

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 13 June 2005.

Present: Mr J R Milligan (in the Chair), Principal Sir Alan Langlands, Dr R J Abboud, Ms C A Bain, Professor A Bissett-Johnson, Mr P K Burgess, Vice-Principal Professor J Calderhead, Mr B W M Johnston, Lord Provost J Letford, Professor A F Newell, Ms A Newton, Ms E A Robertson, Dr L A L Rolland, Mr W Sutherland, Dr M R Ward, Mr W Wilson and Mr I D M Wright.

In Attendance: Vice-Principal Professor D H Boxer, Deputy Principal Professor G C Ward, Secretary, Deputy Secretary & Clerk to Court, Director of Finance, Director of Planning & Information, President-Elect of the Students' Association and President of the Sports Union.

The Chairman welcomed the President-Elect of the Students' Association, Ms Lianne Bibby, to her first meeting of the Court. He referred to the tour of construction projects on the City campus which had taken place immediately prior to the meeting, hoping that those members who had participated had found the exercise rewarding.

61. SPORTS UNION

The Court received an annual report from the Sports Union for 2004/05, which was presented by the President, Mr Andrew Renwick. The Chairman thanked him for his comprehensive review of sporting achievements and developments relating to the Union over the year. It was suggested that the next annual report might be coupled with a visit by Court members to sports facilities.

62. MINUTES

The Court decided: to approve the Minutes of the meeting on 25 April 2005.

63. MATTERS ARISING FROM PREVIOUS MEETINGS**(1) Statute 9 – The Court (Minute 14(1)(a), 13 December 2004)**

The Court noted the Privy Council Order dated 24 May 2005, approving the amendments to Statute 9 concerning the composition of the Court.

(2) SHEFC Visit (Minute 33, 21 February 2005)

The Court received a copy of the final report on the institutional visit by SHEFC to the University on 15 February 2005. The Principal commented that the report was a positive and fair response and asked the Court to note that further discussions had already taken place on the issues on which the Council had expressed a wish for continuing dialogue, viz. research sustainability and equal opportunities policies and strategies. He confirmed that, while the University would welcome the report being made public, the Council regarded it as confidential and it was not therefore expected to enter the public domain - except via a Freedom of Information request. He reiterated that the visit had not been a formal inspection and typefied the lighter touch approach to institutional monitoring now being practised by the Council.

Members requested clarification on certain statements in the report. On a reference to the University's view that the Statutes governing staff disciplinary and grievance procedures were impeding some aspects of human resources policy development, it was explained that the provisions of Statute 16 were not fully aligned with current employment legislation. A comment on the need for capital improvements in Duncan of Jordanstone College stemmed from SHEFC's proposal to make special provision for capital investment in small institutions and the University's argument that there were discrete areas of activity within some larger institutions, such as the Faculty of Duncan of Jordanstone College, which were equally deserving of special support. It was noted that further and higher education had entered a transitional period, with the new combined Funding Council expected to come into operation by October; consequently sectoral issues such as these were now subject to a hiatus until the new regime had been implemented.

(3) Membership of Graduates' Council (Minute 52, 25 April 2005)

The Court noted that the proposed amendments to the Statutes and Ordinances as detailed in appendix 5 to the minutes of the previous meeting differed in one minor respect from those actually submitted to that meeting. It was now proposed, following further consultation with the School of Nursing & Midwifery, that admission to the Graduates' Council of alumni of the pre-merger nursing and midwifery colleges should be restricted to their graduates and diplomates, i.e. those who had qualified from post-1992 curricula.

The Court decided: subject to the approval of the Privy Council in respect of the amendment of Statutes, to confirm the proposed amendments to Statute 20 and the repeal of Statute 22 and Ordinance 28, as set out in the minutes of the previous meeting (noting, however, that the revocation of Ordinance 28 should not take effect until the Privy Council had approved the revision of Statute 20).

The Chairman reported that he had attended the Degree Show in Duncan of Jordanstone College, which he had enjoyed and found inspiring. Together with the Convener of the Finance & Policy Committee, he had commenced regular meetings with the Director of Research & Innovation Services; work relating to the new Development Board was also being progressed. He invited members once again to suggest particular areas of the University that he should visit - and confirmed that he had already visited the Students' Association.

The Chairman drew attention to the university league tables which had recently appeared in *The Times*, in which the University's overall position had risen from 28 to 25; an even more signal achievement was the University's ranking as first in the UK for teaching quality.

65. PRINCIPAL'S REPORT

The Principal introduced his report (**Appendix 1**). He referred to on-going efforts in the sector to secure the beneficial effect of the recent Spending Review within baseline funding for the future. The departure of the Deputy First Minister, Jim Wallace, from this debate would be a loss. The Principal also paid tribute to Professor James Calderhead and colleagues across the University for the sustained work which had led to the outstanding success, already referred to by the Chairman, of the institution's teaching performance as assessed by the league tables published in *The Times*.

The Court decided: to approve the revised procedure, included in the report, for appointments to Personal Chairs in the University.

66. FINANCIAL STRATEGY

(1) Finance & Policy Committee

The Court received the report of a meeting of the Committee on 31 May 2005 (**Appendix 2**). On the Framework Agreement (item 4), it was confirmed that the Committee's opposition to any rise in overall staffing costs beyond what had been envisaged in the financial forecasts was consistent with statements circulated to all staff regarding the progress and expected outcomes of negotiations with the campus unions.

The Court decided: to approve the report.

(2) Financial Strategy - Update

The Court received an updated financial strategy for the University, whose five-year planning horizon had been extended to 2009/10. The document included details of the capital programme, together with faculty and support service budgets for 2005/06 (details of which were still being finalised). The Court's attention was drawn to targets for cash generation, i.e. the aggregation of surplus and depreciation. To sustain the capital programme a surplus of 4% of turnover was required by 2007/08. This significant increase in surplus requirement could only be achieved and maintained if increases in staffing costs were held at 3% per annum from 2007/08.

