

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 25 October 2004.

Present: Mr J R Milligan (in the Chair), Principal Sir Alan Langlands, Dr R J Abboud, Professor A Bissett-Johnson, Mr P K Burgess, Councillor L Caddell, Vice-Principal Professor J Calderhead, Professor S C Hunt, Mr B W M Johnston, Lord Provost J Letford, Professor A F Newell, Dr D S Robb, Ms E A Robertson, Dr A M Roger, Mr L A L Rolland, Mrs N Stewart, Dr M R Ward, Mr W Wilson, Mr I D M Wright and President of the Students' Association.

In Attendance: Vice-Principal Professor D H Boxer, Secretary, Deputy Secretary & Clerk to Court, Director of Finance and Director of Planning & Information.

The Chairman welcomed Dr Rami Abboud and Mr Fraser Millar (President of the Students' Association) as new members of the Court. He also paid tribute to his predecessor, Mr Larry Rolland, who had relinquished the Chair after two full terms of office, but who would continue to contribute to the work of the Court in his role as Chancellor's Assessor. The Chairman expressed thanks likewise to other members who had demitted office: Professor Norma Baldwin, who had retired from the University, and Ms Shona Main, who had been succeeded as Rector's Assessor by Ms Esther Robertson.

1. MINUTES

The Court decided: to approve the Minutes of the meeting on 14 June 2004.

2. MATTERS ARISING

(1) Amendment to Statute 9 – Co-opted Lay Members (Minute 22(2) – meeting of 15 December 2003)

The Court noted that the Privy Council had approved, by an Order dated 12 July 2004, the amendment of paragraph (1)(p) of Statute 9, replacing 'five representatives of the local community' with 'five other persons'.

(2) Outsourcing of Residences (Minute 70(1))

The Secretary reported that the transfer of the University's residences operation to Dundee Student Villages Ltd had been completed during the summer. He and the Director of Finance were Trustees of the company, of whom there had been one meeting so far. He confirmed, in answer to a question, that no significant problems had arisen regarding the transfer of the residences staff to their new employer.

(3) Academic Fixed-Term Contracts (Minute 70(3))

The Court received a copy of the detailed advice from the University Solicitor regarding procedures to be followed under Statute 16 in cases of redundancy and in cases where capability was the issue. It was confirmed that the Solicitor had recourse to specialist advice on employment law, if needed, from colleagues within Thorntons.

(4) Disposal of Gardyne Road Campus (Minute 70(5))¹

The Secretary reported that legal steps were now being taken to progress the sale of the Gardyne Road campus to Dundee College. Transfer of ownership was expected to occur in 2006, with the Faculty of Education & Social Work transferring to the main campus for 2006/07. It was noted that SHEFC would need to give formal approval for the disposal.

(5) SHEFC Merger Evaluation Report (Minute 72)

The Court received a note intimating the conclusion of the draft evaluation report, following the SHEFC visitation in June, on the implementation of the University's merger with the Dundee campus of the former Northern College. The Court agreed that the report's verdict was very satisfactory, although noting that it had yet to be approved formally by the Funding Council.

(6) Review of Physical and Inorganic Chemistry (Minute 76)

The Court received a note summarising the current position regarding the future of the nine members of staff of the Division of Physical & Inorganic Chemistry, following the Court's decision at its previous meeting that the Division should close by the end of the academic year 2004/05. While it was hoped that solutions could be found for all the individuals concerned, the Court was invited to establish a Redundancy Committee under Statute 16, in case it was needed. It was noted that this course of action had been recommended by the Human Resources Committee, whose Convener spoke in support of the proposal.

Members queried the costs associated with closing the Division and it was confirmed that substantial funds had been made available to facilitate the transfer of some of the staff to other universities. Further details were provided in relation to the status of some proposed transfers. Although concern was expressed about the negative repercussions of establishing a Redundancy Committee, it was emphasised that this was a statutory requirement which would protect the rights of individuals as well as the University's interests. Any delay in taking this measure would be detrimental on both sides, as academic staff were contractually entitled to 12 months' notice.

The Court decided: without prejudice to its commitment to try to find alternative employment for all the staff in the Division of Physical & Inorganic Chemistry, to establish a Redundancy Committee as recommended, whose members would be drawn from the pool already identified (see Minute 70(3) of the previous meeting).

¹ Ms Roberton declared an interest in her role as Chairperson of SFEFC.

(7) Membership of Court Committees 2004/05 (Minute 77)

The Court was reminded that, following revision of the committee structure as recommended by the Review of Court and Corporate Governance, committee membership for 2004/05 had been approved by correspondence with Court members in September. The membership list is attached (**Appendix 1**).

(8) Remit of Finance & Policy Committee (Minute 77)

The Court decided: to approve the addition of the following final clause to the remit of the Finance & Policy Committee: 'to review draft strategic planning documents and to consider their resource implications.'

(9) Merger of Funding Councils (Minute 78)²

The Court received a note on the current position regarding the Further & Higher Education (Scotland) Bill, which had been signed by the Minister on 30 September 2004. The Bill had been substantially changed from the early draft which had been the subject of consultation and the new version satisfactorily addressed the large majority of the objections made by Universities Scotland. The Principal commented that this outcome was very welcome and was a good example of the open, consultative approach adopted by the Scottish Executive and the Scottish Parliament. A cautionary note was sounded, however, as the Bill was still subject to debate in the Parliament, where undesirable changes could occur as a result of political compromises. There was an exchange of views about the broadening of the proposed role of the Scottish Public Services Ombudsman.

The Court decided: to commend the Principal and his colleagues in other institutions for having brought about such a significant redrafting of the Bill.

² Ms Robertson declared an interest in her role as Chairperson of SFEFC.

3. CHAIRMAN'S BUSINESS

The Chairman drew the Court's attention to the success of the Graduation events in June; to the University being named as Scottish University of the Year - as well as being shortlisted for UK University of the Year - by the Sunday Times Good University Guide, an achievement which brought credit to staff and students alike; and to the positive news in terms of student recruitment and the outcome of the Spending Review, further details on both of which matters were given in the Principal's Report.

The Chairman also intimated that, in order to fulfil his role more effectively, he was spending time familiarising himself with the University campuses and meeting senior members of staff. He invited members of Court to feel free to suggest what else he might usefully do as Chairman.

4. PRINCIPAL'S REPORT

The Court received a report from the Principal (**Appendix 2**), which was in written form for the first time, in accordance with the approved remit of the new Senior Management Team. Members welcomed this development. The Principal commented on the report and the following points arose in discussion:

- (a) With regard to the outcome of the Spending Review, an estimate was given of the additional funding the University might receive, although it was stressed that this was based on the uncertain assumption of proportional increases per institutional grant. Initial thinking was that part of the extra capital provision might be used to support faculties which had not benefited from the SRIF programme. The Court was warned, however, that this substantial increase in funding over the next three years should not be regarded as completely free for additional expenditure. The Convener of the Finance & Policy Committee pointed out that the Financial Strategy approved by Court envisaged surpluses increasing year-on-year: if these targets were not met, there could be a serious shortfall for the capital programme. Also, salary costs were rising faster than income and it was essential to avoid building up a cost base which could not be supported if the increased funding were not sustained beyond 2007/08. It was noted that another likely source of financial pressure was the increasing costs of pension schemes. Comments were exchanged about how to reduce costs and increase income, e.g. improving the recruitment of overseas students by responding with greater enterprise to world events.
- (b) The increased student intake in 2004 and indications of a reduction in dependence on Clearing were counterbalanced by a projected increase in the drop-out rate. It was confirmed that there were no particular 'blackspots' in recruitment and the aim was to increase quality in some areas by raising entry qualifications, while at the same time not compromising wider access. It was agreed that the reasons for non-completion were complicated and included factors such as students undertaking part-time employment to fund their studies. Addressing retention issues was an institutional priority which would receive concerted attention, once the ELIR process had been completed in November.

- (c) The Vice-Principal (Research & Enterprise) provided further information about developments in 'research pooling' across Scotland, indicating that the University was leading two bids, in Civil Engineering and in Creative Disciplines. Also, in addition to the three SRDG bids mentioned in the Principal's Report which were led by the University, there were currently eight more in which the University was a participating partner.
- (d) It was noted that the University's contribution to the start-up costs of Dundee University Press was £70k, comprising matching contributions from the Faculty of Arts & Social Sciences and central University funds.

The Court decided: to request an analysis by Faculty of student entry qualifications, retention rates and related data, for the next meeting.

5. REVIEW OF COURT AND CORPORATE GOVERNANCE

The Court received a set of papers addressing various requirements arising from the Review of Court and Corporate Governance. Mr Evans and the Secretary presented these documents and answered members' questions. A number of minor amendments were agreed in discussion.

- The Court decided:**
- (i) by 13 votes to 4, to approve proposed amendments to paragraphs (1) and (2)(a) of University Statute 9 concerning the composition of the Court, subject to confirmation at the next meeting and to subsequent approval by the Privy Council (**Appendix 3**);
 - (ii) assuming approval of the revised Statute by the Privy Council within the usual period, to endorse a proposed implementation date for the restructuring of the Court of 1 August 2005;
 - (iii) to approve a Statement of Primary Responsibilities for the Court (**Appendix 4**) and to keep it under regular review;
 - (iv) to approve a revised statement on the role and responsibilities of the Chairperson (**Appendix 5**) and a Code of Conduct for members of the Court (**Appendix 6**);
 - (v) to approve a revised Schedule of Delegation and Decision-Making Powers, reflecting the new committee structure and providing for increased delegation of responsibilities and powers to Senate, Court Committees and senior officers (**Appendix 7**);
 - (vi) while accepting that the appointment of a Director of Finance need not be a power reserved to Court, to stipulate that the Convener of the Finance & Policy

Committee should be involved in the appointing process;

- (vii) to approve proposals for the maintenance and development of links with particular stakeholder groups, viz. students, local authorities and other external bodies, consequent upon the restructuring of the Court and the abolition of the Student Services and External Relations Committees (**Appendix 8**);
- (viii) to note that the Court would be kept in touch with developments in external relations and student services through specific reports, occasional presentations by senior members of staff, and the reports on institutional and support services performance indicators.

6. MEMBERSHIP OF COURT

(1) Co-opted Lay Member

The Chairman reported that the Nominations Committee had identified, and ranked in order of preference, a number of potential nominees to fill the vacancy for a co-opted member caused by the translation of Ms Esther Robertson to the position of Rector's Assessor. None had as yet been approached. A report would be made to the Court as soon as possible.

(2) Non-Academic Staff Member

The Chairman congratulated Mrs Norma Stewart on her promotion to an academic-related staff grade. It was noted, however, that her promotion debarred her from continuing as the elected representative on Court of clerical, technical and manual staff and an election would be held during the current semester to identify a successor.

7. COURT MEMBERS – DEVELOPMENT OPPORTUNITIES

The Court received details of the Governor Development Programme for 2005, now organised by the Leadership Foundation for Higher Education, as well as a seminar in November for Board members of public bodies in Scotland. Members were invited to register with Mr Evans any interest they might have in these events.

8. STUDENT AND ACADEMIC SUPPORT SERVICES – PERFORMANCE INDICATORS

The Court received proposed strategic priorities and performance indicators for the student and academic support services in 2004/05, approved by the Monitoring Group of Court chaired by Professor Alan Newell. Reports against the performance indicators would be submitted to the Court meetings in February and June 2005.

The Court decided: to approve the strategic priorities and performance indicators.

9. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senatus on 13 October 2004 (**Appendix 9**).

