THE FINANCE & POLICY COMMITTEE MEETING, 13 MAY 2013.**

The University Secretary introduced Minute 5 from the meeting of the Finance & Policy Committee on 13 May 2013. In doing so, he highlighted the discussion at the Finance & Policy Committee, in particular the additional information that members of the Committee had requested be included in the paper being prepared for Court.

The Court decided: to approve the report.

107. **RESERVED ITEM -V&A AT DUNDEE**

The University asserts that this information is exempt from public disclosure and claims the exemptions in section 30 and 33 of the Freedom of Information (Scotland) Act 2002.

APPENDIX 1

PRINCIPAL'S REPORT (Minute 89)

Vision – 1 year on

It is now one year since I introduced to the Court the new University vision – to become Scotland's leading university, celebrated internationally for the quality of our graduates and the impact of our research. Since its introduction, the vision has received enthusiastic support from staff, students, alumni and external stakeholders, and it is clear that these groups are drawing confidence and ambition from our bold statement. To achieve our goal, it is vital that we continue to embed the vision in all that we do, and that we ensure every decision we take is made with the achievement of our goal in mind. If we do this, I have no doubt that within 24 years we will be known around the world for producing leaders and achievers in all walks of life. We will be the partner of choice for some of the best institutions in the world and people will see the University of Dundee as the leading Scottish university and a major player on the world stage.

Meeting our Key Challenges

Some time ago the Court authorised discussions with the University of Aberdeen on a number of potential areas for collaboration. I am pleased to announce that these discussions have recently borne fruit with the launch of an Offshore Renewables Institute in partnership with the University of Aberdeen and Robert Gordon University, and the creation of the Crop Security Alliance for Scotland involving the Plant Sciences Division in the College of Life Sciences, the Centre for Environmental Change and Human Resilience in the School of the Environment, the James Hutton Institute, and the University of Aberdeen. In both cases the partnerships build the critical mass to achieve momentum and seize new and emerging funding opportunities arising in these important topics. Members may also note the alignment of both of these initiatives to our vision's key challenge of 'Promoting sustainable use of global resources', and the linkage that exists in each case between excellence in fundamental research and its application.

University Governance

A consistent theme within my reports to Court throughout the 2012/13 academic year has been the Post-16 Education (Scotland) Bill. In my last report I informed the Court that the Parliamentary Committee intended to take further evidence between Phase 1 and 2 of the passage of the Bill. Phase 2 is expected to conclude on 28 May 2013, and I hope to be in a position to further update the Court at our meeting on 10 June. While it now seems likely that there will be amendments to the Bill relating to areas such as the governance of HEIs and a review of further and higher education provision, other amendments may introduce measures to address gender balance for membership of HEI governing bodies, and additional controls over widening access responsibilities. I remain concerned that any erosion from the current position of University autonomy with accountability would pose a risk to the reputation and status of the Scottish HE system. Paradoxically the proposed changes would also threaten good governance as the Scottish Government appears to be placing itself in a position to override the legitimate decisions of our governing bodies and academic boards in determining who we should admit to university courses.

Student Recruitment Figures

With final responses to main cycle offers due by 6 June 2013, the pattern of acceptances of offers is now starting to emerge. Undergraduate recruitment figures indicate that our total firm acceptances is slightly higher (5%) than at this point in last year's cycle, but that acceptances have decreased from EU (16%), RUK (15%) and overseas students (34%) relative to last year's position. This is particularly disappointing for the RUK and overseas numbers as they are an unregulated source of funding. The focus of the admissions team has now moved to increasing these numbers through the UCAS extra and clearing processes, and to converting sufficient MD40 applications to meet the SFC Outcome Agreement targets. In addition, communications with applicants will continue through the rest of the cycle to convert as many of the acceptances to matriculations as possible.

In terms of postgraduate students, the picture is still changing, and of course we will have the January intake, but currently applications to our taught postgraduate programmes for 2013/14 entry are up by 2.8% on the same point last year, with the firm acceptances being 14% higher.

Leading in Scotland

Returning to the vision, I would like to use my regular report to Court as an opportunity to highlight to members areas where the University can already claim to be Scotland's leading university. For this report I have chosen to showcase the e-health initiative in our Medical School.

Last August funds totalling £25million were allocated by the Medical Research Council to establish a Scottish e-Health Research Centre (HeRC) led by Dundee and for capital infrastructure to support and integrate health informatics research to groups of investigators in England, Wales and Scotland. The strength of Tayside and Scotland's exceptional data resources and the University's long tradition of excellence in e-Health informatics research, along with its history of rapidly translating these academic strengths into benefits for patients and population health, locally, nationally and globally was a noted factor in this award.

The four Centres that will be created across the UK will investigate a wide range of conditions that place a huge burden on the UK population, including diabetes and obesity, cardiovascular disease, cancer and child and maternal health, and will act as a high profile interface between academia, the public, practice, policy and industry. These centres of excellence will harness the wealth of UK electronic health records to improve patient care and public health, and have the potential to revolutionise health research.

In his presentation to the Court in December, Professor John Connell, Vice-Principal & Head of the College of Medicine, Dentistry and Nursing, outlined investment planned for the existing Health Informatics Centre (HIC) Services within the Medical School. This investment is enabling the installation of a new High Performance Computing Infrastructure, and a new software framework to enhance the current delivery of data and also to store and maintain huge data sets including genomic data and clinical images. In this way the University has enhanced the ability of HIC Services to combine and link clinical, social and research data and to provide the information in an accessible format to enable more productive research. HIC services is rapidly becoming a core component of HeRC Dundee, bringing together the researchers and the providers of the data in one vibrant, interdisciplinary Centre of Excellence, enabling researchers to identify more effective treatments, improve drug safety, assess risks to public health and study the causes of diseases and disability.

I should say that the project is not just solving the issue of data management now, but is also gearing up to handle the huge increase of data with recent biomedical advances such as Next Generation DNA Sequencing. The work of the new HeRC is therefore augmented by the new Centre for Translational and Interdisciplinary Research (CTIR) and the Community Health Index projects.

Graduation

As is usual for my June report, I would like to remind members that our summer graduation ceremonies will take place from 19 – 21 June 2013. The participation of members of Court in the ceremonies is always greatly appreciated, and serves as an important reminder of our role and obligations as we honour our graduands. The dates of the ceremonies are included on the agenda. This year we will be conferring degrees on three honorary graduands: the Director of the Design Museum, London, Mr Deyan Sudjic; the Founder, Director and main funder of international skin disease charity and patient support organisation "PC Project", Mrs Mary Elizabeth Seitz Schwartz; and the award winning Scottish crime writer and broadcaster Ms Val McDermid.

Duncan of Jordanstone College of Art Degree Show

I would like to highlight to all members the success of the recent Degree Show from the Duncan of Jordanstone College of Art. Once again this was a fantastic event which not only showcased the abilities of our DJCAD graduands, but which acted as a conduit for engagement with the local community – with a record-breaking 12,500 visitors attending the Degree show over the week. I would strongly encourage members to attend the Degree Show when it comes around next May.

Professor Pete Downes
Principal & Vice-Chancellor

Senior Management Team Meetings (SMT)

<http://www.dundee.ac.uk/academic/court/com/smt/>

Since the last report to the Court, the Senior Management Team has met as follows: 24 April 2013, 8 May 2013, 29 May 2013. It has considered a number of issues, including the following:

- Offshore Renewables Institute
- V&A at Dundee
- Business Continuity Planning
- 2013/14 budget review
- HR Issues
 - OSAR Guidelines and mid-year report on engagement figures
 - Athena SWAN
 - Living Wage
- Update on Costeas Geitonias collaboration
- 5 Million Questions events update
- E-Health initiative briefing
- Research grants: Awards and Trends
- Consultancy policy
- Central timetabling
- Dundee University Press
- Targeted savings using TRAC

Major Grants and Awards

- **£8.8m from the EC - IMI - Innovative Medicines Initiative to Professor Andrew Hopkins** (Biological Chemistry and Drug Discovery) for European Lead Factory EUC2LID (IMI) (Joint with 29 other Partners)
- **£3m from the SFC to Professor Andrew Hopkins** (Biological Chemistry and Drug Discovery) for EU IMI European Lead Factory (ELF) for Drug Discovery.
- **£1.7m from the Wellcome Trust to Professor Sir Philip Cohen** (Protein Phosphorylation Unit) for Wellcome Trust Senior Investigator Award.
- **£1.4m from the Wellcome Trust to Professor Pauline Schaap** (Cell and Developmental Biology) for Molecular Mechanisms of Encystation and Sporulation (Senior Investigator Application).
- **£1.3m from EC FP7 Ideas/European Research Council to Dr A Ciulli** (Biological Chemistry and Drug Discovery) for DrugE3CRL's: Probing Druggability of Multisubunit Complexes: E3 Cullin RING Ligases (ERC Starting Grant).
- **£1.2m from the Wellcome Trust to Dr Robert Ryan** (Molecular Microbiology) for Molecular Characterisation of Bacterial Interspecies Signalling in Polymicrobial Chronic Lung Infection: A Potential Target for Therapeutic Intervention.
- **£1.1m from EC FP7 People/Marie Curie to Mr G Nabi** (Academic Clinical Practice) for ABLADE: Advanced Bladder Cancer Laser Diagnostics and Therapy (Joint with 2M Engineering Limited and Scientific-Production Enterprise Lazma Limited).
- **£250k from the Technology Strategy Board to Professor Rod Jones** (Civil Engineering) for KTP with Pelamis on Concrete Manufacture.
- **£180k from Leverhulme Trust to Professor Chris Reed** (Computing) for DrEAMS: Dialogue-Based Exploration of Argument and Mediation Space.
- **£150k from Fife Council to Dr LG Duncan** (Psychology) for Measuring the Outcome of Early Intervention in Language and Literacy Among Preschool Children Affected by Social Disadvantage.

People and Prizes

Professor Steve Parkes, Director of the University's Space Technology Centre led an international team that received a prestigious award from the European Space Agency (ESA) in recognition of its outstanding achievement in creating highly successful spacecraft technology.