The following main points arose in discussion:

- (a) Although cash generation was principally for support of the capital programme, some would be directed to other purposes through the Strategic Investment Fund.
- (b) It was acknowledged that applying pressure to staffing costs could have an impact on academic development, but investment in the University's estate was considered essential to safeguard staff recruitment and retention. This was a difficult balance to strike.
- (c) The financial projections would have to be revisited if any of the underlying assumptions were to change, e.g. if extra income from SHEFC arising from the recent Spending Review were not maintained in the medium term, or if larger employer's contributions were required to sustain pension schemes. There were control mechanisms within the capital programme, however, which would enable the University to regulate expenditure in response to significant variations in cash flow.
- (d) Some risks to the financial strategy could have far-reaching consequences because of their reputational effect, e.g. a weaker RAE performance, or the loss of staff to universities in England offering higher rewards under the top-up fees regime. Such reputational damage would be difficult to overcome in the short term. On the fees issue, maintaining comparable funding for higher education in Scotland was likely to be a major area of debate for the next Spending Review.

The Court decided: to approve the financial strategy.

(3) Strategic Plan Forecast

The Court received a draft return for submission to SHEFC. While its format had always been prescribed by SHEFC, members felt that this year's document was particularly difficult for non-specialists to follow. It was suggested that in future the Court would benefit from either a commentary or the opportunity of a pre-meeting with the Director of Finance.

The Court decided: (i) to approve the draft Strategic Plan Forecast;

- (ii) to invite the Director of Finance to raise with his counterparts in other institutions and with SHEFC the desirability of making the return more user-friendly.

67. CAPITAL DEVELOPMENTS

(1) Main Library Extension

The Court received a detailed proposal, presented by Professor Ward, for the construction of a three-storey extension to the Main Library on the City campus. The paper highlighted significant factors in planning future library accommodation: changes in learning and teaching methods with increased use of electronic facilities, students' expectations of the learning environment, and the need for rationalisation and centralisation to control the costs of increasingly technical services and longer opening hours. In addition to meeting the demand for new and different services, the library strategy embraced absorption into the Main Library of the existing libraries at Gardyne Road and in the Division of Mathematics (currently housed in buildings scheduled for disposal), and rationalisation of space needs by moving some library stock to less costly, off-site storage.

The basic cost of the project envisaged was £6m which, together with other consequential costs, would be funded entirely from general University funds. There would be estimated revenue savings of up to £118k per annum. The proposals stopped short, on grounds of cost, of the preferred option of a larger extension to realise an 'integrated campus learning centre'. It was noted, however, that the more conservative project currently proposed did not prejudice further expansion at a later date.

The following main points arose in discussion:

- (a) It was confirmed that discussions in the University relating to the VLE and e-learning developments were integrated with those on library strategy, with cross-over in the membership of planning groups.
- (b) With increased movements of students between some of the University's older buildings and the new teaching block on Hawkhill, it was expected that usage of the Library would increase. User demand would be monitored; but it seemed likely that a case for a further extension of the Main Library would emerge in the future.
- (c) It was agreed that the proposed extension should comprise flexible spaces, since student learning patterns were difficult to predict.
- (d) While opening the Library on a 24-hour basis, including weekends, would be very expensive, it would be sensible to recognise that movement in that direction – even if for only part of the Library – would be hard to resist. Other service requirements for students which should be considered, as a consequence of changing library

provision, were enhanced personal security measures for those working late at night and inexpensive printing facilities for downloading Web materials.

The Court decided: to give full authorisation for the project to proceed, as recommended by the Finance & Policy Committee.

(2) School of Nursing & Midwifery – Estates Strategy

The Court received a draft estates strategy for the School of Nursing & Midwifery, to be achieved over the period to 2008/09. Its aims were to integrate, consolidate and improve facilities for teaching and for staff. One of the main drivers was the fact that student numbers had increased by more than a third since the School had been formed in the University in 1996. The strategy comprised a number of separate developments, resulting in a rationalisation of the sites occupied by the School from five to three. Another significant consequence would be increased use of teaching facilities on the City campus and the consolidation of academic staff in Dundee on the City campus, rather than at Ninewells. The various projects contained within the strategy entailed a total capital cost of £4m, which would be met from general University funds, including income from the School's ring-fenced funding from the Scottish Executive.

It was emphasised that the projects would be phased in accordance with what the capital programme could support. Also, some of the office accommodation to be provided in Airlie Place (West) could be assigned to other purposes if a change in government funding for health services led to a reduction in nursing and midwifery student numbers. It was noted that the consolidation of the School's activities on fewer sites would be accompanied by a review of its support infrastructure.

The Court decided: to approve the estates strategy and the separate projects within it, as recommended by the Finance & Policy Committee.

68. KEY INSTITUTIONAL PERFORMANCE INDICATORS

The Court received a biannual report on key institutional performance indicators, including updates on progress in achieving the various objectives set out in *The Vision: Towards 2007* document. It was confirmed in discussion that there was a general upwards movement in the advertised qualifications for entry to undergraduate courses in the University.

69. MEMBERSHIP OF COURT

The Court received a list of the membership of Court from 1 August 2005 (in accordance with the amendment of Statute 9, now approved by the Privy Council), insofar as it had been determined at that point. The results of elections by the Graduates' Council and by the Senate were still awaited. Also received was a paper setting out the recommendations of the Nominations Committee regarding the appointment of co-opted lay members.

Resolved: (i) to approve the co-option of the following lay members:

from 1 August 2005:

Mr Bruce Johnston (reappointment for a second term)
Ms Janet Lowe CBE
Dr Howard Marriage

from 1 August 2006:

Mr Richard Burns

(ii) to approve the recommendation of the Nominations Committee regarding the co-option of a fourth lay member from 1 August 2005, noting that the recruitment process had not been fully concluded.

70. COURT COMMITTEES**(1) Committee Membership 2005/06**

The Court was advised that, with its membership for 2005/06 still not fully determined, it had not been possible to bring proposals to this meeting regarding membership of Court Committees for next session. The Schedule of Delegation as amended by the Court in October 2004, however, provided that the composition of Court Committees could be dealt with under delegated powers by the Nominations Committee (excluding the membership of the Nominations Committee itself).