- The Court decided:**
- (i) as advised by the Regulations Committee, to refer the proposed amendment to the regulations for the degree of BSc back to the Faculty Board of Medicine, Dentistry & Nursing, as it did not have the approval of the Convener of the BSc Degree Committee;
 - (ii) to approve proposals regarding new regulations for the degrees of MSc/MDes in Regeneration, Conservation and Sustainable Design and MSc/Foundation Diploma in English for Professional Communication, as well as amendments to the regulations for the degree of MSc (Ed Psych) - subject to evaluation and resolution by the Academic Secretary of comments on these proposals made by the Regulations Committee;
 - (iii) otherwise, to endorse the proposals for new and amended degree regulations;
 - (iv) to approve the other recommendations;
 - (v) in response to concerns expressed by certain members of Court regarding one of the candidates for an honorary LL.D degree at the Graduation ceremonies in June 2005, to invite officers to check existing rules regarding candidates who had been rejected on previous occasions;
 - (vi) otherwise, to note the report.

10. COMMITTEE REPORTS

(1) Emergency Committee

The Court received a note reporting the decision of an Emergency Committee, constituted in accordance with Minute 81(4) of the Court meeting on 14 June 2004, to make provision for the payment of backdated employer's contributions, at an estimated cost of £194k, for past and present part-time employees who had become eligible to enter the University of Dundee Superannuation and Life Assurance Scheme following a ruling by the House of Lords in 2001. In answer to a question as to why such a decision had not been taken any earlier, the Director of Finance explained that the University's external auditors had been reluctant to sanction the provision in 2003 as the number of claimants had not been clearly identified.

(2) Audit Committee

The Court received the report of a meeting of the Committee on 28 September 2004 (**Appendix 10**).

The Court decided: to approve the report.

(3) Human Resources Committee

The Court received the report of a meeting of the Committee on 5 October 2004 (**Appendix 11**).

In discussion it was noted that the working group on implementation of the Framework Agreement (item 3(2)) would consider how the funds awarded to the University for the realisation of a new pay and grading structure might best be used. It was confirmed that the University representatives appointed by Court on the University/DAUT Joint Committee (item 7(3)) were the Vice-Principal (Educational Development), the Secretary and the Director of Human Resources.

The Court decided: to approve the report.

(4) Campus Services Committee

The Court received the report of a meeting of the Committee on 7 October 2004 (**Appendix 12**).

The Court decided: to approve the report.

(5) Finance & Policy Committee

The Court received the report of a meeting of the Committee on 11 October 2004 (**Appendix 13**).

Concern was expressed about the claim against the University by Riverside Biosciences Ltd (item 11), although the Director of Finance explained that the bad debt provision which had been made was £274k (the subject of the

University's counterclaim), not £1.5m as might be inferred from the Committee's report. The Committee was monitoring the situation.

The performance of associated companies (item 12) also attracted comment. It was noted that a degree of risk in commercialisation activities was inevitable; regular monitoring, however, was carried out by the Finance & Policy Committee. The Court was reminded also that it now received, usually in February, an annual report on subsidiary and other related companies in which the University had a significant interest or responsibility.

- The Court decided:**
- (i) to invite the Director of Finance to review the general terms of research contracts to identify any scope for reducing the risk of bad debts;
 - (ii) otherwise, to approve the report.

11. UNIVERSITY OF DUNDEE (FORMER CNM STAFF) PENSION SCHEME

The Court decided: to approve the recommendation of the Trustees of the Scheme that Professor Sheila Hunt be appointed as a Trustee, following the retirement of Mr David Muir.

12. STAFF

(1) Exercise of Delegated Powers

The Court noted the appointment of the following:

(a) Chairs

Dr John A Peters	Personal Chair of Pharmacology	1 October 2004
Dr Mervyn J Rose	Personal Chair of Physical Electronics	1 October 2004

(b) Heads of Departments

Community Education	Mr Ian Fairweather	1 November 2004 – 31 July 2007
Economic Studies	Dr Catia Montagna	for three years from 1 August 2004
Education	Mr Peter Wakefield	for three years from 1 August 2004

(2) Deputy Secretary & Clerk to Court

The Secretary reported that, for reasons associated partly with the recent Review of Court and Corporate Governance, the title of Mr Peter Evans had

been changed from Administrative Secretary to Deputy Secretary & Clerk to Court.

APPENDIX 1

MEMBERSHIP OF COURT COMMITTEES 2004/05 (Minute 2(7))

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**

Members

Mr Bill Sutherland (Convener)
Mrs Stephanie Brown
Councillor Margaret Taylor
Ms Jacqui Thomson
Mr Willie Wilson

Officers normally in attendance

Convener of Finance Committee
University Secretary
Director of Finance
Deputy Secretary & Clerk to Court (Secretary)
Other officers at the discretion of the Director of Finance

2. **Campus Services Committee**

Members

Mr Larry Rolland (Convener)
Professor Alastair Bissett-Johnson
Professor Ann Burchell
Mr Philip Burgess
Dr Brenda Gillies
Professor Alan Newell
Dr David Robb
New lay member of Court
President of Students' Association or his nominee

Officers normally in attendance

University Secretary
Director of Campus Services
Director of Finance or his nominee
Deputy Secretary & Clerk to Court
Mrs Jennifer Donachie (Secretary)
Other officers at the discretion of the Director of Campus Services

3. **Ethical Review Committee**

Members (note: most of the membership comprises a pool, from which members are drawn for each meeting)

Professor John McEwen (Convener)
Dr Simon Arthur
Professor David Balfour
Professor Alastair Bissett-Johnson
Mr Derek Black
Professor Julian Blow
Professor Ann Burchell
Professor Alan Fairlamb

Dr Nick Fyfe
 Mr Ian Hunter
 Professor Birgitte Lane
 Mr John MacLeod
 Mrs Lorraine Malone
 Ms Vicki Murray-Tait
 Mr Andrew Newman
 Emeritus Professor Ian Willock
 Professor Eric Wright
 Deputy Secretary & Clerk to Court
 Chaplain
 Director of Biological Services

Officer normally in attendance

Ms Amber Higgins (Secretary)

4. **Finance & Policy Committee**

Members

Mr Bruce Johnston (Convener)
 Principal
 Vice-Principal (Professor David Boxer)
 Professor Sheila Hunt
 Mr John Milligan
 Ms Alison Newton
 Dr Martyn Ward
 Mr Iain Wright

Officers normally in attendance

Convener of Audit Committee
 University Secretary
 Director of Finance
 Deputy Director of Finance
 Director of Planning & Information
 Mr Gordon Campbell (Secretary)

5. **Human Resources Committee**

Members

Ms Esther Robertson (Convener)
 Vice-Principal (Professor James Calderhead)
 Dr Rami Abboud
 Councillor Lorraine Caddell
 Mr Davidson Chademana
 Dr Angela Roger
 Professor David Rowley
 Mrs Norma Stewart

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

6. **Nominations Committee**

Members

Mr John Milligan (Convener)
Principal
Professor Sheila Hunt
Mr Bruce Johnston
Ms Esther Robertson
Mr Bill Sutherland

Officers normally in attendance

University Secretary
Deputy Secretary & Clerk to Court (Secretary)

7. **Remuneration Committee**

Members

Mr John Milligan (Convener)
Ms Alison Newton
Ms Esther Robertson
Mr Bill Sutherland

Officers normally in attendance

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

8. **Senior Management Team**

Members

Principal (Convener)
Vice-Principals
Deputy Principals (at the discretion of the Principal)
Deans of Faculties
University Secretary
Director of Finance
Other Directors of Student & Academic Support Services (at the discretion of the University Secretary)

Officer normally in attendance

Mrs Susan Rothwell-Smith (Secretary)

9. **University/NHS Strategic Liaison Committee**

University Members

Principal (alternate: Vice-Principal, Professor David Boxer)
Dean of the Faculty of Medicine, Dentistry & Nursing
Dean of Dentistry
Dean of Nursing & Midwifery
University Secretary

APPENDIX 2

PRINCIPAL'S REPORT (Minute 4)

Senior Management Team

1. The Senior Management Team has been set up in line with the agreed recommendation of the University Court's Review of Corporate Governance. The Senior Management Team includes the Deans of each Faculty. Since the beginning of the academic year there have been two meetings involving the whole group of Deans, two meetings of a sub-group comprising the Deans of Law & Accountancy, Education & Social Work, Arts & Social Sciences and Duncan of Jordanstone College and one meeting of the Deans of Life Sciences, Engineering & Physical Sciences and Medicine, Dentistry & Nursing. The remainder of this note draws on these discussions.

2004 Spending Review

2. The Scottish Executive has announced the outcome of the Spending Review for the period 2005/6 – 2007/8. There is likely to be a 17% real terms growth in SHEFC spending during this period with the total allocation to Scottish higher education institutions rising to £1.028 bn by 2007/8. This compares with an 11% average across the Scottish Executive and a 14% uplift for further education. The sum of £150m has been ring-fenced as capital, mainly to support improvements in teaching infrastructure. The exact allocation of resources to institutions will not be known until March 2005 but we expect a considerable short-term improvement on the position set out in the Financial Strategy paper considered by Court in June 2004. The medium term position – post 2006 – will have to be considered in light of the introduction of variable fees in England and the implementation of the new pay and grading system. It is not clear at this stage if the £150m ring-fenced capital sum will be incorporated into future baseline spending. Following discussions at the Finance & Policy Committee and the Senior Management Team, it has been agreed that the financial strategy should be reviewed in light of this new information but that it should continue to take account of the requirement to achieve an underlying surplus of 3% p.a. (compared to an estimated 0.7% for 2003/4) to support capital investment and the wider development plans for the University – this work to be completed by early 2005.

Learning and Teaching Issues

3. Student matriculation figures look strong and early indications show undergraduate numbers up in excess of 6% on last year. Confirmed figures are due in mid-November. Overseas students represent 8.7% of this year's entrants – that is an increase on the 7.4% of our overall undergraduate population last year. Postgraduate students matriculating for taught postgraduate courses increased by 35% (from 414 to 561) and overseas recruitment in this area increased by 79% (from 119 to 213). Early indications are that the University's dependence on numbers coming through the Clearing helpline has decreased and we await the confirmed figures due in mid-November. The projected drop-out rate published recently was 17% compared to the Scottish average of 16%. This issue requires continuing attention and, as recruitment numbers improve, it reinforces the requirement to raise entry standards to ensure that we recruit the highest quality students on merit and potential.
4. The QAA's Enhancement-Led Institutional Review of the University is under way. The Reflective Analysis (a self-assessment prepared by the University) was submitted by the end of August and the review team made a successful preliminary visit to the University on 6/7 October. The substantive review takes place over a three-day period in mid-November. The outcome of the review will inform detailed work on the further development of the University's learning and teaching strategy.
5. Progress towards centralised timetabling is continuing with the aim of implementing a wholly computerised system for timetabling teaching space by 2005/6. Consultation on the central timetabling policy is currently in hand. It has also been agreed that the Centre for Applied Language Studies should now operate under the auspices of the Faculty of Arts & Social Sciences. The functioning of the Postgraduate School is to be reviewed to take account of the charging regime for shared teaching, the medium and long term requirements for improved accommodation and the remit of the School in relation to faculty based initiatives.

Research and Enterprise Issues

6. Faculty and discipline-based research reviews are currently taking place to ensure the proper calibration of the University's research activity and to inform the strategy for the 2007/8 Research Assessment

Exercise. This outcome of these reviews should inform resource allocation decisions for the period 2005/6 – 2007/8.