APPENDIX 2

FINANCE & POLICY COMMITTEE (Minute 91(1))

A meeting of the Committee was held on 13 May 2013.

Present: Mr R Burns (Convener), Principal Professor CP Downes, Professor RJ Abboud, Mr J Elliot, Mr IA Kennedy (President, Students' Association), Dr J Lowe, Dr AD Reeves, Mr EF Sanderson, Mr IDM Wright.

In Attendance: University Secretary; Director of Finance; Director Campus Services (Minutes 1 & 8); Director of Strategic Planning; Director of Policy, Governance & Legal Affairs; and Clerk to Court.

Apologies: Dr H Marriage.

1. MINUTES

Resolved: to approve the minutes of the meeting on 25 March 2013.

2. MANAGEMENT ACCOUNTS – PERIOD 8

The Committee received the accounts for the Period to 30 April 2013. The year-end forecast was for an operating surplus of £2.2m, representing a favourable variance of £1.6m compared with the budget.

The cash position of the University remained strong, with a total of £41.5m of cash on deposit. This figure was higher than expected due to the SFC paying the April and May teaching grant at the end of March. Capital expenditure was expected to be £1.6m below budget due to slower than expected spend on some of the larger projects (although delivery on these remained on track).

The Committee noted that the £8.5m of borrowings with RBS was regularly reviewed as the gap between depositing and borrowing rates was decreasing. At present the favourable interest rate differential generated around £13k per annum, but the borrowings could be paid off from existing cash reserves if borrowing became unfavourable. In response to questions the Director confirmed that the borrowings were due to be paid off in April/May 2014.

Resolved: to note the accounts.

3. BUDGET 2013/14 & CAPITAL PLAN

The Director of Finance set out the proposals for the 2013/14 budget including plans for capital expenditure. The budget had been agreed through a series of meetings with College teams and with the Student & Academic Support Services (SASS) and had been endorsed by the Senior Management Team. The projected financial surplus for the year was £88k, a significant reduction from the forecast result for 2012/13. Members noted that the reduction reflected significant cost pressures including incremental salary drift and the costs associated with the introduction of pension auto-enrolment, together totaling around £2m.

The Director told the Committee that the most significant financial challenge for 2013/14 would be to develop and implement plans which would enable progress to be made toward achievement of the 6% surplus target. The Director highlighted how Transparent Approach to Costing (TRAC) data was now being used to identify areas where financial improvements could be made. In response to questions, the Director told the Committee that TRAC analysis could identify improvement areas at the School level, but that a separate project would be required to aid in reviewing course costs.

The Director also highlighted year-on-year budget changes for Colleges and SASS. The Committee noted an increase in SASS costs for 2013/14, largely resulting from investments to meet requirements indicated in College operational plans.

The Committee noted that the capital expenditure plans showed gross expenditure of £18.6m, of which £6.7m would be funded externally leaving £11.8m to be funded from the University's resources. The main items planned for 2013/14 were the completion of the Centre for Translational and Interdisciplinary Research (CTIR), renovations to the Duncan of Jordanstone College of Art & Design (DJCAD), legal

compliance work (such as disabled access and fire alarms), backlog maintenance and a new Combined Heat & Power (CHP) engine.

Resolved: to endorse the budget to Court for approval.

4. FINANCIAL PROJECTIONS FOR THE SFC

The Committee received an outline of the projections and underlying assumptions for the annual three-year forecasts for submission to the SFC. Members noted that forecast figures had been based on submissions from colleges.

Resolved: to note the projections.

5. V&A at DUNDEE – To be considered as reserved business in Part C of the meeting of Court, 10 June 2013.

The University asserts that this information is exempt from public disclosure and claims the exemptions in S.30 and S.33 of the Freedom of Information (Scotland) Act 2002.

6. OFFSHORE RENEWABLES INSTITUTE

The Director of Strategic Planning introduced a paper detailing the financial, risk, and governance arrangements for the Offshore Renewables Institute (ORI). Members noted that since the submission of an outline to Court in April 2013 an agreement had been reached with partners (the University of Aberdeen and the Robert Gordon University) on the shape of the Institute and the costs involved.

Members were satisfied with the governance arrangements outlined, and noted that the project had the potential to become profitable quickly. Members also highlighted the possibility to generate additional revenue through database income.

Resolved: to approve the creation of the Offshore Renewables Institute.

7. DUNDEE UNIVERSITY PRESS (DUP)

The Committee received a paper updating members on options for the future of Dundee University Press (DUP). The Committee noted that the Senior Management Team review of DUP on the basis of cost and reputational benefit was ongoing at the time of the meeting.

Resolved: to wait for the Senior Management Team to complete their review of the reputational benefits of DUP, and for any proposal to have been considered by the Board of Directors of DUP, before bringing a proposal to the Finance & Policy Committee for approval.

8. ESTATES & BUILDINGS

The Director of Campus Services introduced his regular report to the Committee. In doing so he highlighted the ongoing independent review of Estates operations and structure, including the assessment of levels of service with Colleges. The recommendations were expected to be wide ranging and he told the Committee that Estates would look to explore the key issues once the report was completed.

Turning to policies, the Director informed the Committee that a new policy on Legionella had been submitted to the Health & Safety Sub-Committee for approval. With regard to the Campus Services Health & Safety Policy, he confirmed that all Campus Services staff had now been issued with the policy and had been asked to return declarations confirming that they had read the document.

The Director also provided an energy update. The installation of sub-meters across the campus was 95% complete and day and night profiles were being produced for different buildings on the campus. It was anticipated that by interrogating this data it would be possible to identify ways in which energy consumption could be reduced.

The Director also presented a capital plan update. He highlighted to the Committee the Phase 3 work on the Ninewells Library & Teaching Accommodation project which would commence in early May. Members also noted that work to refurbish level 5 of the Matthew Building (DJCAD) had been delayed due to changes in the client brief. Turning to work on the CTIR, the Director told the Committee that it

was expected that all works, including the additional fit-out of the two shell floors, would be completed in January 2014, and he offered an open invitation to contact him if members wished to visit the site.

Members asked officers to provide a regular schedule of projects showing any overrun of costs.

Resolved: to note the report.

9. **ANNUAL PROCUREMENT REPORT**

The Committee considered the annual procurement report. Members noted the importance of the iBuy (formerly P2P or Procurement to Pay) project in providing a comprehensive procurement function for University Staff.

Resolved: to note the report.

10. **DATE OF MEETINGS 2013/14**

The Committee noted the dates of meetings for 2013/14.

APPENDIX 3

AUDIT COMMITTEE (Minute 92)

A meeting of the Committee was held on 22 May 2013.

Present: Dr H Marriage (Convener), Mr JE Barnett, Emeritus Professor A Burchell, Mr KA Richmond, Mr I Stewart.

In Attendance: Ms SS Morrison-Low, University Secretary; Director of Finance; Director of Policy, Governance & Legal Affairs; Ms T Levinsohn (PricewaterhouseCoopers), Mr S Reid (KPMG), Mr A Shaw (KPMG); Mr M Timar (PricewaterhouseCoopers) and Clerk to Court.

Apologies: Mr R Burns, Mr KAC Swinley.

The meeting was preceded by a training and development session led by Mr Michael Timar (Partner, PricewaterhouseCoopers) focussed on sectoral issues for Higher Education Audit Committees.

1. MINUTES

Resolved: to approve the minutes of the meeting on 5 March 2013.

2. MATTERS ARISING

Overseas Travel (Minute 6)

The Committee noted that guidance on issues and processes relating to overseas travel where the Foreign & Commonwealth Office advised against travel was now available on the University's safety website.

Members also noted that death-in-service pension benefits were not affected by travel to these areas, and that individuals undertaking travel must notify, and discuss insurance arrangements with, the Finance Manager before travelling to ensure that cover was adequate.

Resolved: to note the update.

3. CONVENER'S REPORT

The Convener updated members of the Committee on his discussions with the auditors and senior management since the last meeting. In particular members noted that senior management had confirmed that risk assessments for the activities of the clubs and societies run by the Dundee University Students Association were the responsibility of the club or society itself and not the University.

Resolved: to note the update.

4. EXTERNAL AUDIT PLAN 2012/13

The Committee received a paper from the University's external auditors outlining the approach to be taken in carrying out the audit for the year ending 31 July 2013. In it the auditors set out the focus areas and materiality thresholds for the audit. The auditors also formally confirmed their independence as external auditors.

In response to questions the auditors confirmed that Dundee Student Villages Ltd was not included in the audit plan as it was an affiliated company and therefore would be subject to its own external audit (by Grant Thornton UK LLP). They also discussed the assurances required in relation to Dundee University Press (DUP) for the accounts to be signed off, noting that the future of the company was currently the subject of senior management consideration.

Resolved: to endorse the plan

5. **INTERNAL AUDITORS**(1) Review of Schools

The auditors presented a report examining the control environment in the Schools of: Nursing, Psychology, Computing and the Environment. This was the third in a series of reports looking at School operations to be carried out during the auditors' period of appointment. The auditors made one high risk recommendation, one moderate, and four low risk recommendations all of which had been accepted by management.

The high risk recommendation related to annual leave monitoring for academic staff, and in response to questions the Director of Finance confirmed that the upgrade planned for the existing Human Resources electronic record system would enable self-serve completion of absence and annual leave records. Members questioned the proposed time-frame for improving annual leave monitoring, and noted that a culture change would be required for effective change to be achieved.

In relation to the moderate risk recommendation around 'cash handling', the Director confirmed that the University had contracts with preferred suppliers in place for the hiring of taxis. Whilst these were not universally used, the means were therefore in place to avoid large petty cash floats for paying for taxis directly.

Resolved: (i) to request that HR Services prepare an implementation plan for the roll-out of annual leave monitoring arrangements for academic staff; and
(ii) otherwise, to note the report.

(2) Procurement

The auditors provided an overview of the report into procurement. In doing so they highlighted the good practice already embedded in this area, and members noted that the two moderate and two low risk recommendations aimed to enhance existing practice. The moderate risk recommendations related to improvements that could be made to procurement procedures and the resourcing level of the unit. All recommendations had been accepted by management.