The Court decided: to renew the existing membership of the Nominations Committee for 2005/06, subject to further review if Professor Sheila Hunt were not re-elected by the Senate as a member of Court.

(2) Emergency Committee

The Court decided: in accordance with the usual practice, to remit the transaction of any urgent Court business over the summer to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairman of Court and the Convener of the Finance & Policy Committee) and one other academic member – subject to a report on any action taken being submitted to the first business meeting of the Court in 2005/06.

71. **COURT RETREAT**

The Court received a paper from the Principal proposing that the agenda for the Court Retreat on 7 September 2005 should be focused on institutional planning for the period beyond 2007. The challenges for the University were significant, with higher education in Scotland facing an uncertain future conditioned by the overall public spending position and the outcome of the 2006 Spending Review, the impact of variable fees in England, and a demographic decline. Following a detailed environmental analysis, topics for discussion at the Retreat should include: appropriate strategies for research and for learning and teaching, collaborations and partnerships, and organisation and management.

The Principal invited comment on possible additional topics. It was suggested that one area which should be addressed was effective engagement with local schools and colleges.

The Court decided: to approve the outline programme for the Court Retreat, subject to any further suggestions which members might wish to communicate to the Principal.

72. **GOVERNOR DEVELOPMENT EVENTS**

The Court received a brochure from the Leadership Foundation for Higher Education, giving details of seminars for governors to be provided in the second half of 2005. It was noted that all the events were to be held in London. Intimation was also given of a seminar for Scottish higher education institutions on the role of governors, to be held at Stirling Management Centre on 17 – 18 November 2005; this event was aimed at recently appointed governors and would therefore be drawn to the attention of new members of Court.

The Court decided: to invite officers to communicate with the Leadership Foundation regarding the desirability of holding some governor development events in more northerly locations.

73. **COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

The Court received a report from the meeting of the Senatus on 1 June 2005 (**Appendix 3**).

The Court decided: (i) noting that it was in the interests of good administration to revoke Ordinance 46 – Student Access to Personal Information without delay (item 1), but also that the time limit governing the process for amending Ordinances would expire over the summer, unanimously to approve the revocation of the Ordinance at a single meeting, under the terms of the proviso to article 17.2 of the University Charter;

(ii) otherwise, to approve the report.

74. **CAMPUS SERVICES COMMITTEE**

The Court received the report of a meeting of the Committee on 5 May 2005 (**Appendix 4**).

The Court decided: to approve the report.

75. **AUDIT COMMITTEE**

The Court received the report of a meeting of the Committee on 24 May 2005 (**Appendix 5**). A Court member enquired about the Committee's interface with risk management (item 8). The Convener confirmed that the Committee received regular reports on risk management from the internal auditors. It was also explained that the development of risk management in the University had been delegated to the Risk Management Monitoring Group of Court in order to meet external deadlines; now that robust procedures were in place, reporting mechanisms and the role of the Audit Committee in relation to risk management would be reviewed. National guidance on these matters had recently been revised.

The Court decided: to approve the report.

76. **HUMAN RESOURCES COMMITTEE**

The Court received the report of a meeting of the Committee on 24 May 2005 (**Appendix 6**). In answer to a question, it was indicated that the intention was to take forward a staff attitude survey (item 2(4)) during 2005/06. Reference was also made to the number of staff issues in the University referred to AUT national officials, which had apparently been higher than in the recent past: it was clarified, however, that the cases in question were various in nature and not solely related to any one factor. There were several possible explanations for this increase and the University would liaise with AUT to promote the resolution of such matters at local level.

The Court decided: to approve the report.

77. **UNIVERSITY OF DUNDEE CLINICAL PHARMACOLOGY FUND**

The Court was advised that the term of office of two of the four Trustees of the Fund was due to expire on 30 September 2005.

The Court decided: to review the purposes and operation of the Fund, and the appointment of its Trustees, in conjunction with the current restructuring of DDS Medicines Research Ltd.

78. **STAFF**

Exercise of Delegated Powers – Chairs

The Court noted the appointment of the following:

Dr Paul Clarke	Personal Chair of Cancer Cell Biology	1 April 2005
Dr Jennifer Harris, University of York	Chair of Social Care	1 September 2005

79. **MUSEUM SERVICES**

The Court decided: in accordance with the terms of registration with the Museums, Libraries and Archives Council, to approve the transfer of the University's museum collections from the Carnegie Building to new premises at 5–7 Hawkhill Place.

80. **RETIRAL OF COURT MEMBERS**

The Chairman bade farewell to members who were demitting office on 31 July 2005, thanking them for their contribution to the work of the Court. These members included Councillors Lorraine Caddell, John Henderson and Margaret Taylor; Dr David Robb and Professor Sheila Hunt; and Mr Fraser Millar, the outgoing President of DUSA. The Chairman paid particular tribute to Professor Alastair Bissett-Johnson and Mr Philip Burgess, who were both completing long periods of dedicated and diligent service, and to Mr Iain Wright, who had been a committed lay member.

APPENDIX 1

PRINCIPAL'S REPORT (Minute 65)

Finance

1. The Finance & Policy Committee met on 31 May 2005 to discuss the five-year financial strategy and touched on the key resource allocation issues for 2005/06 including:
 - the cash resources required to fund the on-going capital requirements of the University
 - borrowing levels
 - cash and debtor management
 - the strategic investment fund
 - monitoring, financial control and compliance and key risks.

The target for 2005/06 is to generate cash of £4.1m. The 2004/05 target of c. £3.0m is likely to be achieved and the target for the year ahead has to be seen in the context of an overall uplift of 3.88% in SHEFC resources, other changes in income and the aspirations of faculties for new appointments. Overall the position for next year is tight but manageable. The University and the faculties will have less discretion than in recent years with a higher percentage of funds tied up in core staffing and capital budgets. Looking forward to 2006/07 and 2007/08 the outcome of SR2004 could provide some relief although it is likely that core staffing costs will increase significantly as a result of the implementation of the Framework Agreement and possible new pressures on pensions and employers' national insurance contributions.