7. SHEFC continues to encourage research collaborations across University boundaries through 'research pooling' and the SRDG (strategic research development grants) programme. The University is leading on the following SRDG bids:
 - Centre for resilience to vulnerability in children (education and social work)
 - Consortium for compound screening and library synthesis (life sciences)
 - Translational clinical imaging facility (medicine, dentistry & nursing)

The University does not have a central role in the Scottish 'research pooling' plans for physics and chemistry but is actively involved in plans or discussions about civil engineering, economics, creative disciplines and life sciences.

Student and Academic Support Services

8. Following discussions with the Deans, it has been agreed to set more explicit service levels under this heading and to review the relevant resource allocation and charging procedures in light of experience in 2004/5. Steps will also be taken to ensure effective communications between Court, the Finance & Policy Committee, the Senior Management Team and Senate.
9. The HR Director will consult on the procedures for appointing personal chairs including a proposal to replace the current system of ad hoc committees with a standing committee of professorial representatives from each faculty.
10. Dundee University Press, a publishing initiative taken in conjunction with Birlinn Ltd, was launched on 18 October 2004 with the publication of the first book bearing the Dundee University Press imprint – *The Architecture of Scottish Government: from Kingship to Parliamentary Democracy*.
11. Good progress is being made on a number of campus development issues including the construction of the Centre for Interdisciplinary Research and the Queen Mother building, completion of the DUSA building redevelopment, planning for the new Education and Social Work building, the Clinical Research Centre at Ninewells and new student residences. A full update on the capital programme will be submitted to Court at its first meeting in 2005.

APPENDIX 3

**PROPOSED AMENDMENTS TO STATUTE 9
(Minute 5)**

APPENDIX 4**STATEMENT OF PRIMARY RESPONSIBILITIES OF THE COURT
(Minute 5)**

The primary responsibilities of the Court, as the governing body of the University, are:

General

1. to oversee the management of all of the revenue and property of the University and to exercise general control over its affairs, purposes and functions, taking all final decisions on matters of fundamental concern to the institution;
2. to ensure the solvency of the University and to safeguard its assets;
3. to ensure compliance with the University's Charter, Statutes, Ordinances and other rules and regulations of the University, as well as UK and EU law where applicable;
4. to appoint the Principal and Vice-Chancellor of the University, including the terms and conditions attaching to the appointment, and to put in place suitable arrangements for monitoring his or her performance;
5. to ensure that the University is responsive to the interests of its stakeholders, including students, staff, graduates, the local community and funding bodies;

Strategic Planning

6. to approve the mission of the University and its strategic plans, setting out its aims and objectives in teaching and research and identifying the financial, physical and staffing requirements for their achievement;
7. to approve a financial strategy, long-term business plans and annual budgets;
8. to approve an estates strategy for the management and development of the University's land and buildings in support of institutional objectives;
9. to approve a human resources strategy and to ensure that reward arrangements for its employees are appropriate to the needs of the University;
10. to monitor the University's performance against approved plans and key performance indicators;

Exercise of Controls

11. to make clear and to review regularly the executive authority and other powers delegated to the Principal and Vice-Chancellor, to other senior officers and to other bodies of the University including the Senate and Committees of Court;
12. to ensure the proper use of public funds awarded to the University and observance of the terms of the Financial Memorandum between the University and the Scottish Higher Education Funding Council;
13. to establish and monitor effective systems of internal control and accountability throughout the University;
14. to oversee the University's arrangements for internal and external audit and to approve the University's annual financial statements;
15. to ensure that arrangements are in place for the proper management of health and safety in respect of students, staff and other persons affected by University operations;

Effectiveness and Transparency

16. to ensure, through the appointment of co-opted lay persons in accordance with the Statutes, a balance of skills and experience amongst the membership of the Court sufficient to meet its primary responsibilities;
17. to ensure that the proceedings of the Court are conducted in as open a manner as possible, with information and papers restricted only when the wider interests of the University (including legal and contractual obligations) demand;
18. to ensure that procedures are in place in the University for dealing with internal grievances, conflicts of interest and public interest disclosure;
19. to monitor its own performance and that of its Committees, with a formal evaluation of effectiveness undertaken not less than every five years.

APPENDIX 5**ROLE AND RESPONSIBILITIES OF THE CHAIRPERSON OF COURT
(Minute 5)**

1. The elected Chairperson of Court has a responsibility for ensuring that meetings of the Court proceed efficiently and effectively, with appropriate emphasis on Court's strategic and monitoring role and with due recognition of the executive management role of the Principal and other officers. The Chairperson should take particular care that the Court as a whole observes the Seven Principles enunciated by the Committee on Standards in Public Life.
2. Delegation of authority to the Chairperson should be recorded in Court Minutes, either in general terms or for specific purposes, with guidance on the extent of reporting back required. Where the Court has not made explicit provision for action to be taken on its behalf between meetings by the Chairperson or others, the Chairperson may act in cases of urgency or if delaying a decision would disadvantage the University. In such circumstances, when the matter is important, consultation with some or all members of the Court should be undertaken if possible. Any action taken by the Chairperson will be subject to a report made to the next meeting of the Court.
3. The Chairperson should have regular meetings with the Principal and the Secretary between meetings of the Court so that he or she is well informed about strategic issues affecting the University and on progress regarding the implementation of Court decisions. The Chairperson should also have regular meetings with Conveners of major Committees of the Court to coordinate and monitor the progress of Court business and to ensure that appropriate reports are made to the Court.
4. In collaboration with the Principal and the Secretary, the Chairperson should ensure that new members receive a full induction on joining the Court and that opportunities for further development for all members are provided in accordance with their needs (and at no cost to themselves). The Chairperson should meet with members of the Court on an individual and informal basis at least once annually to discuss their contribution and provide guidance if needed. The Chairperson is responsible for ensuring that members of the Court work together effectively and have confidence in the procedures laid down for the conduct of Court business.
5. As the leader of the governing body, the Chairperson is responsible for ensuring that the University is well connected, and responsive, to key stakeholder groups. The Chairperson also has a role in representing the University externally, e.g. at inter-university meetings of chairpersons and meetings with representatives of SHEFC.

APPENDIX 6

CODE OF CONDUCT FOR MEMBERS OF THE COURT (Minute 5)

1. The main responsibilities of the Court as the governing body of the University are set out in its Statement of Primary Responsibilities. Individual members of the Court should at all times exercise their responsibilities in accordance with the Seven Principles drawn up by the Committee on Standards in Public Life: selflessness, integrity, objectivity, accountability, openness, honesty and leadership.
2. While occasional absences, e.g. through illness, will be unavoidable, members of the Court should make every effort to attend and actively participate in all meetings of the Court, as well as meetings of its Committees to which they have been appointed.
3. The Court should exercise its responsibilities in a corporate manner, i.e. decisions should be taken collectively by all of its members acting as a body. Members should not act individually, or in informal groupings, to take decisions on Court business outside the constitutional framework of meetings of the Court, its Committees and properly constituted working groups. Members should seek to persuade fellow members through open debate and should register dissent if they believe that proposals before the Court are contrary to the University's interests. All members should exercise their responsibilities in the interests of the University as a whole: members elected or nominated by particular constituencies should not act as if delegated by the group they represent.
4. Members should take care not to become involved in the day-to-day executive management of the University, except insofar as members who are also employees of the University may have executive responsibilities as part of their normal duties.
5. Members of the Court should look to the Secretary of the University for guidance about their responsibilities under the University Charter, Statutes and Ordinances, as well as relevant legislation and the requirements of the Scottish Higher Education Funding Council. It is the responsibility of the Secretary to alert the Court if it is believed that any proposed action would exceed the Court's powers or be contrary to legislation or to the Funding Council's Financial Memorandum. In addition, the Principal carries a formal responsibility for advising the Court if any action or policy would be incompatible with the terms of the Financial Memorandum.

Conflict of Interest

6. The proper conduct of public business requires that members of governing bodies should act, and be perceived to act, impartially without being influenced by business or social relationships. If a member of Court has a pecuniary or personal interest in any matter to be discussed at a meeting of the Court or one of its Committees at which he or she is present, this should be disclosed at the beginning of the meeting - or during the course of the meeting if it becomes appropriate to do so. The mere fact of being an employee or a student of the University, however, does not constitute a pecuniary interest for this purpose. Having made a declaration of interest, a member is not thereby debarred from commenting or voting on the matter in question, although in some circumstances, depending on the nature of the involvement, members should consider whether it would be appropriate either to abstain from voting or to withdraw temporarily from the meeting.
7. Members of the Court should avoid becoming involved on an informal basis in decisions relating to procurements by the University. Any contributions to such decisions should be directed through formal channels so that they may be properly documented and open to wider scrutiny.
8. The University maintains a register of members' interests, which is updated annually and which is available for public scrutiny. The Court has stipulated that its members may not concurrently be members of the Courts of the Universities of Abertay or St Andrews. Membership of the governing body of any other higher or further education institution, or of a public organisation (e.g. local authority, NHS provider, non-departmental public body), should be subject to a declaration of interest – except where a member of Court has been nominated to such position as a representative of the University.

Communications

9. Papers for Court meetings should be regarded as confidential and should not be made available by members to non-members. Members may, however, inform themselves about an issue in advance of a

meeting through informal consultation. In accordance with the Court's policy on openness, copies of papers may be made available to anyone after the relevant meeting, but only through the Secretary, who may judge that certain information is too sensitive to be released. Minutes of Court meetings should also be regarded as confidential until they have been approved by a subsequent meeting of the Court.

10. Court papers and other communications to members of Court are issued only by the Secretariat. Members who wish to communicate formally with the Court as a whole or to propose that a matter is placed on the agenda for a future Court meeting should address their request to the Chairperson or the Secretary. Nor should members take it upon themselves to disclose decisions of the Court to interested parties; such decisions will be intimated formally by the Secretariat.

APPENDIX 7

SCHEDULE OF DELEGATION AND DECISION-MAKING POWERS (Minute 5)

Duration of Validity: With effect from 25 October 2004, and until such date as it may subsequently decide, the Court has reserved specific powers to itself and delegated others as set out in this Schedule.

Purpose: To define those decision-making powers that are reserved for specific levels of authority. The Schedule is not intended as a general description of roles, remits and responsibilities.

Coverage: Bodies and individuals involved in the management of the University.

Reporting Arrangements: It should be assumed that all significant matters are reported to the Court unless otherwise explicitly stated.

Vacation Powers: Court will determine arrangements for summer vacation powers at the final meeting of each session.

Delegated Powers: While the schedule identifies that certain powers are delegated to specific committees or individual office-holders, any committee or office-holder may decide that a particular issue requires to be ratified by a higher level of authority.

Named Deputies/Alternates: Where powers are reserved to individuals, it should be assumed that a nominated deputy or alternate may exercise the same power in the absence of the postholder.

Audit Committee: The Audit Committee has no formal decision-making powers. It may investigate any matters within its terms of reference with full access to information and University personnel. The Committee shall bring to the attention of the Chairperson of Court any matter of concern to the Committee.