Resolved: to note the report

(3) DUSA

The auditors presented their annual audit of the Dundee University Students' Association (DUSA). The audit had focussed on the effectiveness and efficiency of key controls over financial and non-financial processes. The auditors made two moderate and two low risk recommendations which had been accepted by DUSA management: the two moderate risk recommendations related to expenditure controls and the automation of expenditure processes. One low risk recommendation related to the efficiency of payroll processes, and members suggested that University senior management should look to provide guidance and support to DUSA during any transition to monthly payments for relatively low-paid staff.

Resolved: to note the report.

(4) Implementation of Strategy and Project Management

The auditors presented their report into the implementation of strategy and project management. The auditors made four moderate, and two low risk recommendations which had been accepted by management. The moderate risk recommendations related to: committee effectiveness; action and operating plans; use of Key Performance Indicators, Performance Indicators and benchmarking information; and new project management procedures. The Director of Finance outlined changes planned for the Information Programme Management Office (IMPO) to improve its closedown procedures and provide support for strategic aims. The Committee also discussed the importance of ensuring suitable mechanisms were in place for reporting on the delivery of operating plans.

Resolved: to note the report

(5) Status Update

The Committee received a report on progress with the internal audit programme to date and the plans for work during the remainder of the academic session. Members suggested that in future years it would be useful for a draft audit plan to be presented at the May meeting of the Audit Committee rather than the September meeting so as to ensure the plan benefitted from input from any outgoing members of the Committee. Members also noted that KPMG was meeting its Key Performance Indicators, and asked for information regarding the management turn-around of reports though noting informally that the internal auditors had no concerns in that regard.

In relation to the internal audit plan for 2013/14, members suggested a number of potential topics for internal audit.

Resolved: to note the report

(6) Sector Update

The internal auditor circulated a routine report summarising sector-wide matters of which management and the Audit Committee should be aware, including: revisions to the Corporate Governance Code; IFRS and the future of UK GAAP; going concern and liquidity risks; and pensions and tax. The Committee welcomed the report. In response to questions on changes to the Corporate Governance Code, the auditors undertook to provide management with a compliance check-list.

Resolved: to note the report

6. **RISK MANAGEMENT MONITORING GROUP**

The Committee received a report from the meeting of the Risk Management Monitoring Group (RMMG) on 1 May 2013. Members noted that the group had discussed the Business Continuity Plan and the Institutional Risk Register that appeared elsewhere on the agenda. In response to questions the University Secretary confirmed that attendance at the RMMG meetings was generally good, and that the Group had found the practice of receiving the minutes from the meetings of the Audit Committee very informative and helpful.

Resolved: to note the report

7. **BUSINESS CONTINUITY PLAN**

The Committee received the University's Business Continuity Plan (see: <http://www.dundee.ac.uk/academic/court/riskm/>) which had been completed in April 2013. Members noted that the plan had taken account of recommendations made within the 2010 Business Continuity report from the internal auditors, external input from the University's insurers, and input from the senior management team. Members commented that the plan was a significant step forward for the University, and looked forward to hearing more about the introduction of training sessions, scenario testing and desktop exercises.

Resolved: to endorse the Business Continuity Plan

8. **INSTITUTIONAL RISK REGISTER**

The Director of Policy, Governance & Legal Affairs introduced proposed revisions to the Institutional Risk Register. Items within the register had been updated, and a commentary on the items had been provided.

During the pre-meeting training session the Committee had discussed approaches across the sector to Institutional Risk Registers. Members had suggested that the potential impact of the outcome of the Scottish independence referendum and the quality of data submissions to regulators should be considered for inclusion in the register. Members also noted that many items on the register were clustered in terms of their residual risk and suggested that existing scores be reviewed to differentiate critical risks.

Resolved:

- (i) to note that the external auditors would update their summary of sector risk scores to provide management with data ranges rather than averages; and
- (ii) to endorse the new Institutional Risk Register and ask that further updates be made to the register for the next meeting of the Audit Committee.

9. INFORMATION SECURITY POLICY

The Director of Policy, Governance & Legal Affairs introduced the 'draft Information Security Policy and guiding principles' (annex). The policy had been developed by a working group consisting of: the Director of the Library & Learning Centre; Director of Policy, Governance & Legal Affairs; the Information Compliance Officer; and the Data Warehouse Architect. Members noted that the over-arching policy had been designed to provide a framework for engagement with a number of sub-processes which were still under development.

The Committee discussed procedures for information access when staff and students leave the University, the security of devices, and data retention requirements for research projects.

Resolved: to endorse the draft policy as a way forward in addressing Information Security issues.

10. HEALTH & SAFETY SUB-COMMITTEE

The University Secretary introduced the report of the Sub-Committee's meeting on 7 May 2013. In doing so he told the Committee that the senior management team planned to produce an action plan in response to the recent review of health and safety performance. He proposed that the action plan be considered by both the Audit and Human Resources Committees, and that the internal auditors be asked to review resulting actions as part of the 2013/14 internal audit plan.

The University Secretary also highlighted an issue arising within the College of Life Sciences as a result of historic modifications to a fixed installation that had led to pipework not being closed off. Members noted that the implementation of the new policy for the Alteration to Fabric, Systems or Fittings to University Buildings should prevent this issue from occurring in the future, but questioned the culture and reporting processes that had led to the faulty modification not being identified sooner.

Members suggested that the proposed internal audit should consider: the culture of reporting and awareness of incidents, the use of protective clothing and equipment, and Estates & Buildings support for basic maintenance in the context of the legacy of College-led installations occurring before the introduction of the policy for the Alteration to Fabric, Systems or Fittings to University Buildings.

Resolved: (i) to endorse the proposal that health and safety be included on the 2013/14 internal audit plan; and

(ii) for its part, to note the report.

11. EFFICIENT GOVERNMENT RETURN

The Committee received a copy of the University's submission to the Scottish Funding Council (SFC) as part of the efficient government initiative.

Resolved: to endorse the submission to the SFC.

12. RESEARCH COUNCILS UK FUNDING ASSURANCE PROGRAMME

The Director of Finance introduced the report from the Research Councils UK Funding Assurance Audit (RCUK FAP report). The audit was carried out every five years, and on this occasion the auditors had concluded that there was 'evidence of excellent processes around grant administration and compliance with regularity of expenditure'. The University had received the highest possible rating of 'substantial assurance on research integrity', and it was noted that there was tangible engagement and leadership from senior management.

Resolved: to note the report and congratulate those involved in delivering an excellent outcome.

13. LEGAL MATTERS

The Committee received a routine report detailing the current legal cases involving the University, including updates since its last meeting. Members noted that the University's Early Dispute Resolution (EDR) scheme had been effective in reducing the number of claims.

Resolved: to note the report.

14. ANNUAL REPORT ON INCIDENTS OF FRAUD

The Committee received its first annual report on incidents of fraud. Members commented that the report gave them confidence that the issue was being managed appropriately.

Resolved: to note the report.

15. COMPLIANCE WITH INFORMATION LEGISLATION: STATISTICAL SUMMARY REPORT

The Committee received an annual report from the University's Records Manager. The report set out the number and type of requests for information under current information legislation, and set this in the context of the Scottish higher education sector. It was noted that the number of requests continued to increase, with admissions being the area of highest interest.

Resolved: to note that the Committee was satisfied that the University was properly discharging its duties under relevant information legislation.

16. PRIVATE MEETING WITH AUDITORS

Members of the Committee met in private with the auditors to discuss the performance of the Committee and management in relation to audit matters.

Resolved: to note the discussions.

17. THANKS

Noting that the Convener would demit office before the next meeting of the Audit Committee, members expressed their thanks to him for his direction and leadership.

Members also noted that having served on the Committee for 8 year Mr John Barnett had reached the maximum period of co-option as a lay member of the Committee, and that Professor Ann Burchell would reach the end of her term of office on Court on 31 August 2013. The Committee thanked them for their insight and input and wished them well with their future endeavours.

Draft Information Security Policy and Guiding Principles

1. Introduction

- 1.1 This policy governs the security of information and records created, acquired or used by the University of Dundee, its staff, students or other stakeholders during the course of business. It concerns the security of information and records in all media and regardless of the device or system used to access, transmit, hold or manage that information.
- 1.2 The University's information will be secured in a manner appropriate to its sensitivity, in compliance with relevant legislation and regulation and in a manner that mitigates risk and permits the effective operation of the institution.
- 1.3 The University requires that all staff, students and other stakeholders respect the security of the information to which they have access and act appropriately.

2. Legislative and regulatory framework

- 2.1 This policy has been produced with reference to the Universities & Colleges Information Systems Association (UCISA) *Information Security Toolkit*.
- 2.2 Ensuring the proper security of information is part of the University's commitment to safeguard personal, business critical and other sensitive information to prevent misuse.
- 2.3 This policy supports the University's compliance with applicable legislation such as the Data Protection Act 1998, the Scotland Act 1998 (which incorporates most of the European Convention on Human Rights (ECHR)), the Regulation of Investigatory Powers (Scotland) Act 2000, and the Privacy and Electronic Communications (EC Directive) (Amendment) Regulations 2011 (see 9. Appendix below).
- 2.4 Related policies and guidance concerning the proper implementation of the responsibilities detailed below are listed in the Schedule attached to this document.
- 2.5 This policy was approved by University Court on [10 June 2013].

3. Audience

- 3.1 This policy is for the attention of anyone collecting, accessing, holding, using or transmitting information on behalf or under the instruction of the University of Dundee.

4. Purpose

- 4.1 This document provides a statement of the University's policy on information security.

5. Scope of this policy

- 5.1 This policy applies to all information created, received, transmitted or maintained by staff, students or stakeholders of the University of Dundee in the course of their duties or studies.
- 5.2 It applies to information, in any form, regardless of media or device, created, received or used by the University of Dundee in the transaction of business, conduct of affairs or pursuant to teaching, learning, research or public engagement activity.