The outcome of SR 2006 and the impact of variable fees in England are major uncertainties for the medium term and it may be prudent to plan long-term on the basis that the University should be less reliant on public funding.

Learning and Teaching

2. The University of Dundee ranks first in the UK on teaching quality in the THES and Times league tables 2005. This reflects high scores from previous subject specific visits from the QAA and the success of the recent ELIR visit.
3. Six teaching fellowships have been approved to enable key staff to take time out to develop new courses and programmes.
4. A group of about 30 academic and academic support staff met on 17 May 2005 to discuss the University's approach to the development of the virtual learning environment and to consider progress on a number of externally funded e-learning projects. Further work in this area will be taken forward by Professors Calderhead, Ward and Littlejohn and Dr Richard Parsons. A full report will be made to Court in the next academic session. The challenge moving forward is whether e-learning should be regarded simply as a means of supporting existing practice or as a basis for more radical approaches to adaptive learning, multidisciplinary learning and promoting the continuum of undergraduate, postgraduate and continued professional development.

Research

5. Key points are as follows:
 - the research reviews are nearing completion with arrangements now in place for the Faculty of Medicine, Dentistry and Nursing
 - the University is also preparing for the implementation of Full Economic Costing from September 2005
 - discussions have been held with SHEFC to express concern about their policies on 'pooling' and charity-funded research. The University is playing a key role in pooling bids in geography, economics, civil engineering, general engineering, clinical imaging and life sciences.

Graduation 2005

6. The main graduation ceremonies will be held as follows:

<u>Date/Time</u>	<u>Faculty/School</u>	<u>Honorary Graduands</u>
23 June 2005 10 am	Faculties of Arts & Social Sciences and Education & Social Work	Dr Edward de Bono
23 June 2005 2 pm	Faculties of Engineering & Physical Sciences and Duncan of Jordanstone College	Professor Julian Hunt
24 June 2005 10 am	Faculties of Life Sciences and Law & Accountancy	Mr Fred MacAulay
24 June 2005 2 pm	School of Nursing & Midwifery	Dr Noerine Kaleeba
12 July 2005 2 pm	Schools of Medicine and Dentistry	Sir John Sulston Sir Alasdair Breckenridge Sir James Black

Lunches and garden parties will be held on campus on 23 and 24 June and a garden party on 12 July. Court members will have been notified of these arrangements.

Congratulations

7. Professor Colin Watts has been elected to the Fellowship of the Royal Society.

Appointments to Personal Chairs

8. The annex to this report sets out recommendations which have the approval of Senate to change the criteria and procedures for appointments to personal chairs. Court is asked to approve these recommendations for implementation during the summer period.

Alan Langlands
June 2005

APPOINTMENTS TO PERSONAL CHAIRS: REVIEW OF PROCEDURE

The University is currently in the process of reviewing many of its procedures in relation to standards of performance. It was agreed in principle at the Senate meeting on 30 March 2005 that the criteria and procedures currently used for appointments to personal chairs should be reviewed.

The main changes being proposed in the new procedure below are as follows:

1. The main criterion as outlined in paragraph 1(a) - 'Every candidate for a Personal Chair must be of such academic distinction in his/her subject as to be deemed worthy of a Chair and to hold the title of Professor.' - will remain as the main criterion.

In addition to the main criterion, the current procedure allows for 'additional considerations'. It is proposed that these should be altered as shown in paragraph 1(b)(i) - (iv).

2. It is also proposed that there should be a Standing Committee rather than an ad hoc Committee for each appointment. The Standing Committee would comprise:

The Principal (as Convener)
 A Vice-Principal
 The Dean of the appropriate Faculty
 Four professors from a pool of nominated professors from each Faculty.

This approach will allow for a more consistent approach to the decision-making process and a quicker response to personal chair nominations.

3. Paragraph 3 has been extended to include further guidance on the evidence required to support a nomination.

These issues were discussed at a meeting of the Principal, Vice-Principals, Deputy Principals and Deans on 29 March 2005 and at Senate on 1 June 2005. Both groups endorsed the introduction of a Standing Committee for personal chairs and noted the need to establish new criteria to reflect changing circumstances. It is proposed that the Standing Committee should be established as soon as possible and that the changes proposed to the criteria should be implemented for the start of academic year 2005/06 and reviewed regularly in light of the work of the Standing Committee.

New Procedure for Appointing to Personal Chairs

Recommendations will be considered in accordance with the following procedure.

1. Criteria

The criteria for appointment of personal chairs are generally as follows:

- (a) Every candidate for a personal chair must be of such academic distinction in his or her subject as to be deemed worthy of a chair and to hold the title of professor.
- (b) In considering a nomination in relation to this main criterion, the Personal Chairs Committee may at its discretion give weight to any additional considerations which it deems relevant in the particular case - for example:
 - (i) that the candidate is a leading researcher and scholar in his or her chosen field and can demonstrate international recognition; this will include *inter alia* high quality publications, success in winning peer-reviewed funding, novel applications of new technologies and the commercialisation of research.
 - (ii) that the candidate can demonstrate national or international eminence in learning and teaching, evidenced by the appropriate academic or professional bodies;
 - (iii) that the candidate's academic standing is based substantially on contributions to his or her subject outwith the University, e.g. by editing prestigious journals, participation in

national or international activities, or having strong industrial or professional experience in the relevant discipline;

- (iv) that the candidate makes an exceptional contribution to the wider economic, social or cultural objectives of the University which gains national or international recognition.

2. Eligibility

When putting forward a nomination for appointment to a personal chair on behalf of a member of staff who has been the subject of a previous nomination, Deans and Heads of Department/School should be aware that normally:

- (i) if a nomination is rejected without the advice of external assessors being sought, a further nomination is allowed after one year; but
- (ii) if a nomination fails to be sent out to external assessors in two successive years, no further nomination is allowed for two years; and
- (iii) if a nomination is rejected after the views of external assessors are sought, no further nomination is allowed for two years.