Financial Limits: Where decision-making powers have been delegated with financial limits, these limits are escalated from individuals to another individual/body etc, as follows:

Capital projects: Secretary - Senior Management Team - Court
 Disposal of assets: Heads of Departments/Directors - Secretary - Court
 Business plans: Deans/Secretary - Senior Management Team - Finance & Policy Committee
 Contracts (non-research): Secretary - Principal - Finance & Policy Committee

1. **University Court**

Strategic and Financial:

- 1.1 Approve strategic plan, annual planning statement & financial forecasts & ancillary documents prior to submission to SHEFC
- 1.2 Approve financial strategy, including annual capital programme and annual budgets for faculties and support services (and in-year changes to budgets amounting to more than 1% of turnover)
- 1.3 Approve annual accounts, including those of subsidiary companies
- 1.4 Approve areas for reporting via Key Performance Indicators
- 1.5 Approve specific capital projects with an anticipated value of over £1m

Appointments:

- 1.6 Approve appointment of Chancellor (in consultation with Senate)
- 1.7 Approve appointment of Principal (in consultation with Senate)

- 1.8 Approve appointment of Vice-Principal(s) (in consultation with Senate)
- 1.9 Approve appointment of Secretary (in consultation with Senate)
- 1.10 Approve appointment of internal and external auditors
- 1.11 Approve appointment of co-opted members of Court
- 1.12 Approve membership of Nominations Committee

Dismissals:

- 1.13 Approve dismissal of academic staff, once procedure established by Statute and Ordinance has been completed

Other:

- 1.14 Approve changes to Charter and Statutes and new Statutes (in consultation with Senate and subject to Privy Council ratification)
- 1.15 Approve changes to Ordinances and new Ordinances (in consultation with Senate)
- 1.16 Approve creation and alteration of Faculties and their constitutions
- 1.17 Approve disposal of assets valued at more than £1m
- 1.18 Approve arrangements for making academic and academic-related posts redundant and approve any subsequent redundancies
- 1.19 Approve arrangements for superannuation of employees
- 1.20 Approve standing orders for operation of Court
- 1.21 Approve severance terms and substantial changes to pay and/or terms and conditions of the Principal

2. **Senate**

- 2.1 Approve Learning & Teaching Strategy
- 2.2 Approve Research Strategy
- 2.3 Approve degree regulations
- 2.4 Award degrees and other qualifications, including honorary degrees
- 2.5 Approve degree programme content and assessment methods
- 2.6 Approve appointment of members of Senate Committees
- 2.7 Elect Senatorial members of Court
- 2.8 Approve regulations for the admission of students to the University
- 2.9 Approve honorary appointments on recommendation of Faculty Boards/Principal & Deans Committee
- 2.10 Approve affiliation of Departments/Divisions/Schools to Faculties

3. Senior Management Team

- 3.1 Approve specific capital projects more than £500k, and up to £1m, in value
- 3.2 Approve business plans for projects involving non-capital spend with an annual value of more than £75,000 and up to £250,000
- 3.3 Approve projects for funding from the central Strategic Investment Fund
- 3.4 Approve requests from budget-holders to recruit staff
- 3.5 Approve early retirement and voluntary severance cases, where these are in line with agreed guidelines

4. Finance & Policy Committee

- 4.1 Approve business plans for projects involving non-capital spend with a projected annual value of more than £250,000
- 4.2 Approve non-research-related contracts or amendments/cancellation of contracts with a value of more than £250,000
- 4.3 Approve Financial Regulations
- 4.4 Approve student fee rates (home and overseas) after appropriate consultation
- 4.5 Approve guidelines for University investments
- 4.6 Approve changes to accounting policies

5. Human Resources Committee

- 5.1 Approve policies and procedures affecting human resources, including health and safety

6. Remuneration Committee

- 6.1 Define salary increases for professorial and equivalent academic-related staff, including the Principal
- 6.2 Determine early retirement and voluntary severance terms for members of staff, except the Principal
- 6.3 Approve exceptional removal & other expenses where the amount is greater than £5,000
- 6.4 Determine levels of honoraria for vice and deputy principals, deans of faculty and non-professorial heads of academic department

7. Nominations Committee

- 7.1 Approve appointments to other Committees of Court

8. Faculty Staff Review Groups (Academic)

- 8.1 Determine promotions to senior lecturer grade
- 8.2 Approve promotions to Lecturer Grade 'B', accelerated advancement and discretionary points
- 8.3 Approve confirmation of appointments following probation
- 8.4 Hear first stage appeals

9. Annual Review Group (ALC)

- 9.1 Determine promotions up to ALC5 grade

- 9.2 Determine accelerated advancement and discretionary points within ALC grades
- 9.3 Approve confirmation of appointments following probation
- 9.4 Hear first stage appeals
- 10. **Technical Staff Review Committee**
 - 10.1 Determine promotions, accelerated advancement and discretionary points within technical grades
 - 10.2 Hear appeals (with different membership) against decisions not to promote
- 11. **Clerical Staff Review Committee**
 - 11.1 Determine accelerated advancement and discretionary points within clerical grades
- 12. **Ethical Review Committee**
 - 12.1 Determine an ethical review process and policy on all matters relating to animals on University premises
- 13. **Faculty Boards**
 - 13.1 Elect representatives to Senate
- 14. **Academic Council**
 - 14.1 Elect representatives to Court
 - 14.2 Elect representatives to Senate
- 15. **Termination of Studies (Appeals) Committee**
 - 15.1 Receive and determine appeals from students against termination of their studies
- 16. **Undergraduate Appeals Committee**
 - 16.1 Receive and determine complaints and appeals by undergraduate degree candidates
- 17. **Principal**
 - 17.1 Appoint Deputy Principals
 - 17.2 Approve status of duly appointed Deans as budget-holders
 - 17.3 Approve appointment of budget-holding Heads of Department/Division/School
 - 17.4 Approve non-research-related contracts or amendments/cancellation of contracts with a value of more than £100,000 and up to £250,000
 - 17.5 Initiate procedures for promotion to personal chairs, readerships & ALC6 positions
 - 17.6 Approve membership of professorial and ALC6 appointing committees
 - 17.7 Approve promotions and appointments to chairs, readerships and ALC6 positions
 - 17.8 Approve formation of subsidiary, spin-out and associated companies
 - 17.9 Approve appointment of University employees as directors of subsidiary, associated and spin-out companies
- 18. **Vice-Principal (Educational Development)**

- 18.1 Exercise full disciplinary powers in relation to students (Ordinance 40)
- 19. **Deans of Faculty**
 - 19.1 Approve allocation of resources within the Faculty
 - 19.2 Approve expenditure within agreed budgets and in accordance with the Financial Procedures Manual
 - 19.3 Approve business plans for relevant projects involving non-capital spend up to an annual value of less than £75,000
- 20. **Heads of Department/Division/School (Budget-Holding)**
 - 20.1 Approve allocation of resources within Department/Division/School
 - 20.2 Approve expenditure in accordance with the Financial Procedures Manual
 - 20.3 Approve disposal of assets valued at less than £5,000
- 21. **Secretary**
 - 21.1 Approve specific capital projects up to £500k in value
 - 21.2 Approve arrangements for hearing appeals by students and members of staff
 - 21.3 Approve non-research-related contracts or amendments/cancellation of contracts with a value up to £100,000
 - 21.4 Approve business plans for relevant projects involving non-capital spend up to an annual value of less than £75,000
 - 21.5 Apply the University seal to documents as required
 - 21.6 Approve property leases (either as lessor or lessee)
 - 21.7 Approve disposal of assets valued at more than £5,000 and less than £1m
 - 21.8 Approve extended leave of absence for academic staff
- 22. **Directors of Student & Academic Support Services**
 - 22.1 Approve expenditure in accordance with agreed budgets and the Financial Procedures Manual
 - 22.2 Approve disposal of assets valued at less than £5,000
- 23. **Director of Finance**
 - 23.1 Approve changes to Financial Procedures Manual and Purchasing Manual
- 24. **Academic Secretary**
 - 24.1 Approve appointment of external examiners
- 25. **Deputy Secretary & Clerk to Court**
 - 25.1 Exercise responsibilities of Certificate Holder under Animals (Scientific Procedures) Act 1986
- 26. **Director of Research & Innovation Services**
 - 26.1 Approve research-related contracts or amendments/cancellation of contracts
 - 26.2 Approve licensing agreements on behalf of the University

APPENDIX 8

CORPORATE GOVERNANCE: LINKS WITH KEY STAKEHOLDERS (Minute 5)

At its meeting in June 2004, Court decided to wind up the External Relations and Student Services Committees. However, it asked officers to come forward with proposals on how the University would maintain and develop links with key stakeholders, including students, local authorities and other external bodies.

1. **Students**

Close working relations between the University and the elected representatives of the students are essential. Following discussion with the DUSA President, it is proposed that a liaison group be established comprising the Vice-Principal (Educational Development), Secretary, Director of Student Services, Academic Secretary, DUSA President, other DUSA sabbatical holders and the Sports Union President. The liaison group will meet three to four times a year. Reports on relevant matters will be provided to Court via the Secretary and DUSA President.

2. **Liaison with Local Authorities**

Liaison with Dundee City Council will continue at a variety of levels, more or less as at present. The Lord Provost or a representative of the Lord Provost will continue to be a member of the University Court.

Links with Fife Council, Angus Council and Perth & Kinross Council will be developed via annual liaison meetings. These will be organised by officers but will involve members of Court and elected councillors as appropriate. Annual meetings with Angus Council have already been instituted and these may provide a model for liaison with other authorities. Other, subsidiary links, through involvement in strategic planning exercises and specific initiatives, will also be sustained and developed. Matters of key significance to the University will be reported to Court.

3. **Liaison with Other Bodies**

Liaison with other key external stakeholders is chiefly the responsibility of the Principal. He will continue to draw on the support of senior officers and Court members where necessary. Regular updates on external links will be provided in the Principal's reports to Court. Liaison will also be maintained with public service bodies, as appropriate.

APPENDIX 9

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 9)

A RECOMMENDATIONS

1. REGULATIONS

- (1) As recommended by the Faculty Board of Medicine, Dentistry and Nursing, amendments be made to the BDS, BMSc and BSc (Dental Science) Regulations.*
- (2) As recommended by the Faculty Board of Medicine, Dentistry and Nursing, new Regulations be made for the Degree of BSc in Oral Health Sciences.*
- (3) As recommended by the Faculty Board of Life Sciences, amendments be made to the BSc Regulations to reflect curricular change.*
- (4) As recommended by the Faculty Board of Duncan of Jordanstone College, new Regulations be made for the Degree of MSc/MDes in Regeneration, Conservation and Sustainable Design.*
- (5) As recommended by the Faculty Board of Duncan of Jordanstone College, revised Regulations be made for the Degrees of BA and BSc (Architecture) to reflect modularisation.*
- (6) As recommended by the Faculty Board of Duncan of Jordanstone College, amendments be made to the Masters Degree Regulations in the Faculty to standardise requirements for progression and the award of distinction.*
- (7) As recommended by the Faculty Board of Education and Social Work, amendments be made to the BA(Hons) Social Work Regulations.*
- (8) As recommended by the Faculty Board of Education and Social Work, new Regulations be made for the Degree of MSc (English for Professional Communication).*
- (9) As recommended by the Faculty Board of Education and Social Work, amendments be made to the PGCE (Secondary) Regulations.*
- (10) As recommended by the Faculty Board of Education and Social Work, new Regulations be made for the Foundation Diploma for Postgraduate Studies (English for Professional Communication).*
- (11) As recommended by the Faculty Board of Education and Social Work, amendments be made to the MSc (Ed Psych) Regulations to reflect curricular change.*

2. HONORARY APPOINTMENTS

That the undernoted honorary appointments be made which have no financial implications:

- (1) as recommended by the Faculty Board of Medicine, Dentistry and Nursing:
 - (a) *Recommendations for unpaid honorary appointments (within the clinical and paraclinical grading scheme): appointments of staff based in NHS Tayside – appointments to run concurrently with substantive NHS appointments. (PC = Promotions Committee approval)*

Dr Robert S Dawe, Consultant Dermatologist, Ninewells Hospital and Medical School
Grading Recommended: Honorary Senior Lecturer (PC), Division of Medicine & Therapeutics

Mr David Exon, Consultant in Upper Gastrointestinal Surgery, Ninewells Hospital and Medical School

* Details not included here.