6. Responsibilities

- 6.1 **The University of Dundee will:**
 - 6.1.1 Ensure that information will be secured appropriately and according to its sensitivity to mitigate risk, prevent breaches of confidentiality, failures of integrity or interruptions to its availability.
 - 6.1.2 Establish and maintain appropriate contacts with other organisations such as law enforcement agencies, regulatory bodies and network providers in respect of the security of University information.
 - 6.1.3 Establish and maintain procedures for business continuity based upon the criticality of systems, an evaluation of risk and the sensitivity of information.
 - 6.1.4 Manage its systems and processes to ensure that access to information is appropriate to the role, level and requirements of any position and that University officers and students are trained appropriately. This includes restricting or appropriately managing access for staff or students who are no longer employed or studying at the University.

- 6.1.5 Provide the frameworks, techniques, services and tools necessary for staff and students to evaluate the sensitivity of, and to secure appropriately, the information to which they have access.
 - 6.1.6 Ensure that the use of non-University services, tools and devices for the collection, management and transmittal of information do not represent a risk to the University and/or its information.
 - 6.1.7 Manage the configuration of and access to networks, systems, software and processes in a manner which ensures the security and integrity of University information and minimises the risk of loss, damage to or the inappropriate destruction of information.
 - 6.1.8 Ensure that all relationships requiring the exchange of information with, or the receipt of information from, third parties are governed by appropriate agreements which include explicit comment on the sensitivity of information, the requirement for security measures and the arrangements for the proper disposal of the information at the conclusion of any relationship.
 - 6.1.9 Consider explicitly the information security implications of new processes and systems and develop and maintain the measures necessary to mitigate any risks identified.
 - 6.1.10 Respond timeously to any reported breaches in information security or notifications of data loss, investigate and mitigate such incidents appropriately, and report any findings and/or recommendations as required.
 - 6.1.11 Investigate and respond timeously and appropriately to any reported deficiencies in the security of information.
- 6.2 **The Secretary of the University** has overall responsibility for the security of the University's information. In practice this is delegated to senior managers and specialist members of University staff.
- 6.3 **Senior managers and line managers must ensure that:**
- 6.3.1 All staff and students understand their responsibilities in respect of the security of information.
 - 6.3.2 The level of authorisation and access to information is appropriate to the role concerned.
 - 6.3.3 All staff and students use the techniques and tools provided by the University to ensure the security of the University's information
 - 6.3.4 Any use of non-University devices or services for the collection, management and transmittal of information by their staff is properly considered and measures are agreed to minimise potential risk to any person.
 - 6.3.5 The implications of any removal of information from Campus are considered fully and measures are agreed with staff to minimise the risk to any person or the loss, damage or destruction of that information
 - 6.3.6 Where risk is considered too great due to the sensitivity of information or the potential harm which would arise from its loss or misuse, the use of non-University devices or services for the collection, management and transmittal of information or the removal of information from Campus is prohibited.
 - 6.3.7 Any and all breaches or suspected breaches of information security or loss of data are reported timeously to appropriate University officers.
 - 6.3.8 They report appropriately any concerns regarding the security of the information brought to their attention by staff, students or other stakeholders.
- 6.4 **Individual employees must ensure that:**
- 6.4.1 Their actions do not jeopardise the security of information collected, received, managed or transmitted by the University in the transaction of business, conduct of affairs or pursuant to teaching, learning or research.
 - 6.4.2 They do not subvert access permissions to electronic data by sharing confidential passwords with other members of staff, students or others.
 - 6.4.3 Any and all breaches or suspected breaches of information security or loss of data are reported to senior managers immediately.
 - 6.4.4 They pro-actively identify and raise any concerns regarding the security of the University's information with senior managers.
 - 6.4.5 When using non-University devices or services for the collection, management and transmittal of information they consider the implications of this use and apply any measures necessary to minimise potential harm to any person.
 - 6.4.6 Where information is removed from Campus, they consider fully the implications of that removal and implement measures to minimise risk to any person or the loss, damage or destruction of that information.

- 6.4.7 Where risk is considered too great due to the sensitivity of information or the potential harm which would arise from its loss or misuse, they do not use non-University devices or services for the collection, management and transmittal of information or remove information from Campus.
- 6.4.8 They understand fully the sensitivity of the information with which they work and act appropriately.
- 6.4.9 They act at all times according to the letter and the spirit of the University's policies and procedures governing information security take no action that could be harmful to the interests of any person (including the University of Dundee).

6.5 **Students must ensure that:**

- 6.5.1 Their actions do not jeopardise the security of information collected, received, managed or transmitted during their learning or research.
- 6.5.2 They do not subvert access permissions to electronic data by sharing private or confidential passwords with other members of staff, students or others.
- 6.5.3 Any and all breaches or suspected breaches of information security or loss of data are reported to Deans of School or School Secretaries immediately.
- 6.5.4 They pro-actively identify and raise any concerns regarding the security of the University's information with their Tutors, Dean or School Secretary.
- 6.5.5 When using non-University devices or services for the collection, management and transmittal of information they considered the implications of this use and agree with their Tutors, Supervisors or Dean any measures necessary to minimise potential harm.
- 6.5.6 Where information is removed from Campus, they consider fully the implications of that removal and agree measures with their Tutors, Supervisors or Dean to minimise risk to any person where the loss, damage or destruction of that information could cause harm.
- 6.5.7 Where risk is considered too great due to the sensitivity of information or the potential harm which would arise from its loss or misuse, they do not use non-University devices or services for the collection, management and transmittal of information or remove information from Campus.
- 6.5.8 They understand fully the sensitivity of the information with which they work and act appropriately.
- 6.5.9 They act at all times according to the letter and the spirit of the University's policies and procedures governing information security and take no actions that could be harmful to the interests of any person (including the University of Dundee).

7. **Action in the event of a suspected breach of information security or data loss**

- 7.1 The first priority of the University in response to any breach of information security or data loss will be to mitigate the potential harm which could arise.
- 7.2 The University will normally follow the procedure outlined in the 'Procedure for Data Loss' unless circumstances require a different approach to prevent or minimise potential harm. This determination will be made by appropriate senior officers or specialist members of University staff (including, but not limited to, the Director of Legal Services, the Records Manager & Information Compliance Officer and the Information Security Officer); (see www.dundee.ac.uk/media/dundeewebsite/recordsmanagement/dataprotection)
- 7.3 The University will take all necessary steps to minimise the risk of further breaches in information security or data loss, including supporting and training staff, students and other stakeholders to minimise the potential for a repeat of genuine mistakes or human error.
- 7.4 Where a breach of information security or data loss arose from persons acting *ultra vires* or negligently, appropriate disciplinary action will be considered.
- 7.5 Where a breach of information security or data loss is found to have arisen from gross misconduct or wilful disregard for the security of information (leading to significant harm to any person), the penalty may include summary dismissal of staff or expulsion of students.

8. Relationship with existing policies

8.1 This policy is informed by:

The University's Strategic Vision (see <http://www.dundee.ac.uk/principalsoffice/strategy/> and <http://www.dundee.ac.uk/transform/>).

8.2 The Schedule attached to this policy details related University policy and provides guidance on meeting the requirements detailed in the responsibilities above.

9. Appendix – Applicable Legislation

9.1 This policy supports the University's compliance with the following applicable legislation. *The Data Protection Act 1998* which requires compliance with the following eight data protection principles, which specify that personal information must:

- a. Be processed fairly and lawfully;
- b. Be processed for limited purposes and not in any manner incompatible with those purposes;
- c. Be adequate, relevant and not excessive;
- d. Be accurate and, where necessary, up to date;
- e. Not be kept any longer than is necessary;
- f. Be processed in accordance with individual rights;
- g. Be secure;
- h. Not be transferred to countries outside the EEA without adequate protection.

The Scotland Act 1998 which incorporated most of the European Convention on Human Rights (ECHR) into Scottish legislation. The ECHR contains a number of fundamental rights which have a bearing on the management of information and makes it unlawful for a public authority to act in a way that is incompatible with the ECHR. The framework of fundamental rights, including the protection of an individual's right to privacy and family life, is not absolute but may not be interfered with except in accordance with the law, in pursuit of a legitimate aim, and as necessary in a democratic society. In essence, the greater the interference with an individual's privacy the higher the threshold required. This test is particularly relevant to the collection of information by covert or intrusive means, activity which is regulated by the Regulation of Investigatory Powers (Scotland) Act 2000 RIP(S)A and the Privacy and Electronic Communications (EC Directive) (Amendment) Regulations 2011.

APPENDIX 4

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 94(1))

A meeting of the Committee was held on 13 May 2013.

Present: Mr EF Sanderson (Convener), Principal Professor CP Downes, Professor RJ Abboud, Emeritus Professor A Burchell, Mr R Burns, Professor TA Harley, Ms J McGovern, Mr IDM Wright.

In Attendance: University Secretary; Director of Policy, Governance & Legal Affairs; Policy Officer (Corporate Governance).

Apologies: Dr J Lowe.

1. MINUTES

Resolved: to approve the minutes of the meetings of 25 March 2013.

2. MATTERS ARISING

(1) Academic Council Election to Court (Minute 6)

Resolved: to note the re-election of Professor Sue Black as an Academic Council member on Court in accordance with Statute 9(1)(h).

(2) Senate Election to Court (Minute 6)

Resolved: to note the re-election of Professor Trevor Harley as a Professorial member of Senate on Court, and the election of Dr Sam Crouch as a non-professorial member of Senate on Court in accordance with Statute 9(1)(g).

(3) Election of Independent Student Member of Court (Minute 9)

Resolved: to note the election of Ms Marija Tasevska as the Independent Student Member of Court in accordance with Statute 9(1)(k).

3. CORPORATE GOVERNANCE

[Members agreed that the Convener should remain during discussions].

The Committee considered the timing of the annual discussions on the performance and effectiveness of the Chair of Court and of Court itself. Members also reviewed the focal areas and example questions used in previous reviews. The Committee highlighted the importance of holding the review before the end of the academic year given the extent of the turnover in membership of Court at that point.

Resolved: (i) to agree that the review be scheduled at the start of the agenda of the meeting of Court on 10 June 2013; and

(ii) to approve the focal areas and questions used previously.