3. Nominations

A nomination for appointment to a personal chair should be made by the appropriate Dean or through that Dean by the Head of Department/School. A nomination should not be made direct by a Head of Department/School (unless he or she is also the Dean). There is no self-nomination for appointment to a personal chair. While a Dean is expected to comment on a nomination by a Head of Department/School, the Dean should not prevent any nomination from going forward. Nominations should be sent to the Principal.

The nomination should consist of:

- (i) A CV which includes a list of the candidate's publications. In presenting the 'publications' section, candidates are asked to supply full details of all authored books and full details of their ten most important articles, with their four premier publications being 'starred'. Full details of all other publications over the last five years, which may be in tabular form, should also be submitted.
- (ii) A statement of future direction with regard to scholarship, research and learning and teaching activities.
- (iii) Letters of support from the Head of Department/School and Dean if appropriate.

4. Personal Chairs Committee

- (1) The Personal Chairs Committee will meet regularly as required to consider all nominations received for appointment to a personal chair. The Personal Chairs Committee will have the task of deciding:
 - (i) whether the nominated candidate satisfies the main criterion (a);
 - (ii) which of the sub-criteria (b)(i) - (iv) he or she is regarded as satisfying;
 - (iii) who would be appropriate external assessors (six to eight in total). There should also be at least two or preferably three referees based outside the UK. Normally, referees' reports will be sought from appropriate scholars in the United States, Europe and Australasia.
- (2) The Personal Chairs Committee will normally consist of:

The Principal (as Convener)
A Vice-Principal
The Dean of the appropriate Faculty
Four professors from a pool of nominated professors from each Faculty.

- (3) The pool of professors nominated by the Faculty will be reviewed every three years.
- (4) Equality and diversity issues will be taken into account in forming the Committee.
- (5) Where the Committee decides that a nomination should proceed, the Principal, on behalf of the University Court, will write immediately to external assessors. The subsequent recommendation of the Committee (if positive) will be recorded at a full meeting of the University Court.

5. External Assessors

Where the advice of external assessors is sought the nominee will be informed but the names of the assessors will remain confidential to the Committee.

APPENDIX 2

FINANCE & POLICY COMMITTEE (Minute 66(1))

A meeting of the Committee was held on 31 May 2005.

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

In Attendance: Mr W Sutherland, Secretary, Director of Planning & Information, Director of Finance, Mr G A Campbell, Mrs S Beswick (*for item 3*), Mrs P A Milne and Mr T Burns (*for item 4*), Mr J Tavendale (*for item 8*) and Mr D White.

1. MINUTES OF PREVIOUS MEETING

Resolved: to approve the minutes of the meeting held on 29 March 2005.

2. MATTERS ARISING

(1) DDS Medicines Research Ltd (Minute 2(4))

The University Secretary reported that agreement in principle had been reached with the solicitors for DDS Medicines Research Ltd. When papers were received they would be passed to the University's solicitors, the University Secretary and the Director of Finance for final approval.

(2) Residences (Minute 8)

The University Secretary reported that the Belmont and Heathfield projects were under way and that work would soon commence at Seabraes and at West Park. In response to a question, the University Secretary confirmed that various options were being explored so that the estimated completion date for Heathfield of November 2006 does not result in a loss of business from Dundee Student Villages to private landlords. At this stage, completion in time for the start of the 2006/07 session is still being explored. Another option would be to delay the closure of another residence until Heathfield is open.

It had been agreed by the Board of Dundee Student Villages that no decision should be taken on the future of the conference business until trading figures for a full year were available. It was noted that there was no commitment to incur additional expenditure on the Conference Centre prior to this. The staff establishment will be reduced after the period of peak activity in summer 2005.

3. PURCHASING MANAGER

Mrs Beswick, who started with the University as Purchasing Manager on 21 March 2005, was welcomed to her first meeting of the Finance & Policy Committee. She had already identified a number of ways in which greater savings could be achieved. Within the Purchasing Office, work had begun on establishing internal procedures as well as increasing staff knowledge and expertise with on-going training. The Purchasing Manual would be reviewed to make it a more user-friendly document and the Web site and newsletters would be continued as important sources of advice across the University. Mrs Beswick had also been involved in the renegotiation of contracts for universities in consortium agreements across Scotland and Northern Ireland.

The purchasing of travel services was being explored on a joint basis with the University of Abertay. There might be a possibility of further collaboration since the University of Abertay had no dedicated purchasing staff.

An additional Purchasing Officer appointment would be made for one year in the first instance and one staff member would be seconded to the Faculty of Life Sciences for a six-month pilot. This recognised the significant expenditure associated with equipping the new building (around £1.5m) as well as the Faculty's continuing annual spend of around £1.5m on consumables and £2m on other items.

The Committee supported Mrs Beswick's view that the threshold for Purchasing Office involvement should be increased from £5k to £25k, in line with other universities.

4. FRAMEWORK AGREEMENT

The University Secretary reported, together with Mrs Milne and Mr Burns, on the progress of negotiations regarding the Framework Agreement. It was noted that the Dundee branch of the Association of University Teachers had written to members and it was agreed that the response should be that affordability was a key aspect. It was noted that a provision for increased staff costs in 2006/07 as a result of the implementation of the agreement had been made as part of the Financial Strategy. Given the uncertainty, it was concluded that a final decision on affordability could only be made once the process of job evaluation had progressed further. The Committee indicated that it would not support a rise in overall staffing costs beyond what was already envisaged in the financial forecasts. Forecast overall staffing costs needed to allow for potential increases in National Insurance and employer's contributions to pension costs.

Resolved: to recommend that progress on the Framework Agreement be noted and to recognise that a further assessment of affordability would need to be made once job evaluation had progressed further.