Grading Recommended: Honorary Senior Clinical Teacher, Division of Surgery and Oncology

Mr Murray Flett, Consultant Vascular Surgeon, Ninewells Hospital and Medical School

Grading Recommended: Honorary Senior Clinical Teacher, Division of Surgery and Oncology

Mr Quentin Gardiner FRCS, Consultant Otolaryngologist, Ninewells Hospital and Medical School

Grading Recommended: Honorary Senior Lecturer (PC), Division of Surgery and Oncology

Ms Fiona Greig, MSc, RGN, Consultant Midwife, Ninewells Hospital and Medical School

Grading Recommended: Honorary Senior Clinical Teacher, School of Nursing and Midwifery

Dr Lee Jordan, Consultant Histopathologist, Ninewells Hospital and Medical School

Grading Recommended: Honorary Senior Clinical Teacher, Division of Pathology and Neuroscience

Mr Janos Nagy, Consultant Vascular Surgeon, Ninewells Hospital and Medical School

Grading Recommended: Honorary Senior Clinical Teacher, Division of Surgery and Oncology

Dr Richard Stephen Nicholas, Grade B Physicist, Ninewells Hospital and Medical School

Grading Recommended: Honorary Clinical Teacher, Division of Pathology and Neuroscience

Mr Francesco Polignano, Consultant in Hepatobiliary Surgery, Ninewells Hospital and Medical School

Grading Recommended: Honorary Senior Clinical Teacher, Division of Surgery and Oncology

Dr Judith Sleeman, Division of Medical Education, University of Dundee

Grading Recommended: Honorary Lecturer (PC), Division of Medical Education

Mr Michael Sykes, Clinical Audit Facilitator, Tayside Audit Resource, NHS Tayside

Grading Recommended: Honorary Senior Clinical Teacher, Division of Community Health Sciences

- (b) *Recommendations for unpaid honorary appointments (within the clinical and paraclinical grading scheme): appointments of staff based outside Dundee – to be reviewed annually*

Ms Roslyn M Blair, Fife NHS Addiction Services, Cameron Hospital, Windygates

Grading Recommended: Honorary Senior Clinical Teacher, Division of Pathology and Neuroscience

Dr Robert A Humphreys, Paediatrician, Community Child Health NHS Fife, Leven Health Centre
Grading Recommended: Honorary Clinical Teacher, School of Nursing and Midwifery

- (2) as recommended by the Faculty Board of Engineering and Physical Sciences:
- (a) Honorary Lectureship for Dr M Green, Mathematics, 1 August 2004 - 30 September 2005.
 - (b) Honorary Lectureship for Dr G Callon, Electronic Engineering and Physics, 1 July 2004 - 30 September 2005.
 - (c) Honorary Research Fellowship for V Djepa, Electronic Engineering and Physics, 1 June 2004 - 31 May 2005.
 - (d) Honorary Lectureship for Mr N Murrell, Electronic Engineering and Physics, 1 September 2004 - 31 August 2007.
 - (e) Honorary Research Fellowship for Dr Steve McGuire, Electronic Engineering and Physics, 1 October 2004 - 30 September 2005.
- (3) as recommended by the Faculty Board of Law and Accountancy:
- (a) Mr David J Collison, as an Honorary Senior Lecturer in the Department of Accountancy & Business Finance, for three years from 1 September 2004.
 - (b) Mr Michael Solomon, as an Honorary Associate in the Centre for Energy, Petroleum and Mineral Law and Policy, for three years from 1 October 2004.
- (4) as recommended by the Faculty Board of Arts & Social Sciences:
- (a) Dr Sarah Glynn, Honorary Research Fellow in the Department of Geography, for one year from 1 October 2004.
 - (b) Ms Charlotte Lythe, Honorary Research Fellow in the Department of Economic Studies, for one year from 1 October 2004.
 - (c) Dr Steve Jones, Honorary Research Fellow in the Department of Economic Studies, for one year from 1 September 2004.
 - (d) Dr Derek McGlashan, Honorary Research Fellow in the Department of Geography, for one year from 1 October 2004.
 - (e) Professor Chen Xiangman, Honorary Research Fellow in the Department of Geography, for one year from 18 September 2004.
- (5) as recommended by the Faculty Board of Duncan of Jordanstone College:
Professor Kerstin Mey, Honorary Lecturer in the School of Fine Art until September 2007.
- (6) as recommended by Principal and Deans Committee:
Dr Ron McWalter as an Honorary Reader in the Faculty of Medicine, Dentistry and Nursing.

B REPORTS**1. UNIVERSITY COURT – 14 JUNE 2004**

On paragraph 10, the Principal's undertaking to provide a report of the work of the Senior Management Team was welcomed, along with his assurance that financial issues would also be included.

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

2. PROFESSOR EMERITUS

The Senatus decided: subject to the concurrence of Court, to confer the title of Professor Emeritus upon Professor R J Elder

C FOR INFORMATION**1. CENTRE FOR APPLIED LANGUAGE STUDIES (CALs)**

To note that Senate has approved that CALs should become a constituent department of the Faculty of Arts & Social Sciences and be re-named the School of Applied Linguistics and Language Studies (SALLS).

2. HONORARY DEGREES COMMITTEE

The Senatus decided that the Degree of LLD honoris causa be conferred upon the undernoted at the degree ceremonies in June 2005:

- Bono (Paul Hewson), U2 and debt-relief activist
- Professor Alasdair Breckenridge, Chair, UK Medicines & Healthcare Products Regulatory Agency
- Edward de Bono, psychologist and educator
- Ann Gloag, Stagecoach, Mercy Ships and TICR
- Baroness Susan Greenfield, Fullerton Professor of Physiology, Oxford
- Professor Julian Hunt, DG Meteorological Office
- Noerine Kaleeba, Vice-Chair Action Aid UK, Advisor UNAIDS
- Anish Kapoor, artist and sculptor
- Fred MacAulay, ex-Rector of the University
- Sir John Sulston, Nobel Prizewinner 2002 for Physiology or Medicine

and that the degree of DSc honoris causa be conferred upon:

- Sir James Black, Chancellor of the University

3. INTERNATIONAL WATER LAW RESEARCH INSTITUTE

To note that Senate has approved the establishment of the International Water Law Research Institute as a department within the Faculty of Law and Accountancy.

APPENDIX 10

AUDIT COMMITTEE (Minute 10(2))

A meeting of the Committee was held on 28 September 2004.

Present: Mr W Sutherland (Convener), Ms J M Thomson and Mr W Wilson.

In Attendance: Mr B W M Johnston, Secretary, Administrative Secretary, Director of Finance and (for item 5) Director of Registry; Mr G M Hay and Mr S Inglis (Henderson Loggie); Mr A Aitchison (Ernst & Young).

1. MEMBERSHIP OF COMMITTEE

It was noted that (although unable to attend this meeting) Councillor Maggie Taylor, a member of the Court, had been appointed to the Committee from session 2004/05, replacing Councillor John Henderson.

2. MINUTES OF PREVIOUS MEETING

Resolved: to approve the minutes of the meeting on 19 May 2004.

3. MATTERS ARISING

(1) Outsourcing of Residences – Accounting Treatment (Minute 2(2))

Mr Aitchison tabled a provisional report by the external auditors, pending a final review of the documentation relating to the outsourcing transaction (which had taken place in July). The auditors' view remained that Dundee Student Villages Ltd should be regarded as an associate company and that new builds should therefore be excluded from the University's balance sheet. It was confirmed that the final report would be made available to the Committee in due course.

(2) Joint VFM Studies (Minute 2(3))

The Director of Finance reported that he had met with his counterparts in Abertay and St Andrews Universities on several occasions. The scope of the proposed study on debt control had been agreed and passed to Henderson Loggie, although Abertay's internal auditors would also have to be involved. Doubts were expressed about the efficacy of the proposed modus operandi and it was suggested that this should be raised at the next joint meeting of Audit Committees, although no date had been fixed yet for the meeting due to be hosted by Abertay in 2004.

Resolved: to revisit the issue of joint VFM studies at the next meeting of Audit Committees - and to encourage the University of Abertay to arrange one as soon as possible.

(3) Security of Assets (Minute 2(5))

The Director of Finance confirmed that assets held by the Bank of New York, as the nominee of Gerrards, were located in New York.

Resolved: to invite the Director of Finance to enquire further about access and security arrangements relating to these assets, as well as indemnities, and to report back.

(4) Implementation of Commitment Accounting (Minute 4)

The Director of Finance reported that this initiative could not be progressed until office software in the Finance Office had been upgraded to Windows XP, as this was a prerequisite for testing the enhanced CODA system which would be the platform for the introduction of commitment accounting. The XP upgrade was expected to be implemented within a few weeks.

(5) DUSA Building Redevelopment – VAT (Minute 7)

The Director of Finance reported that the opinion of the University's advisers, RCB, was that the University contribution of £1.1m to the costs of the DUSA redevelopment was liable to VAT. If the University were to opt to tax the activities in the building, it would be possible to recover this VAT, although at the cost of reduced income from rents (which would have to include a VAT component). Nevertheless the net benefit would be c. £150k. To pursue this approach would mean redrafting the terms of lease to DUSA and the other tenants, as well as reviewing accounting arrangements.

Resolved: to invite the Director of Finance and the Secretary to examine further the feasibility of recovering VAT in the manner proposed.

4. ASSET MANAGEMENT

The Committee received a paper from the Director of Finance reviewing options for improving the systematic recording of assets across the University. These comprised: the status quo, i.e. departments being required to maintain inventories but without a central system; the adoption of a central system to be rolled out progressively to departments wishing to buy into it (estimated capital outlay £18k, with subsequent costs passed on to users); or the implementation of a University-wide system which would be mandatory for all departments (estimated capital cost £120k). It was noted that the general view of the Finance Directors of Scottish HEIs at a recent meeting was that the added value provided by a central asset management system was not worth the time, cost and recurring maintenance issues which were involved.

Resolved:

- (i) to continue with the status quo, which however should include taking a proactive approach to providing support for selected departments;
- (ii) to invite the Director of Finance to select up to four departments about which there were particular concerns relating to asset management and to examine how each of these could be assisted to improve their performance;
- (iii) to invite the internal auditors to reinforce to departments, in the course of their audit programme, the importance of compliance with the University requirement to maintain local inventories.

5. STUDENT DEBT CONTROL

The Committee received a paper from the Director of Finance reporting on various measures which had been taken, in consultation with the Registry and the Academic Secretary, to achieve tighter control of student debt from 2004/05. The key sanction which was to be introduced was the termination in mid-October of temporary matriculation arrangements for continuing debtors: the loss of matriculated status would entail the withdrawal of rights and privileges including use of services, particularly on-line services, which were essential to successful study. It was noted that in some cases the position of debtors could not be resolved before the end of November, pending confirmation of payment information from the Student Awards Agency for Scotland or the Student Loans Company. It was stressed, however, that access to essential services could still be withdrawn, even when a valid matriculation card was held.

A particular difficulty with entrant overseas students was highlighted, in that the University required settlement of fees before matriculation, either in full or by monthly direct debit arrangements, but UK banks (on account of money-laundering legislation) would not open accounts without proof of matriculated status. The Registry and the Finance Office were working together to find a solution to this impasse.