4. SCOTTISH CODE OF GOOD HE GOVERNANCE

The University Secretary introduced a draft consultation response to the Scottish Code of Good HE Governance. The response highlighted the University's support for the Code, while offering observations and suggestions for further improvement based on discussions held at the meeting of Court on 22 April 2013 and feedback received from members since.

The Principal highlighted discussions at the meeting of the Parliamentary Committee for Education and Culture on 7 May 2013. In particular, members noted a willingness by the working group which had developed the Code to consider amendments that would strengthen its approach. Members also considered the potential risk of legislation in addition to the Code of Good Governance or if the Government judged that the Code was not sufficiently progressive. Members were concerned that any resultant legislation that

led, for example, to the introduction of a single statute, the election of the Chair, or prescriptive diversity criteria might in some respects constitute a retrograde step for university governance.

Members agreed that the University should submit a response to the consultation, and that it should contain the suggestion that the 'explain clause' within the Code should be used only in exceptional circumstances. Following discussion, members also proposed that Principle 16 should be clarified to indicate the nature of the proposed externally-facilitated triennial review of the effectiveness of the governing body. Members suggested that a four-year cycle would be more appropriate for a full and intensive review of effectiveness, but accepted that external facilitation of the 'light-touch' annual review every three years would be appropriate.

Resolved: to circulate an updated draft response to all members of Court for comment and approval prior to its submission.

5. COURT & COMMITTEE MEMBERSHIP

(1) Meetings with Court Members

The Convener reported on his meetings as Chairman of Court with individual Court members. A number of meetings remained to be arranged, although the Convener was hopeful that these would take place before the end of the session. Feedback from members had been positive, although it had been highlighted that there was a need to ensure that all members engaged with discussions and contributed to debates.

Resolved: to note the report.

(2) Court & Committee Attendance

The Committee received a report setting out the attendance of individual Court members at Court and Committee meetings as well as their involvement in additional activities such as investigations and Grievance Committees. Members noted that attendance had generally been good, but any issues arising should be reviewed as part of the process of considering the reappointment of lay members of Court in October 2013.

Resolved: (i) to suggest the development of a document outlining areas for consideration when considering the reappointment of lay members of Court; and

(ii) otherwise, to note the report.

(3) Court Membership 2013/14

The Committee received confirmation of Court membership for 2013/14. Members noted that there would be at least one vacant lay position arising at the end of 2013/14.

Resolved: to note the membership.

(4) Convenership of Committees of Court

The Committee discussed options for convenership of the Human Resources Committee. Noting the discussions between the Chairman of Court and candidates for this position, the Committee recommended the appointment of Ms Christina Potter as Convener.

The Committee also discussed the convenership of the Finance & Policy Committee, Remuneration Committee and Audit Committee. The position of Convener of the Audit Committee would become vacant from 1 August 2013, while convenership of the Finance & Policy and Remuneration Committees would not become vacant until 1 August 2014. The Convener had spoken with the potential candidates identified at the last meeting, and after discussion the Committee recommended that Mr Jo Elliot be appointed as the Convener of the Audit Committee for a period of one year, at which time the convenership of the Finance & Policy, Remuneration and Audit Committees would be reviewed.

Resolved: (i) to recommend that Ms Christina Potter be appointed as Chair of the Human Resources Committee; and

- (ii) to recommend that Mr Jo Elliot be appointed as Chair of the Audit Committee for a period of 1 year from 1 August 2013.

(5) Committee Membership 2013/14

The Committee considered the membership of its Committees for the next academic year. In doing so, members were careful to ensure an appropriate balance of lay and elected members on Committees.

Resolved: to recommend to Court the memberships of its Committees for 2013/14 as set out in annex.

[Secretary's note: members were subsequently approached and indicated a willingness to serve on the Committees as indicated].

(6) Elections: Voting Information

The Committee received a report which set out the voting statistics for the elections to Court which had taken place during the session: Academic Council Assessor, President of the Students' Association (DUSA), Independent Student Court member, Graduates' Council Assessor, professorial member of Senate, and non-professorial member of Senate. The Committee expressed its disappointment at the low turnout in the student and Graduates' Council elections, and members noted that there was a need to improve student understanding of the role of the Independent Student Member of Court in particular.

Resolved: to note the report.

6. **GRADUATES' COUNCIL**

The Committee noted that, at its Annual Meeting in April, the Graduates' Council had approved a paper from its Business Committee which outlined its vision for the engagement of the Council with the University. As a result of the continuing poor level of engagement by graduates in the election of the Assessor on Court, the Business Committee sought the advice of the Governance & Nominations Committee on the most effective way of addressing their concerns that the current mechanism for ensuring appropriate graduate representation on Court did not conform to best practice standards.

The Governance & Nominations Committee was disappointed at the low level of engagement with the election and therefore the existing mechanism for appointment, but remained convinced of the value of having two Graduates' Council Assessors in membership of the University Court. They therefore suggested that the mechanism for their appointment should be changed from an election by the graduate body to a selection process involving proactive advertisement among graduates.

Members highlighted the need to maintain the valuable diversity brought to the Court by the Graduates' Council Assessors, and proposed that the selection process should be analogous to, but separate from, the process for co-option of lay members of Court, and that a distinct set of appointment criteria should be developed in partnership with the Business Committee. Furthermore, it was proposed that the short-listing and interview panel for Graduates Council Assessors should include at least an existing Graduates' Council Assessor on Court and the Chair of the Graduates' Council Business Committee representing the graduates alongside appropriate representation from the Governance & Nominations Committee.

Resolved: to prepare a recommendation for consideration by the Graduates' Council Business Committee on 18 May 2013.

7. **DATES OF MEETINGS 2013/14**

The Committee received the dates of the meetings for 2013/14. The Convener requested that the meeting scheduled for 30 September 2013 be rescheduled.

Resolved: to reschedule the meeting on 20 September 2013.

8. **REGULAR COURT REPORTS**

Members noted that the number of regular or annual reports to Court had increased and asked officers to consider the ongoing value, relevance, number and timing of these reports.

Resolved: to request that officers review the number and timing of regular reports to Court.

Membership of Court Committees 2013-14

Note: The Secretary of the University is responsible for ensuring that each Committee is provided with secretarial services by a member of the University's administrative staff. In addition other officers may attend for all or part of a meeting to provide information and/or to contribute to discussion. No officer, however, shall have voting rights on any Committee unless identified in this list as a member.

1. **Audit Committee (AC)**

Members

Mr Jo Elliot (Convener)
 Mr Keith Swinley
 Mr Ian Stewart
 Ms Sandra Morrison-Low
 Ms Bernadette Malone

Officers normally in attendance

Convener of Finance & Policy Committee
 University Secretary
 Director of Finance
 Director of Policy, Governance & Legal Affairs
 Clerk to Court (Secretary)
 Other officers at the discretion of the Director of Finance

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

Members

Mr Richard Burns (Convener)
 Principal
 Professor Rami Abboud
 Professor Sue Black
 Mr Ronald Bowie
 Mr Andrew Richmond
 Mr Eric Sanderson
 Mr Iain Wright
 President of the Students' Association

Officers normally in attendance

Convener of Audit Committee
 University Secretary
 Vice-Principal Learning & Teaching
 Director of Finance
 Director of Policy, Governance & Legal Affairs
 Director of Campus Services
 Director of Strategic Planning
 Clerk to Court (Secretary)

3. **Remuneration Committee (RemC)**

Members

Mr Richard Burns (Convener)
 Ms Shirley Campbell
 Mr Jo Elliot
 Mr Eric Sanderson

Officers normally in attendance

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

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

Mr Eric Sanderson (Convener)
Principal
Professor Rami Abboud
Mr Richard Burns
Mr Iain Wright
Dr William Boyd
Ms Bernadette Malone
Dr Sam Crouch
Ms Marija Tasevska

Officers normally in attendance

University Secretary
Director of Policy, Governance & Legal Affairs
Clerk to Court (Secretary)

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

Membership of the Committee is not normally made publically available.

6. **TASC Governing Body (Tayside Medical Science Centre)**

Ms Christina Potter

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

Mr Keith Swinley (Convener)
Mr Ian Ball
Dr Neale Laker
Mr Graham McKee
Mr Andrew Richmond

Additionally Mrs Sheila Krawczyk serves as an *employee*-nominated Trustee of the Scheme

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

Members

Ms Christina Potter (Convener)
Dr William Boyd
Ms Shirley Campbell
Professor Trevor Harley

Mrs Sheila Krawczyk
Professor Karl Leydecker
Professor Gary Mires
Dr Alison Reeves
Mr Denis Taylor

Officers normally in attendance

University Secretary
Director of Human Resources
Deputy Director of Human Resources (Secretary)
Other officers at the discretion of the Director of Human Resources

9. **Senior Management Team**

Members

Principal (Convener)
Vice-Principals
University Secretary
Director of Finance

Officers normally in attendance

Director of Human Resources
Director of Strategic Planning
Director of Policy, Governance & Legal Affairs
Other Directors of Student & Academic Support Services (at the discretion of the University Secretary)
PA to the Principal (Secretary)

10. **Internationalisation**

Mr Denis Taylor

11. **Wider Impact**

Mr Ronald Bowie

APPENDIX 5

HUMAN RESOURCES COMMITTEE
(Minute 95)

A meeting of the Committee was held on 20 May 2013.

Present: Dr Janet Lowe (Convenor), Professor S Black, Ms S Campbell, Mrs S Krawczyk, Dr H Marriage, Professor G Mires, Ms C Potter, Professor C Whatley.

In Attendance: University Secretary, Director of Human Resources & Organisational Development, Director of Finance, Deputy Director of Human Resources & Organisational Development, Mr Ajit Trivedi (for item 8), Mrs G Jones (Minutes).

Apologies: Dr A Roger.

1. MINUTES

The minutes of the meeting of 29 January 2013 were approved.

2. MATTERS ARISING

(1) Staff Survey (Minute 2(1))

The Director of Human Resources & Organisational Development updated the Committee on the implementation of the Staff Survey, advising that the questionnaire had now been finalised with Capita and, subject to the resolution of technicalities around its distribution, a launch date during the following week was anticipated. It was noted that the two focus groups had produced some very useful feedback.

Resolved: to thank Committee members for their input and to anticipate that staff would look forward to participating in the survey.