5. FINANCIAL STRATEGY

The Director of Finance presented a revised Financial Strategy document. It was noted that the creation of sufficient cash resources to fund the capital requirements of the University (as detailed in the capital programme which formed part of the document) was the key aim of the Strategy. Historically, this had been termed 'surplus generation'. In future, the more appropriate term of 'cash generation' (for investment in the estate and buildings) would be used. Cash generation levels had shown a steady increase between 2000/01 and 2003/04 and this trend was continued in the Financial Strategy so that by 2007/08 there was a projected cash generation level of 8.5% of turnover (made up of 4% surplus and 4.5% depreciation). Borrowing levels remained within the agreed limits of £15m (although short-term bridging up to £20m was acceptable). The Strategy used the detailed budget for 2005/06 as its anchor point and a series of assumptions were included for each major line of income and expenditure. These were considered reasonable by the Committee and the Director of Finance explained why there had been changes since the last general update provided to the Committee.

Resolved: to recommend approval of the Financial Strategy to July 2010.

6. MANAGEMENT INFORMATION

The Director of Finance reported on the extent to which current management processes and information systems enabled pro-active management of capital projects and financial resources. It was noted that the internal auditors would review the paper prepared prior to the next meeting of the Audit Committee. It was also noted that, particularly with larger capital projects, close project scrutiny took place to ensure spends did not over-run.

As the University approached a time of high spending on the capital programme the Committee stressed the need for good procedures for monitoring financial and other indicators. Regular review of financial and other key management information by the Senior Management Team was being introduced early in 2005/06, extending a process already under way in the Support Services.

7. FORECAST YEAR-END RESULT 2004/05

The Director of Finance reported on the latest forecasts, noting that the projected surplus for the year remained unchanged at £3.2m. Capital expenditure monitoring also showed no project overspends.

8. CAPITAL EXPENDITURE APPROVALS

(1) University Library Extension

It was noted that the proposed extension to the University Library aimed to release space by using off-site storage for books, to relocate the Gardyne Road and Mathematics Libraries to the Main Library and to meet the objectives of the 'Towards 2007' vision statement by delivering improved learning facilities. Reservations expressed by the Deputy Principal, Professor Ward, were noted, but it was agreed that any development must fall within budgetary limits. It was also noted that future expansion to the Library (to the west or upwards) was possible. The Director of Finance was asked to check the proposed timescale from a cash flow perspective.

Resolved: to recommend that this project be approved.

(2) Nursing Estates Strategy

Professor Hunt presented the Nursing estates strategy, which envisaged the integration, consolidation and improvement of teaching and staff facilities across three sites. The benefits of greater involvement of Nursing academic staff in the life of the main campus were noted. Again, the Director of Finance was asked to check the proposed timescale from a cash flow perspective.

Resolved: to recommend that this project be approved.

9. CAPITAL EXPENDITURE APPROVALS UNDER £1m

It was noted that the following projects had been approved under delegated powers since the last meeting of the Committee on 29 March 2005:

Duncan of Jordanstone Matthew Building, Level 5 Central IT Suite	£100,000
Library Extension preliminary design work and fees (this was to be rolled into the main project at 8(1) above if approved by Court)	£100,000
TICR Phase 3 (all externally funded)	£246,777

10. APPROVAL OF STUDENT FEES FOR 2005/06

Proposed fees for 2005/06 were noted and approved.

11. VAT

The Director of Finance noted that a VAT assessment of £330k for 2002 was being challenged. No provision had been made in the accounts for last year with the agreement of the auditors; the position was being kept under close review through the University's VAT advisers.

APPENDIX 3

COMMUNICATIONS FROM THE SENATUS ACADEMICUS
(Minute 73)

1. ORDINANCE 46 – STUDENT ACCESS TO PERSONAL INFORMATION

It was reported that the terms of this Ordinance, which dates back to 1990, have been superseded by the requirements of the Data Protection Act 1998 and the Freedom of Information (Scotland) Act 2002. The University has implemented other policies and procedures to meet these requirements. The University's Data Protection Policy can be found at: <https://secure.dundee.ac.uk/recordsmanagement/dataprotection/dundeeonly/DataProtectionPolicy.pdf> and the University's procedures for compliance with the Freedom of Information (Scotland) Act can be found at: <https://secure.dundee.ac.uk/recordsmanagement/freedomofinformation/dundeeonly/guidance.htm>.

The Senatus decided: to recommend to the Court that Ordinance 46 be revoked.

2. APPOINTMENTS TO PERSONAL CHAIRS

The Senatus received a paper from the Principal reviewing the criteria and procedure for appointments to personal chairs along with copies of the current procedure and a draft of the revised procedure.

In his introduction, the Principal stressed the importance of retaining the main criterion of peer esteem while allowing for greater flexibility when assessing particular cases. The proposal to establish a Standing Committee to replace the current ad hoc committees would help to speed up consideration of individuals and to ensure consistent application of the criteria across faculties.

The Senatus decided:

- (i) for its part, to endorse the revised procedure to the Court for implementation at the start of next session;
- (ii) to note that proposals for promotion to reader and for the appointment of honorary professors would be brought to the Senatus next session.

3. PROFESSOR EMERITUS

The Senatus decided: subject to the concurrence of Court, to confer the title of Professor Emeritus upon Professor H Tunstall-Pedoe.

APPENDIX 4

CAMPUS SERVICES COMMITTEE (Minute 74)

A meeting of the Committee was held on 5 May 2005.

Present: Dr L A L Rolland (Convener), Professor A Bissett-Johnson, Professor A Burchell, Professor A F Newell and Dr D S Robb.

In Attendance: Deputy Principal Professor R M W Horner, Dr D J Duncan, Mr P D Evans, Mr D M Yule, Mr D White, Mrs J A Donachie and Mr M Galloway.

1. MINUTES OF PREVIOUS MEETING

Resolved: to approve the minutes of the meeting on 3 February 2005.

2. MATTERS ARISING

(1) Car Parking (Minute 5)

The Secretary reported that a sub-group was currently progressing development of the Green Travel Plan.

(2) Waste Management Plan (Minute 8)

The Director of Campus Services reported that work on the development of the Plan was progressing.

3. REMIT OF COMMITTEE

The Director of Campus Services addressed a paper outlining the remit of the Committee and proposed terms of reference incorporating changes to recognise the changing role of Campus Services within the University. It was also proposed that a procedure be put in place to vet and sign off all capital projects carried out by Estates & Buildings and that a working sub-committee should be established for this purpose. The sub-committee would be notified of all schemes and decide which they would address in accordance with the procedure, thereafter reporting to the Campus Services Committee. The sub-committee would also be charged with maintenance of the Masterplan. It was suggested and accepted that Dr Rolland should be invited to convene the sub-committee.