Resolved: to welcome the efforts made to improve control of student debt and to request that a progress report be made to the Committee's next meeting on the results achieved.

6. IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS

The Committee received a status report on all grade A/B internal audit recommendations due to be implemented by 31 August 2004. As before, issues considered to be of higher significance by the auditors were highlighted in the report. The Committee discussed various issues relating to outstanding recommendations. With regard to DUSA, it was confirmed that the Association was a separate body from the University and responsible for the management of its own affairs. The University nevertheless

had an overall duty of care, as well as its own reputational interest to protect, and a careful balance had to be struck between detachment and engagement.

- Resolved:**
- (i) to ask the Director of Finance to include the School of Nursing & Midwifery as one of the units to be given special help with the development of asset management capability (see minute 4, resolution (ii) above);
 - (ii) to invite the internal auditors to review, in the light of changing priorities, certain recommendations relating to Estates & Buildings and Research & Innovation Services;
 - (iii) following a further review of outstanding recommendations at the Committee's next meeting, to invite those heads of departments and directors of support services who had still not implemented recommendations regarded as significant to discuss with the Committee their reasons for non-compliance at the Committee's meeting in March 2005.

7. INTERNAL AUDIT REPORTS

The Committee received reports on the following assignments:

2004/06 Health and Safety
 2004/07 Dental School
 2004/08 School of Architecture
 2004/09 Centre for Applied Language Studies
 2004/10 Personnel Review - VFM Study

The Committee discussed each report in detail. Attention focused on health and safety in particular, arising from the report on that topic and also from the reports on academic departments. It was confirmed that the responsibilities of the Court in this area were exercised through the Human Resources Committee, which received reports from a Safety Sub-Committee. It was also confirmed that, despite the devolved responsibilities of faculties and support services and an emphasis on self-evaluation, policy on health and safety matters was determined at University level.

The Committee took issue with some of the recommendations in the Personnel Review, which it considered to be excessively centralised and bureaucratic.

- Resolved:**
- (i) to invite the Director of Finance and the auditors to work with the Dental School to resolve outstanding disagreements about recommendations on cash handling;
 - (ii) to invite the Director of Finance to report back on whether or not the proposed figure of £250, as a minimum value for inclusion of assets in departmental inventories, was appropriate for application across the University;
 - (iii) to invite the auditors to review their recommendations in the Personnel Review in the light of the Committee's reservations;
 - (iv) otherwise, to note the reports.

APPENDIX 11**HUMAN RESOURCES COMMITTEE
(Minute 10(3))**

A meeting of the Committee was held on 5 October 2004.

Present: Ms E A Robertson (Convener), Dr R J Abboud, Professor J Calderhead, Mr D G Chademana and Mrs N Stewart.

In Attendance: Mrs P A Milne, Dr T G Vickers, Dr L Walsh and Mrs J M Strachan.

1. MINUTES OF PREVIOUS MEETING

Reference to minute 9 was made and it was noted that Dr Roger was still a member of the Human Resources Committee by virtue of her membership of Court.

Resolved: to approve the minutes of the meeting on 18 May 2004.

2. MATTERS ARISING**(1) Fixed-Term Contracts (Minute 2(1))**

The Director of Human Resources confirmed that in response to the new regulations relating to fixed-term employees, the University had developed a policy regarding the use of fixed-term contracts and was currently in the process of reviewing current staff on this type of contract. Deans were being sent lists of staff and asked to justify why the contract was fixed-term. This information was then submitted to the Staffing Sub-Committee to ensure that it was satisfied with the justification. It was noted that this exercise had been completed for academic staff and had resulted in 49 contracts out of 95 being made permanent. The same process was now being undertaken for ALC and Other Related staff and this was nearly complete. Clerical, Technical and Manual staff would then be considered, followed by Research staff. It was hoped that by the end of February/beginning of March the exercise would be completed. It was noted that the action taken by the University in response to the Fixed-Term Regulations was welcomed by the unions and the University was commended for the action it had taken in this respect. It was recognised that Dundee was ahead of many other Universities in addressing the issue of staff on fixed-term contracts.

(2) Mediation (Minute 2(2))

The Director of Human Resources reported that over the summer, investigations had taken place into what was available in terms of mediation training. The options appeared to be either general awareness training or intensive courses leading to a recognised certificate. It was noted that the person appointed to the new post of Legal Counsellor was a trained mediator and it was suggested that this person could be used initially if mediation was required by the University; a decision could be made at a later stage as to whether more mediators should be trained.

(3) Residences (Minute 3(2))

It was confirmed that the transfer of residences to Sanctuary Housing Association had been completed successfully in July and that from a staffing perspective, everything had gone smoothly. It was noted that independent financial advice had been provided for staff. It was reported that the residences would now be managed by the Dundee Student Villages Board, whose membership comprised University, Bank and Sanctuary representatives.

(4) Policy Development: Capability Procedure and Tool (Minute 3(5))

The Director of Human Resources confirmed that DAUT was still to approve the final document and that it would be considered at the next Local Joint Committee meeting in November. It was noted that Unison and Amicus-MSF had requested sight of any changes made to the policy before it was finally approved.

3. HUMAN RESOURCES

(1) Human Resources Strategy

The Director of Human Resources confirmed that amendments to the Human Resources Strategy, as recommended by Court, had been made and that the document was now focused on the strategic objectives for the Directorate as a whole, rather than specific action points for the individual units. It was highlighted that the Human Resources Strategy had been developed taking cognisance of the University's Vision Statement and that it would provide a framework for identifying future aims and objectives for the Directorate and its performance indicators.

Resolved:

- (i) to amend the document to include comments made by the Committee (annex);
- (ii) to request that a report be submitted to the Committee each year, reporting on progress with the implementation of the Human Resources Strategy, together with separate report identifying actions completed and the proposed actions for the following year.

(2) Framework Agreement

It was reported that a Working Group had been set up to begin negotiations over the implementation of the Framework Agreement. Representatives from each of the campus unions were on the Group, in addition to University representatives. It was reported that at the first two meetings, the Working Group had discussed the issues that would have to be addressed in the course of the negotiations. A decision had been made to use HERA (Higher Education Role Analysis) as the preferred evaluation system for the University. In terms of HERA training, the Director of Human Resources confirmed that the University might look to collaborate with other universities which were also using HERA and which were at a similar stage in the process.

It was noted that the Scottish Heads of Personnel (SHOP) had recently made a bid to SHEFC for financial assistance for implementation of the Framework Agreement. The outcome of this bid was not known as yet.

It was confirmed that minutes and papers from the Working Group meetings would be posted on the Personnel Web site and it was agreed that, in advance of the next meeting, the University would circulate a proposed grading structure to initiate discussions.

Resolved: to note the position.

(3) Review of Estates and Buildings

It was confirmed that an internal review was taking place in Estates and Buildings. The Director of Campus Services was currently looking at what options were available and there would then be an evaluation of these options in due course. It was confirmed that the campus unions had been alerted to the review and confirmation had been given that full consultation would take place.

Resolved: to note the position.

(4) Physical & Inorganic Chemistry

There was some discussion about the closure of the Division of Physical & Inorganic Chemistry and the efforts that had been taking place to seek redeployment opportunities for those employed in the Unit.

It was noted that although a decision had been taken by Court in June 2004 to close the Division, no action had been taken regarding the setting up of a Redundancy Committee. Consequently, no formal notice had been served. It was noted that for academic staff the notice period was 12 months. It was highlighted that the issue of formally serving notice did need to be addressed, as the closure of the unit might result in some redundancies, despite the University continuing to look for alternative employment for staff.

Resolved: to note that the Committee supported the recommendation that a Redundancy Committee should be established and that formal notice should be served, while recognising that the University would not diminish its efforts in finding alternative employment for staff despite these actions.

(5) Contracts of Employment

It was reported that various amendments to contracts of employment had been recommended to reflect changes in University policy and to comply with legislative requirements and good practice. UNISON and Amicus-MSF had agreed to the changes proposed; DAUT would be discussing this at the next LJC in November.

Resolved: to approve the changes, subject to DAUT's approval.

(6) Out-of-Hours Payments

Notification was given of the annual uplift to the rate of pay for out-of-hours work. It was noted that the allowance was applicable only to Technical staff.

Resolved: to note the new out-of-hours payment rate.

4. **EQUAL OPPORTUNITIES**

The Director of Human Resources confirmed that following various discussions, it had been agreed that a full-time Equal Opportunities (Staff) post would be established for the University. It was noted that the post had previously been 0.5fte. Although the post would be funded jointly between Human Resources and the School of Nursing & Midwifery, it was confirmed that the postholder would be managed by the Director of Human Resources. It was recognised that the School of Nursing & Midwifery might wish specific Equal Opportunities issues to be addressed first by the EO Officer, but that these could then be rolled out to the rest of the University. It was confirmed that the post would be advertised once the job description and further particulars were approved.

Resolved: to note the position.

5. **STAFF DEVELOPMENT**

(1) It was confirmed that since the units of Management Development Services and Academic Staff Development had been brought together, the co-ordination of staff development activities was continuing successfully. It was noted that there was now one brochure promoting courses, instead of two, and that the 'new look' had been receiving favourable feedback. A new Staff Development Policy had also been produced and this was now being considered at the Learning and Teaching Committee. It was noted that there would need to be greater clarity in the Policy about what would be delivered by the Centre and what would be delivered by the Faculties, and that further discussion about this was to take place with the Deans.

Resolved: to note that the Staff Development Policy would be resubmitted to the Human Resources Committee following approval at the Learning and Teaching Committee.

(2) A report from the Director of the Management Development Service was received.

The report anticipated that support would be provided from the Leadership Foundation for Senior Management Training and indicated that Mentoring and Fellowships were currently being launched.

(3) A report from the Director of Academic Staff Development was received.

It was noted that communication was being improved between the Staff Development Unit and University staff, with the new Personal and Professional Development Handbook, the on-line newsletter and the development of a Blackboard staff development resource.

It was reported that the establishment of a staff development 'champion' in each Faculty was currently being discussed with the Deans and viewed as central to the effective and efficient delivery of staff development across the University.

6. **HEALTH & SAFETY**

- (1) Minutes from the Safety Sub-Committee meetings were received. It was noted that no specific issues had been highlighted for Court's attention.
- (2) A report from the Head of Safety Services was received. It was noted that the Occupational Health Service was now fully operational and was being utilised effectively in a number of different areas.

7. **LOCAL JOINT COMMITTEES**

- (1) Minutes of the University/Amicus-MSF Joint Committee were received.
- (2) Minutes of the University/UNISON Joint Committee were received.
- (3) Minutes of the University/DAUT Joint Committee were received.

8. **ANNUAL REVIEW 2004**

- (1) Minutes of the Faculty Annual Review Groups were received. The total number of Senior Lecturer promotions was 20, which was noted as being identical to last year's quota. It was confirmed that the role of the Human Resources Committee in considering the minutes was to ensure that correct procedure had been followed and that nothing inappropriate had occurred. The Committee agreed that, in addition to the final outcome, they would like information on gender breakdown and the balance between promotions on the basis of teaching versus research. It was pointed out by one member that despite teaching being one of the four criteria for promotion, it was still research that was favoured. It was recognised that the balance had been re-addressed in recent years and the increased quota had allowed more promotions to take place on the basis of teaching. It was confirmed that the University has a clear institutional position on this and it was noted that Professor Calderhead and Professor Boxer were both involved in pursuing this agenda.