(2) Statute 16 Policies (Minute 2(2))

The Director of Human Resources & Organisational Development updated the Committee on the final stages of approval of the suite of policies linked to Statute 16 with the Campus Unions. The University Secretary advised that the agreed policies, once approved by Court, would apply to all academic-related and support staff with immediate effect, but to academic staff only once the Privy Council had approved the revised version of Statute 16. The latter approval could not be sought until the suite of policies had been finalised, as the Privy Council would want to be assured that the University had suitable procedures available to replace those previously set out in the Statute itself.

Resolved: to note the position.

3. UNIVERSITY VISION AND STRATEGY

The Committee received an update from the University Secretary on the University Strategy to 2017. He confirmed that the Director of External Relations was now working on a project to review the way the University marketed and branded itself aligned to the new vision and strategy. The Director of Human Resources & Organisational Development advised that in addition to the Staff Survey and the IT project to upgrade the HR management system, a senior staff development programme was being developed to support the Vision. The programme would be aimed at three groups of staff in the first instance: the Senior Management Team, Deans and Directors and 'emerging leaders'. An experienced consultant had been identified to run the in-house programme to be launched at the end of August 2013.

Resolved: to note the position.

4. FINANCIAL UPDATE

The Director of Finance reported that the University's current financial forecast for the year end was a surplus of £2 million and no significant changes are anticipated through to the end of the year. The Committee was advised that the University would need to aim for a 6% surplus over the coming years to

allow sufficient investment in key areas and that Colleges and SASS would need to tackle inefficiencies within their areas if this was to be achieved.

The Director of Finance reported automatic enrolment had been successfully implemented and that following the University's launch date of 1 May 2013, to date 30% of staff had opted, but more were anticipated to opt out at the end of the first month pay period. The University had budgeted on the basis of a likely 50% opt out. It was noted that the number of staff affected was fairly even across all staff groups but that there was a higher level of opt out at lower salary levels. It was confirmed that staff received good quality information regarding automatic enrolment in a number of different formats despite a poor response to the roadshows held on all campuses. The Director of Finance advised of his intention to run more regular roadshows to raise awareness of pension issues in general so staff could make informed decisions about their choices. It was noted that a number of other HEIs had offered staff access an alternative low cost option but that the University had decided not to do this and instead offer all staff access to the University scheme which had better benefits. This policy would be kept under review.

There was some discussion about the University's strategic investment in posts in advance of the REF. It was confirmed that the cost in recruiting to strategic posts was lower than anticipated in the current financial year, but the full cost would come through in future years. The University would monitor the impact of the new posts and its return on the investment.

Resolved: to note the position.

5. HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT

(1) Pay Negotiations 2013/14

The Director of Human Resources and Organisational Development updated the Committee on the national negotiations and advised that the most recent offer made by UCEA on behalf of the employer was 0.8%. It was noted that a JNCHES meeting was scheduled to take place the following day at which the unions would provide their response this offer.

Resolved: to note the position

(2) Living Wage

The Director of Human Resources & Organisational Development introduced the Living Wage papers that had been circulated to the Committee and confirmed that the University was being asked to take a view on whether the Living Wage should be implemented within the institution. The Committee was asked to comment on issues of principle for onward transmission to Court. In doing so, she advised that the University would have no influence over the body which sets the Living Wage, which was largely based on the consumer price index.

It was explained that one option available to the University was to become an accredited Living Wage employer. This would mean that the Living Wage would be paid and the institution would then abide by any Living Wage increases thereafter. It was highlighted that accredited Living Wage employers would also be expected to require businesses that they bought services from also to abide by the Living Wage. On this basis, the Committee concluded that seeking accreditation should not be recommended to Court.

It was noted that there was also an option of applying the Living Wage hourly rate without accreditation.

It was recognised that the University had an established position in relation to participating in national pay bargaining and there was a concern that the introduction of the Living Wage would impact on this and the national pay scale. The Committee noted that the campus unions had different positions on the Living Wage, with UNISON lobbying at both a national and local level, DUCU supporting this position verbally and UNITE wishing to support this through the national bargaining arrangements. The Director of Human Resources & Organisational Development advised that a further point to consider was the total reward package and the fact that the Living Wage took no account of other elements of pay and conditions such as normal working hours per week, sick pay, holidays and very beneficial pension arrangements. These were areas where the University was thought to be extremely competitive especially in the local market.

The Committee reflected on three options for the University:

- (a) to do nothing but to restate its commitment to abide by the national pay agreements; it was recognised that this may have reputational implications and might be viewed as being contrary to the University's willingness to be a good employer.
- (b) to disregard the bottom two points of the payscale and move all affected staff up to the third point on the scale. It was recognised that this would impact on the job evaluation mechanism and existing grading boundaries which underpinned the grading structure and cause 'knock-on' effects in relation to staff already on the third point of the scale in terms of equal pay for equal work;
- (c) to introduce the Living Wage rate but to keep grades 1 and 2 to avoid impact on the current grading structure.

It was noted that some concerns had been expressed that application of the Living Wage could be detrimental to staff on state benefits and that this could impact on a significant number of ancillary staff. The Committee felt strongly that decisions should not be made on the basis of eligibility to benefits and agreed that it was more important to pay a fair wage. There was therefore support for ensuring that staff in the University's lowest graded posts were paid in line with the Living Wage, but a very strong preference for remaining within national bargaining and for the issue to be considered as part of the national pay negotiations.

It was therefore suggested that, as a temporary step, a local point consistent with the Living Wage could be introduced as an interim measure, with the University reserving the right to retain points 1 and 2 and implementing only following the conclusion of the annual pay rounds.

- Resolved:**
- (i) to fully support the University's commitment to national pay bargaining and national efforts to reach an agreed position on the Living Wage.
 - (ii) to note the views of the campus unions.
 - (iii) to recommend to Court, as a point of principle, the maintenance of the existing points on the salary scale but with the insertion of a new point for the Living Wage following the conclusion of the annual national pay negotiations.
 - (iv) to recommend to Court that any decision should relate only to the Living Wage as currently set and that the University should reserve its position in relation to any future increases in the Living Wage.

(3) OSaR 2012/13

The Committee noted that guidance notes had been circulated to Colleges/SASS to explain changes in the way that OsaR information was to be issued, collected and collated. These amendments would assist in more accurate reporting to Court.

- Resolved:** to note that the University continues to take OSaR very seriously and all efforts to support this process were welcomed.

(4) HR/Payroll System Development

The Committee was updated on preliminary discussions and work with Symmatrix in relation to improvements to the University's HR/Payroll system. It was explained that HR remained very reliant on paper-based processes and that the development of a new version of the ORACLE product would provide an opportunity to introduce on-line solutions and to provide a better service to staff and managers. Processes that would move on-line include the fixed-term contracts renewal process, the monthly monitoring and reporting on individuals' right to work in the UK, probation, PVG and professional registration checks. The introduction of a new e-recruitment system would also enable an opportunity to review e-recruitment processes.

Managers would be provided with a dashboard of information about staff in their area ranging from absence management to OSaR rates and would have appropriate access to input and approve at School level. Self service would also be an option, whereby employees would be able to change and verify on-line their own personal details such as address, bank details and view their payslips. It was clear that this would deliver significant positive benefits, but require a major cultural change for managers and staff and that a focus on communication and training would be necessary.

In addition to the process efficiencies to be gained from the systems development, the Director of Human Resources & Organisational Development highlighted the benefits of enabling HR staff to focus more on HR-related issues rather than administration. The Committee was advised that Self Service was to be implemented as the first stage, followed by the HESA staff return process and then work would commence on the on-line payslips and the suite of management information.

Resolved: the Committee wished the project success and look forward to receiving progress reports in due course.

(5) Report from Organisational and Professional Development

A report from OPD was received. There was some discussion about the Leadership and Development Exchange for Researchers in the Scottish Universities Life Sciences Alliance (SULSA) and it was recognised that this provided excellent opportunities for staff at the early stages of their research career. The Deputy Director of Human Resources & Organisational Development highlighted that it was important that the University continued to invest in researcher development following the change in funding arrangements for postgraduate researchers and that individual institutions' investment in this area would continue to be monitored through surveys such as the RCUK's 'Researcher Development- impact of revised funding arrangements' It was confirmed that to ensure that the University did continue to meet its obligation in the respect of the researcher development agenda, a staff member within OPD would focus on ensuring the alignment of the OPD programme to the Research Development Framework.

Resolved: to note that the University's response to the RCUK's 'Researcher Development- impact of revised funding arrangements' survey would be considered at the next HR Committee.

(6) HEA Recognising Teaching Excellence Initiative

The Committee was pleased to receive a positive progress report on the 'HEA Recognising Teaching Excellence' initiative and looked forward to it coming to fruition under the leadership of the new Vice Principal for Learning & Teaching.

6. **MEDIATION/edr**

The Committee noted the level and quality of activity carried out by *edr* and its dissemination of good practice within and out with the University. The Committee discussed the number of mediations carried out over the 5 year period and recognised the likely (albeit intangible) cost savings of early dispute resolution in addition to the organisational benefits. The Director of Human Resources & Organisational Development confirmed that it was very useful to have *edr* as an option and furthermore to have this service provided to such a high standard.

Resolved: to commend the high quality service of *edr* and to note its value to the University.

7. **ATHENA SWAN**

The Director of Human Resources & Organisational Development reported that the University had been unsuccessful in its application for the Bronze institution-wide Athena SWAN award. The Committee noted that this was disappointing given the work put into the application and noted that a full-time appointment would be put in place to help support a resubmission in November 2013.

Resolved: to note that a resubmission would be made in November 2013.

8. **EQUALITY AND DIVERSITY**

Mr Ajit Trivedi, Equality and Diversity Officer presented his report and updated the Committee on the University's Public Sector Equality Duties (PSED) and the REF individual circumstances review process.