Members discussed how the arrangements would work in practice and noted that the sub-committee would not be charged with approving developments or making judgements based on financial worth; instead, it would be required to report to the Campus Services Committee prior to proposed developments being reported to the Finance Committee.

Following discussion and agreement by the Secretary to review the wording of the overall purpose, members supported the proposal, noting that membership of the sub-committee would comprise a core with other members co-opted as appropriate.

Resolved: to support the proposals.

4. CITY CAMPUS MASTERPLAN: NEXT STEPS

The Director of Campus Services confirmed that the plan prepared previously by Page and Park had been central to the evolution of this current Masterplan. It was also confirmed that the consultation process was still open. Contributions made so far were being assimilated and these would be reproduced in brochure form as a working document. Contact with Terry Farrell would be maintained for continued guidance.

The Director requested that final comments on the Masterplan were submitted within one month.

Mr Galloway indicated that the Masterplan should be lodged with the City Council as a formal planning application and indicated that individual components would be tested against the Masterplan. Asked to

comment upon the timespan for the Masterplan, Mr Galloway intimated that the preference was for a 15 year vision, with five-yearly reviews.

The Committee noted that Court members had received a presentation of the Masterplan and had given an enthusiastic response.

Members noted that disability non-discrimination requirements had been addressed and pedestrianisation measures had been agreed following a full risk assessment.

5. **NINEWELLS MASTERPLAN**

The Director of Campus Services reported that the Director of Operations within the Tayside NHS Division at Ninewells intended to create a Masterplan. Acknowledging the University's considerable investment at Ninewells, members agreed the need for University input to development of the plan, ensuring also that laboratories were included as well as clinical and teaching areas. It was therefore suggested that there would be value in Professor Burchell participating in this exercise.

Noting that much of the masterplanning work would be concerned with the use of internal space, Mr Galloway confirmed that he would be seeking to ensure that an overall design concept was included as a key requirement, as this was no longer obvious within the Ninewells complex.

6. **CAPITAL PROGRAMME**

The Director of Campus Services provided the following oral update on capital projects:

Queen Mother Building – on schedule for completion July/August. CIR – also on target for completion July/August; however, occupancy could be later. It was proposed that the issue of opening ceremonies for both of these buildings needed to be addressed.

Library extension – Austen Smith Lord to go through a procurement process with a view to being on site early 2006 and complete in Spring 2007.

Faculty of Education & Social Work/teaching building - approved by Court; target to occupy building 2007. Cost £15.8m.

Old Medical School and Carnelley Building – due to start Summer 2005; scheduled to complete at same time to facilitate consequent moves.

University Green – phase 1 to be complete by late Spring 2006 for graduation garden parties. Cost £2.2m for entire project.

Institute of Sport & Exercise – interviewing exercise for architect complete; subject to review by sub-committee. Cost: £7.8 m.

Clinical Research Centre, Ninewells – £8.8m approved.

It was noted that a written report would be submitted to future meetings of the Committee.

7. **SUSTAINABILITY FORUM**

Professor Horner addressed the Committee, reminding members that the group had been formed 12 – 15 months ago to increase awareness of sustainability, to share research proposals and provide support for the sustainability agenda. Members noted that this was an open forum that anyone was welcome to attend, including students who had already been involved and it was recognised that the NHS dimension had to be included.

A University draft environmental strategy had been prepared and targets and performance indicators required to be incorporated. It was noted that Mr David Summerville had addressed the last meeting and had indicated the need to ensure that sustainability was an imperative rather than an option.

In response to a question, the Director of Campus Services confirmed that the use of energy-saving technologies such as solar panels were considered in the design of new buildings and that whole life-cycle costs were considered as part of the design process.

8. BIODIVERSITY

The Acting Deputy Director of Campus Services described the process being followed to replace the Central Energy Plant, a significant project costing £1.6m.

Members heard that the use of biomass fuel was at the cutting edge of technology and grants worth up to 50% of total cost were available. Although energy created through biomass was purchased at a higher tariff, the payback accrued over 8-10 years and after payback income of around £250k per annum could be realised.

The Committee noted that one other University was currently pursuing the potential of using biomass for electricity. However, Dundee was alone in planning to use biomass for the generation of energy for both electricity and heating. Geothermal energy was also to be reviewed.

Resolved: to support this initiative.

9. TRAFFIC AND CAR PARKING ISSUES

The Acting Deputy Director of Campus Services gave a presentation on car parking issues.

Members noted plans for the creation of a car park below Caird House at a cost of £130k. This was due for completion in late summer. Access to the facility had to be negotiated with SET, which owned the adjacent land. It was noted that this was a short-term measure to address car parking requirements over the next 18 months and that the car park was being developed on unused land.

One of the longer term solutions being explored was the further development of existing car park facilities off Hunter Street which were currently owned by the City Council and the University. The proposal was to investigate the possibility of a multi-storey facility with commercial units below; these might be occupied by spin-out companies. This would be an attractive proposal for both organisations as it would extend activity at Hawkhill and aid the development of the cultural quarter. An estimated 700 spaces would be provided and funding would be secured through the City Council borrowing framework. Both variable stay and long stay provision would be included in the proposal. The proposal was being presented for information only at present. The target timescale was for implementation within five years.

The Acting Deputy Director also gave an overview of how current and future developments on old Hawkhill were being managed to minimise the risk for student and staff safety posed by contractors' traffic.

10. SECURITY

The Acting Deputy Director of Campus Services described measures being adopted to address security issues including a system for logging incidents and the interface with bodies such as Dundee Student Villages.

The paper presented to the Committee outlined proposals for the evolution of a security strategy.

Resolved: to ask members to consider the proposals and pass comments to the Acting Deputy Director.

11. HAWKHILL COURT

The Director of Campus Services indicated that the University had been invited by the owners of a site to the west of the main campus to discuss a proposed housing development.