The Director of Human Resources confirmed that she was currently working with Deans on defining more detailed criteria for Senior Lecturers within specific Faculties. It was felt that this would make the expectations clear for a Senior Lectureship post within a specific Faculty and would also help in promotional decisions.

- (2) Minutes of the ALC Annual Review Group were received.
- (3) Minutes of the Technical Staff Annual Review Group were received.

Resolved: to request further information regarding Senior Lecturer promotions over the last three years (i.e. number, gender and balance between teaching and research promotions).

HUMAN RESOURCES STRATEGY 2004/05

INTRODUCTION

The overall aim of this strategy is to support the main aims of the University in achieving excellence in learning and teaching, promoting research and scholarship at international levels of excellence and enabling staff to develop to the full in a supportive environment of equal opportunity.

This University believes that people are the true source of competitive advantage and that the University's research strategy and the learning and teaching strategy are largely dependent on the skills and abilities of the individuals driving forward these agendas. In order to progress these agendas it is essential that the University is able to attract the high calibre individuals it seeks. Once here, it is essential that such individuals are rewarded, developed and motivated to support and maintain the quality of their contribution to the University. It is the effective integration of all decisions and developments in recruitment, communications, training and development and reward, that brings competitive advantage and which will make the University a better place for staff and students.

As part of the University's HR strategy, clear strategic objectives have been identified. The strategic objectives outlined in this document also directly support the objectives outlined in the University's 'The Vision – Towards 2007' and will ensure that the University keeps abreast of the modernisation agenda formulated at the national level and complies with new and forthcoming legislation.

The key strategic objectives for the HR Directorate are as follows:

Objectives 1 – Modernisation of Pay and Grading Structures

To implement, through working with the campus unions, the nationally agreed Framework Agreement, which will include developing a new pay and grading structure, introducing job evaluation, harmonising terms and conditions and developing reward strategies.

Objective 2 – Managing Performance

To provide guidance and support for heads of units in the area of performance management, with clear mechanisms for supporting probation, appraisal, personal development, motivation and reward.

Objective 3 – Staff Development

To support excellence in learning, teaching and research by enhancing staff development opportunities in those areas and to review and extend provision of management development at all levels.

Objective 4 – Equal Opportunities

To promote diversity in the workforce and equal opportunities for staff through the implementation of anti-discrimination legislation, the development of appropriate employment practices and addressing key priority areas identified by the Equal Opportunities Working Group.

Objective 5 – Legislative Requirements

To keep employment practices and policies up to date and according with best practice.

Objective 6 – Recruitment and Retention

To recruit and retain individuals of outstanding promise at the early stages of their academic careers and key individuals at the most senior levels. To ensure that attention is paid to supporting women, members of minority ethnic groups and other groups who may be under-represented at different levels in order that they may progress equitably.

Objective 7 – Communication

To strengthen in particular three aspects of communication, with external customers, internal customers and staff by: engaging in e-recruitment and improving the HR Web site, improving the provision of management information for staff planning, and conducting a staff perception/attitude survey.

Objective 8 – Occupational Health

To establish occupational health provision in the University and develop appropriate policies and procedures in this area.

This strategy paper will be further developed by detailing clear action points with timescales attached. These in turn will feed into the performance indicators which are required for the HR Directorate.

APPENDIX 12

CAMPUS SERVICES COMMITTEE (Minute 10(4))

A meeting of the Committee was held on 7 October 2004.

Present: Mr L A L Rolland (Convener), Professor A Bissett-Johnson, Dr B Gillies and Dr D S Robb.

In Attendance: Dr D J Duncan, Mr G Menmuir and Mr D White.

OPENING REMARKS

The Convener invited the Secretary to provide the Committee with an overview of the revised membership. The Secretary briefed members regarding the amendments made to the membership emphasising the increase in Court representation. He also highlighted that several University officers would be in attendance as appropriate.

1. MINUTES OF PREVIOUS MEETING

Resolved: to approve the minutes of the meeting on 20 May 2004.

2. MATTERS ARISING

(1) Outsourcing of Residences (Minute 2)

The Secretary reported that the Special Purpose Vehicle (SPV) had been established to manage all University residences with the exception of Taymills. The partners in this SPV were HBOS, Sanctuary Housing Association and the University. Sanctuary Housing had taken on responsibility for management of the residences in readiness for the commencement of the new academic session. Detailed planning for four new residence developments at Seabraes, Westpark, Heathfield and Belmont were in the process of being prepared.

The Convener emphasised the position of the University in these partnership arrangements.

(2) Disposal of Gardyne Road (Minute 7)

The Secretary reported that an agreement had been reached to sell the Gardyne Road premises, with the exception of three houses, to Dundee College in summer 2006, when the Faculty of Education and Social Work accommodation was scheduled to be ready on the main campus. Professor Bissett-Johnson sought clarification regarding the capital realised from the sale of the site and the cost of the planned replacement development at the main campus. The Secretary confirmed that the proceeds from the sale would not match the cost of the development, but reported that alternative income streams would be capitalised to ensure that the replacement plan was realised. The Secretary emphasised that the needs of the Faculty of Education and Social Work were being incorporated into the plans for the new build at the main campus alongside the needs of other departments and as such some economies of scale would prevail.

(3) Institute of Sport and Exercise - Capital Development Plan (Minute 8)

The Director of the Institute of Sport and Exercise reported that an agreement to proceed with replacement of the artificial pitches at Riverside had been approved alongside the preparation of a business plan for other associated developments. The target date for completion of the all-weather pitches was autumn 2005 to coincide with the beginning of the new academic year.

The Director also reported that an initial bid to Sport Scotland for £10m to contribute to the development of a new regional indoor facility had been unsuccessful due to lack of written evidence of support from one of the partners. The Committee heard that it might still be possible to progress to the next stage of the bidding process but support from the City Council would be required, specifically in relation to planning consent. The Convener reminded the Committee that Court would also require to approve such a bid.

3. TOWARDS AN ESTATES STRATEGY

The Acting Deputy Director of Campus Services gave a presentation that overviewed work in progress, projects already commissioned, and those included in the Estate Strategy for the benefit of new members and as an aide-memoire to the continuing membership.

Key projects and target completion dates, where appropriate, were summarised:

- CIR - work progressing on budget, on time and due to be completed July 2005
- Belmont residences - new building due to commence January/February 2005 with a target completion date of March 2006
- Heathfield development with underground multi-storey car parking replacing parking facilities lost as a consequence of other building works – building warrant approval for demolition works in place, work due to commence spring 2005
- Queen Mother Research Centre – due to be completed July 2005
- Development site bordering on Campus Green – improve and raise profile of Smalls Wynd
- Library extension due for completion in summer 2006

Timetabling was raised as a matter of concern by Professor Bisset-Johnson, in particular the need for those responsible to have sufficient information regarding time taken to travel between one facility and another to support efficient planning. Notwithstanding the need to ensure sufficient accurate information was fed into support systems, it was noted that a new software package was being purchased to support the timetabling initiative.

Dr Robb raised concerns regarding the capacity of the extended Library to house the complete Library stock at close proximity to users. The Acting Deputy Director of Campus Services responded that much of the redundant stock would be stored off site in lesser quality space to liberate the Library for a more efficient use of stock that was required on a regular basis. Professor Bissett-Johnson again highlighted the need for planning to ensure that obsolete stock was identified and catalogued in advance.

The Secretary acknowledged the Committee's comments and reported that an options appraisal for Library provision was being prepared for presentation to Court. The Secretary also advised that a copy of the entire campus plan extending to 2009 at a cost of £150m had been presented to Court in June. Full updates regarding progress against the plan would be presented to Court as appropriate.

4. **CAR PARKING STRATEGY AND GREEN TRAVEL PLAN UPDATE**

The Acting Deputy Director of Campus Services addressed the previously circulated papers and reported that the car parking strategy and Green Travel Plan had been presented to Court in June. It was noted that the Green Travel Plan was required by the City Council as an integral part of the application for planning permission for car parking initiatives.

Members discussed various incentive schemes aimed at reducing the numbers of single occupancy cars being used to reach the campus and encouraging the use of alternative modes of travel.

The Acting Deputy Director also reported on a joint initiative with the Safety Office aimed at ensuring that access and egress routes to and from the campus, particularly during building works, were managed safely.

5. REVIEW OF ESTATES AND BUILDINGS: PROGRESS REPORT

The Acting Deputy Director of Campus Services briefed the Committee regarding the current initiative aimed at Best Value. The scope of the exercise, ranging from full outsourcing to full in-house provision with variables in between, was summarised.

It was noted that the assessment of the range of options was being conducted by an internal departmental working group supported by an external company, and with selected input from a variety of other sources such as Human Resources, the Finance Office and trade unions.

Recommendations from the review would be presented to this Committee.

6. LIAISON WITH SAFETY SERVICES

The Acting Deputy Director of Campus Services talked about recent developments, aimed at a more collaborative approach to managing safety issues, as integral to Estates planning, citing as one example the participation of the Safety Office in the risk assessment process on planning of the maintenance programme.

7. FUNDING ISSUES**(1) Scottish Executive Spending Review**

The Secretary reported that Scottish Executive had increased funding of higher education as part of the annual Spending Review. It was not yet known what proportion would be allocated to the University; however, a proportion of the increased funding would be used to reduce University borrowings.

(2) SRIF 3

The Secretary reported that £3m might be allocated to the University; however, a large proportion of this might have to be spent on health and safety initiatives at Ninewells.

APPENDIX 13

FINANCE & POLICY COMMITTEE (Minute 10(5))

A meeting of the Committee was held on 11 October 2004.

Present: Mr B W M Johnston (Convener), Principal, Professor D H Boxer (Vice-Principal), Professor S C Hunt, Mr J Milligan, Dr M R Ward and Mr I D M Wright.

In Attendance: Secretary, Director of Planning & Information, Director of Finance, Deputy Director of Finance, Director of Admissions & Student Recruitment (*for items 9 and 10*) and Mr G A Campbell.

The Convener welcomed members to the first meeting of the Finance & Policy Committee. Mr Milligan was welcomed as a new member and Mr Campbell introduced as the Secretary to the Committee.

The Convener paid tribute to Mr Jim Cruickshank, Purchasing Manager, who had died suddenly on 9 October 2004 and requested that the sympathies of the Committee be conveyed to Mr Cruickshank's family.

1. REMIT, TERMS OF REFERENCE AND DELEGATED POWERS

The University Secretary reported that the proposed remit for the Finance & Policy Committee derived mainly from the remit of the former Finance Committee. Most of the functions of the former Planning & Resources Committee had passed to the Senior Management Team. The intention was that the Senior Management Team would route items with significant financial implications through the Finance & Policy Committee (rather than direct to Court).

The Principal reminded the Committee that individual Deans could be invited to contribute to its work where appropriate.

In response to a question, the University Secretary explained that the main function of the Campus Services Committee was to oversee the further development and implementation of the Estates Strategy.

It was noted that the Committee carried delegated powers from Court to 'approve business plans for projects involving non-capital spend with a projected annual value of more than £250,000'. It was agreed that 'annual value' should be interpreted as 'turnover'.

It was also noted that the Endowments Sub-Committee took the lead role in respect of the delegated powers for University investments, but that it was a Sub-Committee of the Finance & Policy Committee.

It was further noted that Court had not delegated the power to approve major capital projects although it was expected that such projects would be discussed by the Finance & Policy Committee.

- Resolved:**
- (i) to note the remit and delegated powers of the Finance & Policy Committee;
 - (ii) to invite the University Secretary to consider whether the terms of reference relating to 'internal control' would be dealt with more appropriately by the Audit Committee;
 - (iii) to agree to review the terms of reference should Court decide to vary the delegated powers.