The report provided an overview of some of the key activities undertaken and progressed in relation to implementation of the equality and diversity agenda. In respect of PSED it was recognised that the Specific Duties in Scotland were more demanding than in England and Wales and it was explained that the main purpose of the Equality and Diversity Mainstreaming Report was to demonstrate how the University fulfilled its legal obligations under these duties and to report on progress of the Equality Outcomes Plan. This report had been published and was now available on the University website for comments and

feedback. Training was highlighted as a key area for shaping culture and it was emphasised that the equality and diversity e-learning modules were extensive (with 4-5 modules to complete) compared to other HEIs. The current 30% completion rate of the required modules compared favourably with other institutions. It was noted that this training had helped to support other initiatives such as the REF and Athena Swan. Mr Trivedi reported that three staff networks were now established within the University and a disability network was planned. It was confirmed that these networks were important not just to allow discussion of issues but also to allow appropriate consultation as required under PSED.

In connection with the REF, the Equality and Diversity Officer advised that the Individual Circumstances Review Group had reviewed 180 cases which included both defined and complex circumstances. The process to have individual circumstances considered would remain open until census date for newly-appointed staff. It was confirmed that an Equality Impact Assessment (EIA) would need to take place on the REF exercise itself and it was highlighted that guidance on conducting EIAs would need to be developed. Other points raised included the need for workshops for academics to provide an understanding of Equality, Diversity and Inclusiveness in the Curriculum and the fact that although equality data and monitoring of staff data was fairly complete, further work was required on student data.

The Committee agreed that it had received a very comprehensive plan and noted the role of the Committee in closely monitoring progress against the plan in the future. The Convenor reinforced the Committee's support of the training modules and that these should be promoted through the OSaR process. It was agreed that 30% compliance was already good progress.

- Resolved:**
- (i) to thank the Equality and Diversity Officer for his contribution, recognising that a significant amount of work had been required by him to support REF and the PSED.
 - (ii) to approve the Equality Outcome Plan 2013-2017 and to note and support the action points.
 - (iii) to support the encouragement of leaders and senior managers of the University to undertake responsibility for promoting the Equality and Diversity mandatory training activity.

9. HEALTH & SAFETY

The Head of Safety Services' report was considered and the HSE reportable dangerous occurrence at the College of Life Sciences which had been highlighted was discussed at length. While the incident had not led to exposure to harmful substances, the investigation into the occurrence had raised a number of issues such as the degree of reliance on the knowledge of individuals, rather than a documented system and the lack of training in the use of installations, issues around the reporting of faults and a weaknesses in having in place feedback loops to close off faults that were reported. The Committee noted that the recommendations following the investigation were being implemented, including ensuring that any similar installations were fit for purpose, inspected and maintained according to the manufacturers' instructions and in accordance with relevant legislation, and that there would be formal system established to ensure reported accidents/incidents had been resolved.

The Committee stressed the importance of creating a culture at the University where health and safety was high on the agenda and that senior management had a key role in ensuring that health and safety was taken seriously throughout the institution. In the context of these discussions, the external report on Health and Safety produced by Mr John Davies, MBE was considered.

It was noted that issues raised in the report had been discussed at length at the Health & Safety Sub-Committee and that an action plan was being developed to address the issues identified in the report. Agreed actions would be taken forward by the Senior Management Team and progress against the plan would be closely monitored. It was highlighted that there were some areas highlighted as displaying good practice that were making a significant contribution to that health and safety agenda such as Occupational Health and the Institute of Sport and Exercise and they were commended for their good work.

- Resolved:**
- (i) to note with concern the reportable dangerous occurrence at the College of Life Sciences and the issues raised around general Health and Safety compliance which needed further serious consideration.
 - (ii) to support the development of a detailed action plan to address the issues raised in the external report of Health and Safety which would be considered at future meetings of the Committee and reported to Court.

- (iii) to approve the minutes from the Health and Safety Sub-Committee held on 6 May 2013.
- (iv) to approve the new/revised safety policy arrangements on (1) Pressure systems and (2) Legionella and General Water Hygiene.

10. **LOCAL JOINT COMMITTEES**

- (1) The Committee received approved minutes of the University/UNISON/UNITE Joint Committee meetings held on 10 January 2013.
- (2) The Committee received approved minutes of the University/DUCU Joint Committee meetings held on 24 January 2013.

Resolved: to note the minutes.

11. **HERA GRADING REVIEWS**

A report was received detailing the final outcomes under the HERA Maintenance 2012 grading reviews.

Resolved: to note the report.

APPENDIX 6

REVIEW OF THE ETHICAL REVIEW COMMITTEE (MINUTE 97)

Background

The University

1. Members will be aware from the annual reports of the Ethical Review Committee and recent publications arising from Freedom of Information Act disclosures, that the University uses around 45-50,000 animals per year in legally regulated procedures. The majority, but not all, of these animals are accounted for by the need to breed lines of genetically altered rats and mice, which exhibit no apparent deviation from normal welfare. Nevertheless the numbers must be justified very carefully.
2. The University also uses smaller numbers of animals in non-regulated procedures, with animals being euthanised humanely - mostly as sources of fresh tissue for subsequent scientific experimentation.
3. Even smaller numbers are used in teaching programmes, limited to the prior humane euthanising of the animals for dissection or laboratory activities requiring fresh tissues.
3. Researchers at the University collaborate with colleagues in institutions scattered across the globe. Some of these collaborations involve the use of animals at these institutions, under other national and local legal and ethical frameworks than those in the UK. If these collaborations result in scientific publications or patents, then the University will be identified as a participating institution.
4. Whilst the application of the highest standards of animal care and the careful justification of any scientific intervention should be the norm in all these activities and institutions, the University's reputation rests on it being able to demonstrate that adequate oversight is applied, and is seen to be applied.
5. The Ethical Review Committee is charged with overseeing all aspects of the use of animals by the University. While the large numbers used in regulated procedures for scientific purposes must be the primary focus of its work, the Committee must take reasonable steps to monitor all the activities listed above.

The Law

1. The Animals (Scientific Procedures) Act 1986 was amended in 2012 to comply with Directive 2010/63/EU.
2. Prior to 2013 the University was required to have an "Ethical Review Process", but since the amended Act now must have an "Animal Welfare and Ethical Review Body".
3. Draft guidance on the operation of the amended Act was published in January 2013. The guidance is 100 pages long and it includes a list of the responsibilities of the University. It also includes the legally required membership of the Animal Welfare and Ethical Review Body and states that its roles are to: -
 1. promote awareness of animal welfare;
 2. provide a forum for discussion and development of ethical advice to the establishment licence holder on all matters related to animal welfare, care and use at your establishment;
 3. consider standards of animal care and accommodation, including breeding stock, and the humane killing of animals;
 4. set up and regularly review procedures and protocols, including management systems, for monitoring, reporting and following up on the acquisition, welfare and proper use of animals at your establishment;
 5. support named people, and other staff dealing with animals, on animal welfare and ethical issues;
 6. promote the development and uptake of the 3Rs (replacement, reduction and refinement) and advise staff how to apply them;
 7. review all proposals for project licences from a local perspective, consider that the 3Rs of replacement, reduction and refinement are being applied and advise the establishment licence holder on their acceptability, bringing local knowledge and local expertise to bear;

8. throughout the lifetime of projects, follow their development and outcome, including those requiring retrospective review, so that lessons learnt can be used to further apply the 3Rs of replacement, reduction and refinement;
9. advise on rehoming animals including appropriate socialisation;
10. respond to enquiries and consider advice received from the national Animals in Science Committee.

The Review

In December 2012 Court appointed a new Convener of the Ethical Review Committee and requested that the Convener carry out a review of the Ethical Review Committee and report the findings to Court.

During the review the Convener has consulted with a variety of stakeholders including current and past members of the Committee, the Home Office Inspector, the Named Veterinary Surgeon, The Establishment Licence Holder, Project and Personal Licence holders and the Director of Biological Services.

Court's request for a review was timely as it coincided with amendment of the Animals (Scientific Procedures) Act. While the ERC is a Court committee, all changes to the committee's remit, role, policies and procedures in relation to its legal function as an Animal Welfare and Ethical Review Body also have to be approved by the Home Office Inspector (s) and Court should note that there may need to be further changes when the final version of the Home Office Guidance on the operation of the amended Act is published.

Summary of Major Changes

Proposed Composition of the Committee

As a result of changes to Government legislation, Home Office guidance on the attendees required for meetings of the Ethical Review Committee has been updated, these changes are reflected in the composition proposed below. Previously the Committee comprised of a large pool of academics who were not expected to attend all meetings, this number has now been reduced and members are expected to regularly attend all scheduled meetings. In addition the number of lay members has been increased from one to three members (including two members of Court).

Convener (appointed by the Court)
 Named Veterinary Surgeon
 Named Animal Care & Welfare Officers, at least one of whom must be present at every meeting
 Project/personal licence holders, who should be senior researchers with the expertise to deal with the Committee's business. At least two must be present at every meeting
 Non-scientific members (including members of the University Court), at least one of whom must be present at every meeting
 Establishment Licence Holder
 Director of Biological Services
 Other members, co-opted as necessary
 Home Office Inspector (having the right to attend any meeting as an observer)

It is proposed that the names of the individuals comprising the non-scientific members (including two members of Court) and the Licence holding senior researchers will be submitted annually to the Governance and Nominations Committee prior to approval by Court.

It is proposed to have a pool of six Scientific Advisors (normally three for each of the two major Colleges that are involved in Biomedical Research) to undertake peer review of Licence applications.

Meetings of the Committee

Previously the ERC met once a month and reported to Court once a year.

Changes that are proposed are:-

Four meetings of the Committee shall be scheduled in each year

The Committee shall report after each scheduled meeting to the University Court.

The Committee may decide to reschedule or cancel a meeting, or to hold further *ad hoc* meetings

The Committee may choose to conduct various items of business by email or other electronic means, in the intervals between scheduled meetings. The relevant documents shall be circulated to all members of the Committee by the Director of Biological Services. Discussion, requests for further information and recommendations will be aired in an electronic discussion group to which all members of the Committee will belong. Any member of the Committee may request the request Convener to move the item of business to a scheduled or *ad hoc* meeting of the full Committee, instead of it being dealt with electronically in this manner. For a decision to be deemed to have been made, such responses must have been received from a 'quorum' group, similar to that required at physical meetings.

Standing items of business at each scheduled meeting will include a discussion of the training and competence of those working with animals and a report from the Named Veterinary Surgeon on matters relating to animal welfare.

The Director of Biological Services shall provide to the Committee, normally on an annual basis, summary statistics as to the numbers and types of regulated procedures carried out under project licences held by members of the University.

The Name of the Committee

In this context "Ethical Review" refers to the ethical review of project licences prior to submission to the Home Office for approval. The committee's role is now much wider than this including welfare, training and a range of ethical issues that are not related to project licences.

It is proposed that the Committee's name be changed from the "Ethical Review Committee" to the "Welfare and Ethical Use of Animals Committee", in order to reflect its wider role and remit

The Welfare and Ethical Use of Animals Committee

The University Welfare and Ethical Use of Animals Committee is responsible to the University Court and is empowered to take decisions on the Court's behalf. Its remit is:

To act on behalf of the Court in ensuring that the University meets its obligation under the Animals (Scientific Procedures) Act 1986 (amended 2012 to comply with Directive 2010/63/EU), to maintain an ethical review process, and to determine policy on all matters relating to animals on University premises.

The Committee's terms of reference within this remit shall be as follows:

- a. to promote high standards of animal welfare throughout the University;
- b. to assist members of the University in applying the "three Rs" (replacement, reduction and refinement) of animal use, consistent with good science, animal welfare and the provisions of the Animals (Scientific Procedures) Act 1986 (amended 2012);
- c. to review all applications for projects under the Animals (Scientific Procedures) Act 1986 (amended 2012), and to advise the Establishment Licence Holder whether they should be approved for formal submission to the Home Office;
- d. to conduct reviews of existing projects, at such times as the law may require and the Committee see fit;
- e. to review those projects that do not require legal approval, but use living animals (or animals killed specifically for the purpose) in research or teaching;
- f. to review the supply of animals to overseas institutions and the use of animals in collaborative research projects with such institutions (i.e., projects where it is expected that the University will be identified in publications or patents);
- g. to oversee the provision of appropriate training for all persons involved in the use of animals;
- h. to provide a forum for discussion of issues relating to the care and use of animals (whether regulated by the Act or not) and to keep staff up to date with ethical advice, best practice and relevant legislation;
- i. to produce policy documents and other guidance for members of the University who need to work with animals.

APPENDIX 7

COMMUNICATION FROM THE SENATUS ACADEMICUS (Minute 98)

1. PRINCIPAL'S REPORT

The Senatus received a report from the Principal on issues arising from the most recent meetings of the Senior Management Team.

In his introduction to the report the Principal reflected on the growing influence of the Vision on the University's strategic decision making and noted that over the past year the Colleges had invested in high-quality appointments which had attracted the very best applicants in line with the University's ambitions.

On the challenges of Enhancement-Led Institutional Review (ELIR) and the Research Excellence Framework (REF) submission the Principal noted that both exercises had given the University opportunities to focus on excellence and enhancement and to take stock of the progress made towards the long-term goal of becoming Scotland's leading university.

The Principal also highlighted the timing of the spending review of the Scottish Government and outlined how Universities Scotland would continue to make the case for stability and argue against short-term funding decisions that might have damaging long-term consequences.

On the items in the appendix to the report, attention was drawn, in particular to the news that Principal Emeritus Sir Alan Langlands had been appointed as Vice-Chancellor of the University of Leeds. The Principal reported that he had congratulated Sir Alan personally and, on behalf of the University, had wished him well in his new role.

The Principal thanked those members of Senate stepping down or moving on over the summer months. He also asked Senate to join him in offering congratulations to Professor Tom Inns on his appointment as Director of Glasgow School of Art.

On a final note, the Principal welcomed the incoming Students' Association (DUSA) executive to their first meeting of Senate. He paid tribute to the outgoing student representatives for their hard work in supporting students and the University over the past year.

The Senatus decided: to note the Principal's report.

2. UNIVERSITY COURT

The Senatus received a communication from the meeting of 22 April 2013. The Principal asked Senate to note that the draft Scottish Code of Good Higher Education Governance had been published and had been generally well received, although the National Union of Students (NUS) and the University & College Union (UCU) had been critical on some aspects.

The Principal reported that Universities Scotland had argued against the need for legislation on HE governance issues before the Code had been fully implemented and its operational effectiveness properly reviewed.

The Principal also asked Senate to note the launch of the Offshore Renewables Institute (ORI) and the Scottish Food Security programme in collaboration with HE and industry partners.

The Senatus decided: for its part, to approve the report.

3. ENHANCEMENT LED INSTITUTIONAL REVIEW (ELIR)

The Senatus heard a presentation and received a report from the Deputy Principal (Learning & Teaching).

The Principal thanked the Director of Quality Assurance and the Deputy Principal (Learning & Teaching) for their leadership of the process and noted that the enhancement-led approach of the Quality Assurance Agency (QAA) in Scotland was widely regarded as a trusted and effective method for reviewing quality, standards and enhancement in learning & teaching.

Members of Senate asked for clarification of the purpose of the two visits and on the range of possible outcomes. In response, the Deputy Principal explained that the first visit would be a scoping exercise to enable the Review Team to plan a detailed timetable for meeting staff and students during the second investigative visit.

The Deputy Principal also explained that the process of review and reflection was just as important as the published judgement of institutional effectiveness. The Deputy Principal argued that the approach to quality enhancement at the University must involve students as significant partners. He said that excellence in learning and teaching was about enhancement and giving students an ever improving academic experience. To do that, the University had to reflect on its own innovation, sharing practice and debating across the institution what worked and what did not. He emphasised that our students were a fundamental part of that debate, not just a voice, but significant contributors to the University's approach to enhancement. After all, it would be they, along with their futures, who, in the end, would make the judgement about excellence.

Senate members were encouraged to review and comment on the accuracy and authenticity of the draft Reflective Analysis, available in My Dundee, as it developed over the summer months.

The Senatus decided:

- (i) to endorse the approach taken by the ELIR Steering Group.
- (ii) to authorise the Vice-Principal (Learning & Teaching) to approve and submit the final Reflective Analysis and Advance Information Set after validation by the Senior Management Team.

4. EMPLOYABILITY, ENTERPRISE & ENTREPRENEURSHIP COMMITTEE

The Senatus received a report from the Employability, Enterprise & Entrepreneurship Committee meeting of 2 May 2013.

The Secretary introduced the report and asked Senate to note that (i) the Committee had decided to apply for the Times Higher Education (THE) Entrepreneurial University of the Year; (ii) that plans to develop a staff/student Enterprise Hub facility were advancing and; (iii) that the Vice-Principal (Employability) would attend each College Board to help integrate the work of the Committee with College strategy.

The Senatus decided: to note the report.

5. RESEARCH COMMITTEE

The Senatus received a report from the Research Committee meeting of 9 May 2013.

The Vice-Principal (Research) introduced the Report and asked Senate to note the success of the recent series of Pollinate workshops to encourage cross-discipline collaborations in the development of research funding applications.

Senate was also asked to note progress on REF submission decisions and that current projections indicated that approximately 400 staff would be submitted.

The Principal asked Senate to join him in thanking the Vice-Principal, the Director of Human Resources and the REF Management Team for their leadership of the process and noted that the importance of REF in determining future funding was already visible in Scottish Funding Council (SFC) decision making.

The Vice-Principal also asked Senate to note that research grant income remained healthy (although slightly below the record levels seen in 2012/13) and a broader range of disciplines had been successful in bids for European Framework 7 (FP7) funding.

In response to questions from Senate members the Principal and Vice-Principal confirmed that the initial Athena SWAN submission had not been successful but that feedback had been received and would be acted upon before resubmission in November 2013.

The Senatus decided: to note the report.

6. LEARNING AND TEACHING COMMITTEE

The Senatus received a report from the Learning & Teaching Committee meeting of 14 May 2013.

The Deputy Principal (Learning & Teaching) introduced the report and asked Senate to note the winners of the Chancellor's Lifetime Contribution to Teaching Awards - Dr Fiona Raitt (School of Law) and Dr Fraser Smith (School of Engineering, Physics & Mathematics).

The Senatus decided: to note the report

7. INTERNATIONALISATION COMMITTEE

The Senatus received a report from the Internationalisation Committee meeting of 14 May 2013.

The Deputy Principal (Internationalisation) introduced the report and attention was drawn in particular to the range of activities across the University that had been discussed by the Committee. The Deputy Principal asked Senate to note that guidance on international business development would become available over the summer enabling Deans to contribute to the planning process for 2013/14.

The Senatus decided: to approve the report.

8. CENTRE FOR ANATOMY & HUMAN IDENTIFICATION (CAHID)

The Senatus received a paper proposing that CAHID move from the College of Life Sciences to the College of Art, Science and Engineering (CASE).

The Principal introduced the paper and commended the proposal to Senate as a recognition of the academic synergies between CAHID and expertise to be found in the art, computing and engineering disciplines in CASE.

The Principal explained that the Centre would not move physically and that Professor Sue Black would remain as Director. In addition Senate heard that Professor Black would also become Deputy Principal (Public Engagement) in recognition of her distinguished record in communicating the work of CAHID and the University to a wider public audience.

Senate members from the College of Art, Science and Engineering expressed support for the move and welcomed the increased opportunity for interdisciplinary collaboration.

The Senatus decided: to approve the move of CAHID to the College of Art, Science and Engineering from 1 August 2013.

9. SENATE REGULATIONS

The Senatus considered changes to Senate Regulations that would enable the election of members of Academic Council to serve on Senate and/or the University Court to take place by secure electronic methods at the discretion of the designated Returning Officer.

The Senatus decided: to approve the Regulations.

10. 2013 ELECTION RESULTS

The Senatus received a report of the results from elections held on 1 May 2013.

Each for a period of 4 years from 1 August 2013:

Elected by the Senatus to serve on University Court:

Professor Trevor Harley
Dr Sam Crouch

Elected by Academic Council to serve on the Senatus:

Dr Sam Crouch
Mr Kiran Oza

Elected by Academic Council to serve on University Court:

Professor Sue Black

The Senatus decided: to note the report.