2. MINUTES

Resolved: to approve the minutes of the meeting of the Finance Committee on 31 May 2004.

3. MATTERS ARISING

(1) Debt Control (Minute 2(1))

The Director of Finance reported that a number of actions had been taken to introduce tighter control of student debt in the current year. These had centred on the removal of access to specific facilities essential to continued study, much earlier invoicing of students, tighter controls on overseas students allowed to enter the UK and the introduction of on-line matriculation. Dr Ward commented that the feedback about on-line matriculation had been extremely positive.

Subject to Staffing Sub-Committee approval and the resolution of staffing issues within the Registry, the proposal to create a new Finance Office position to manage both commercial and student debt was noted.

The Convener reported that the Audit Committee was pleased with the progress made and would be continuing to monitor developments.

(2) Dundee University Utility Supply Company Ltd Surplus (Minute 3(2))

The Deputy Director of Finance reported that the surplus for 2003/04 should be c. £90,000. The underlying surplus would be £50,000-£60,000.

(3) Dundee University Students' Association (DUSA) Development Group (Minute 9)

It was noted that a meeting of the Court/DUSA Strategic Development Group, which was chaired by the University Secretary, was held on 18 August 2004.

The Director of Finance reported that it was planned to 'opt to tax' the DUSA building. He had confirmed that the University contribution of £1,100,000 to DUSA was liable to VAT. 'Opting to tax', however, would allow the VAT paid (£192,500) to be recovered in full.

Mr Wright stressed the need for the Finance and Policy Committee to take a keen interest in DUSA and its financial viability. The Committee was pleased that the Director of Finance liaised regularly with the DUSA Financial Manager.

Resolved:

- (i) to include DUSA finances as a standing agenda item;
- (ii) to invite the Director of Finance to present a report to the next meeting, comparing actual finances against budget.

(4) Residences (Minute 5)

The University Secretary reported that Dundee Student Villages had now been established (the University Secretary and the Director of Finance were both Trustees). It was noted that, although the building tenders received were higher than anticipated, significant progress has been made in reducing them.

4. PROVISIONAL YEAR-END RESULT 2003/04

(1) The Deputy Director of Finance reported that the anticipated, pre-audit, result for 2003/04 was a surplus of £2.35m (compared with the most recent forecast presented to the Committee of a surplus of c. £2.33m). Further adjustments to the accounts would be made either as a result of external audit findings or analysis within the Finance Office.

(2) Though income and expenditure both increased by above £6m, the surplus on continuing operations had remained fairly static (£836,000 for 2003/04 compared to £791,000 for 2002/03).

(3) Gains on the sale of Perth Road flats were noted. Provision had been made (£194,000) for a one-off payment under the new pension requirements for part-time staff.

(4) It was noted that the Principal has established a Strategy Group to explore how the University could move from a surplus as a proportion of turnover of 0.7% in 2003/04 to the strategic target of 3% in 2006/07.

- Resolved:**
- (i) to invite the Vice-Principal (Professor Boxer) to convene a meeting with the aim of establishing better procedures for predicting research income and also to explore whether the timing of large grants was distorting research income;
 - (ii) to invite the Director of Finance to report to a future meeting of the Committee on the success of initiatives (internal procedures as well as a Finance Office reorganisation) which it was hoped would improve forecasting throughout the year;
 - (iii) to invite the Deputy Director of Finance to report further at the next meeting of the Committee on the projected movements in the underlying surplus between 2002/03, 2003/04 and 2004/05.

5. CAPITAL EXPENDITURE 2003/04

The Director of Finance reported that budgetary provision of £6.4m from General Funds had been made in 2003/04 but that, due to slippage, only £4.6m had been spent. £1.3m had been spent on the DUSA Main Hall refurbishment, compared with a budget of £1.1m. VAT recoveries were anticipated, however, which would bring the project back within budget.

The Director of Finance also reported that he was liaising regularly with Estates and Buildings to try to improve information flows. In particular, he was keen that the Committee should have timely reports on estimated costs to project completion compared with budgets approved by Court. In response to a question from the Convener, the Director of Finance confirmed that all major projects were within budget.

6. FORECAST YEAR-END RESULT 2004/05

The Deputy Director of Finance reported on the Budget Forecast for 2004/05. The underlying theme was downward pressure on the contribution to the University surplus.

7. FORWARD CAPITAL EXPENDITURE AND CASH FLOW

The Director of Finance reported on projected cash flow and capital expenditure assumptions. The opening balance for 2004/05 of £10,740,000 was better than expected.

As currently forecast, borrowing would exceed £15m only in 2007/08 (the estimates for that year including sports spending not yet approved by Court).

The Principal queried interest charges and it was agreed that the Committee would not wish to see these exceed £1m.

- Resolved:** to invite the Director of Finance to present a revised capital programme to the next meeting of the Committee, indicating approvals and more accurate projections for each project.

8. BORROWING - REPORT ON PROGRESS

The Director of Finance reported on the progress made to date in securing the borrowing requirement necessary to fund the capital programme. Following advice from Noble Grossart Ltd, four selected banks had been approached. The approval of SHEFC had also been sought.

9. OVERSEAS FEES AND SCHOLARSHIPS - FEE APPROVAL

The Director of Admissions and Student Recruitment reported that overseas tuition fees and the associated scholarships scheme were determined by four factors, namely:

- the rate of inflation
- the strength of the pound sterling
- the competition
- what the market would bear

The setting of fees necessitated finding a reasonable balance between supply and demand. The scholarship scheme was used as a form of discount (which was helpful when costs of a four-year course at Dundee were compared with a three-year course at an English university) as well as an award for academic achievement for students from particular countries. The Director of Admissions and Student Recruitment stressed, however, that the scholarship scheme was deployed carefully but not universally. 42% of overseas undergraduate entrants in 2004 were to pay full fees.

In response to a question from Mr Wright, the Director of Admissions and Student Recruitment indicated that he would be nervous about pitching fees at a higher level. Despite its increasing status, the University was still relatively young in many of the markets in which it operated.

It was noted that the fees and scholarships recommended for 2005/06 reflected an increase approximately in line with inflation. The Director of Admissions and Student Recruitment was confident that these figures would be competitive in the current market. [Note: Though not discussed at the meeting, the Dean of Law and Accountancy had noted that the degree of Master of Forensic Medicine had been omitted. The Director of Admissions and Student Recruitment, the Director of Finance and the Convener agreed outwith the meeting that the new fee should be as for other degrees in the same band.]

It was noted that fees for the Centre for Energy, Petroleum and Mineral Law and Policy were reviewed biennially to meet the demands of a specific market and that there would be no increase for 2005/06.

Resolved: to approve the overseas fees and scholarships scheme for 2005/06.

10. STUDENT NUMBERS

The Committee received a report from the Director of Admissions & Student Recruitment on admissions figures. As at 7 October 2004, there were 2,235 undergraduate entrants (with 2,084 from the UK/EC compared with a target of 1,990). At the same date there were 561 postgraduate entrants (a 35.5% increase on 2003) - 38% from overseas (compared with 30% in 2003). The Director of Admissions and Student Recruitment noted that the University strategy of developing new courses and 'niche degrees' was helping to boost numbers. The Committee welcomed the news and was pleased to hear of increasing entry requirements in some faculties.

The Vice-Principal (Professor Boxer), while welcoming the figures, proposed that the University needed to consider how research postgraduate numbers could be increased. In the USA, he noted, scholarships were widely used to promote postgraduate research study.

Resolved: to recommend that the Principal consider, with the Senior Management Team, how the University might become more competitive in research postgraduate activity.

11. RIVERSIDE BIOSCIENCES LTD

The University Secretary reported that Riverside Biosciences Ltd had taken out a claim against the University (for £1.5m) asserting that research supplied did not meet the terms of the agreement. The University in turn had submitted a counterclaim and demand for arrestment of funds. Bad debt provision had been made.

12. FINANCE UPDATE

(1) DDS Medicines Research Ltd

The Director of Finance reported that DDS Medicines Research Ltd was an associated company (30% owned by the University). The financial relationship with the University included the operation of the company's payroll. Due to adverse trading conditions, the company had been unable to reimburse the University. As at 30 September 2004, the amount due to the University was £403,000.

The current trading position for DDS Medicines Research Ltd was the worst in its history and was brought about by companies being slow to place orders as they awaited the EU Clinical Trial Directive which came into force in the UK in May 2004.

The Director of Finance was meeting regularly with representatives of the company and cash flow was expected to improve from January 2005.

(2) Aktina

The Director of Finance reported that Aktina owed the University around £60,000 and repayment was to be made in staged payments over the next six months.

(3) Links with Associated Companies

Extensive discussion followed on the issues raised by the examples of DDS Medicines Research Ltd and Aktina. The Committee agreed that risk was inevitable in such ventures but the Committee should do all in its power to anticipate and to monitor risk. It was noted that many spin-out companies were extremely successful.

Resolved: to invite the Director of Finance to report to the next meeting of the Committee on all companies in which the University had an interest (regular reports were already received for subsidiary companies).

(4) Financial Regulations

The Director of Finance reported that the Finance Procedures Manual and the Purchasing Manual provided detailed advice but did not provide a comprehensive set of regulations. A draft set of Financial Regulations had been prepared and would be presented to a future meeting of the Committee.

(5) Part-Time Pensions

The Director of Finance reported that a Court Emergency Committee had ratified a decision made by the Principal and the Director of Finance to allow part-time employees (past and present) entry to the University's in-house pension scheme. This would create a liability for employer's contributions of approximately £194,000. Provision for this had been made in the 2003/04 financial year.

(6) SRIF3

The Director of Finance reported that on 23 August 2004 SHEFC had announced a third round of the Science Research Investment Fund (SRIF3). The funding will be aimed at:

- (a) addressing the under-investment in the sector in research infrastructure;
- (b) encouraging investment to improve the utilisation of space or improving the efficiency of research infrastructure.

Proposals were currently being put together for submission to SHEFC and these proposals would recognise commitments already made within the Estates Strategy.

(7) Perth Medical Research and Teaching Project

The Director of Finance reported that initial draft business plans for this project had been developed under the K2 procedure and work was progressing on the narrative and risk analysis. This project was not planned to have a significant financial impact as the investments would take place once external funding had been received.

13. SCOTTISH EXECUTIVE SPENDING REVIEW

The Principal reported that the 2004 Spending Review provide increased funding for higher education for three years from 2005/06. A 17% increase in real terms (compared with 11% across the Scottish Executive functions and with 14% for further education) would take higher education in Scotland over £1 billion for the first time. The Principal highlighted three areas to watch:

- the effect of the pay assimilation exercise (effective from 1 August 2006)
- the effect on Dundee's competitive position of the introduction of fees in England
- capital in future baselines.

It was noted that although the allocations to individual institutions were not yet known, it was likely that the allocation made would ease the University's position in the short term. Future projections would be adjusted when the effect on Dundee was known.

It was also noted that mid-term issues remained and that the University's policy of financial stringency remained appropriate.

Resolved: to support the Principal and the work of the Scottish Universities' Funding Group in building an ever stronger case for the tangible benefits to the sector and to the economy which would result from investment in higher education.

14. GARDYNE ROAD CAMPUS

The University Secretary reported that agreement in principle had been reached to sell the Gardyne Road site to Dundee College for £6.5m. It was hoped that three houses to the south of the site would generate a further £750,000 - £1m.

15. DUNDEE UNIVERSITY PRESS LTD

The University Secretary reported that this company would be launched on 18 October 2004.