This area was highlighted within the Masterplan for possible future expansion. The University had objected to elements of the development and in response the developer had amended the plans to address the University's concern. There followed discussion of the options open to the University in relation to the site and the adjacent site that the University owned; these ranged from the University purchasing the development site through to the University selling the area that it owned. Members noted that if the University was cash-rich, it would be pursuing the option of purchase, but this was not currently a viable option.

Mr Galloway indicated that the proposed housing development was attractive to the City in that it would help develop and grow the West End market and develop a link between the West End and Dudhope Hill. Purchase of the area currently owned by the University would lead to a better layout of the site.

Members were concerned that if the University lifted its objection and allowed the site to be developed, future occupants of housing in the new development might object to any subsequent proposals submitted by the University. Mr Galloway indicated that it would be incumbent upon the developer to be aware of potential developments on adjacent sites and this would impact on any decisions around objections.

Resolved: to recommend that the University should withdraw its objection, but retain ownership of the plot to the south-east of the site.

12. **CAMPUS SERVICES REVIEW - UPDATE**

The Director of Campus Services provided an overview of the proposed organisational structure. He reported that the revised structure had been broadly accepted by staff.

APPENDIX 5**AUDIT COMMITTEE
(Minute 75)**

A meeting of the Committee was held on 24 May 2005.

Present: Mr W Sutherland (Convener), Mrs S Brown and Ms J M Thomson.

In Attendance: Mr B W M Johnston, Secretary, Deputy Secretary & Clerk to Court, Director of Finance; Mr G M Hay and Mr S Inglis (Henderson Loggie); Mr I Lee and Mr A Aitchison (Ernst & Young).

1. MINUTES OF PREVIOUS MEETING

Resolved: to approve the minutes of the meeting on 8 March 2005.

2. MATTERS ARISING**(1) Joint VFM Studies (Minute 2(2))**

The internal auditors advised that their work for the study on debt control was complete in Dundee, but there had been a delayed start to the work in St Andrews. Deloitte had completed their part of the study in Abertay.

Resolved: to request that the report on this study be made available to Committee members as soon as it was ready, rather than be held over to the next meeting.

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

The Director of Finance reported on the terms of the University's agreement with the brokers regarding the security of investments. The Committee agreed that this information did not provide sufficient assurance that the risk was acceptably controlled. The Convener of the Finance & Policy Committee agreed that representatives of Gerrards would be interrogated about the terms of their agreement with the Bank of New York, as custodians, at the meeting of the Endowments Sub-Committee on 3 June.

(3) Capital Programme (Minute 2(4))

It was noted that a paper on the robustness of financial management capabilities was now expected to be submitted to the meeting of the Finance & Policy Committee on 31 May. It would be passed, together with the comments of the internal auditors, to the next meeting of the Audit Committee. It was clarified that the auditors would be requested to give an opinion on the University's ability to control expenditure proactively and on the ability of the Finance Office to give accurate updates on expenditure against budget. In acknowledging this charge, the auditors pointed out that they would need to draw upon other evidence besides the submitted paper.

(4) Perth Road Flats (Minute 2(8))

The Secretary reported that legal action was continuing.

(5) Restructuring of Support Services (Minute 4)

The Committee received details of the proposed restructuring of Planning & Information (including IT Services) and Campus Services. In discussion it was explained that the initiative for IT developments arose in different ways: some, like the major Netcomms project, were University-wide and were driven centrally; others related to specific systems for support services, e.g. the CODA financial system, or to particular improvements for individual faculties. With reference to the recent internal audit report on computer audit (2004/16), it was clarified that IT Services had completed a disaster recovery plan using the standard University template; the incomplete work referred to in the report related to wider aspects of business continuity planning.

It was pointed out that the new post of Practice Manager in Campus Services would have a critical responsibility for liaising with the Finance Office on monitoring of the capital programme.

3. IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS

The Committee received a status report on all higher priority internal audit recommendations due to be implemented by 30 April 2005. It was noted that, while the outstanding recommendation relating to the School of Architecture on the production of a health and safety policy was still not implemented, new staff were in post and the work was almost complete.

- Resolved:**
- (i) to set a deadline of 31 July 2005 for the completion of disaster recovery plans by the Medical School;
 - (ii) with reference to the student debt target of no more than 5% of annual student income by the year-end, to invite the Director of Finance to review this figure if a lower target seemed achievable.

4. INTERNAL AUDIT REPORTS

The Committee received reports on the following assignments:

2005/02 Department of English
 2005/03 Department of Accountancy & Business Finance
 2005/04 Cash and Bank

Members raised questions and commented on the reports; responses were given by the auditors and officers. It was agreed that it was the responsibility of heads of departments to ensure that regular checks were carried out for the purpose of updating equipment inventories.

- Resolved:**
- (i) to invite the Secretary to report back on arrangements for the provision of protection against computer viruses, which in the Committee's view should be standard across the University and implemented centrally as a network service;
 - (ii) to invite the Director of Finance to review the completion dates against recommendations in the Cash and Bank report, some of which the Committee felt should be more immediate than the end of June.

5. EXTERNAL AUDIT – FINANCIAL YEAR ENDING 31 JULY 2005

The Committee received a Client Service Memorandum from the external auditors, outlining their proposed audit approach. The auditors commented on a number of issues in detail. It was noted in particular that the University had appealed against a retrospective VAT assessment of £332k for the year ended 31 July 2002 and that this might become the subject of a VAT tribunal. The Director of Finance confirmed that the University was being treated differently from other universities as a result of the view being taken locally by HM Customs & Excise. It was agreed that it would be difficult to quantify an appropriate provision in the 2004/05 financial statements in case the assessment was upheld, since such an outcome could lead to further retrospective claims.

With regard to the auditors' discovery that bank reconciliations had not been performed on the University's main bank accounts since November 2004, the Director of Finance admitted that this was very disappointing. The backlog had occurred as a consequence of the recent restructuring of the Finance Office; remedial work was in hand and the reconciliations would be up to date within a few days.

The auditors invited suggestions for further topics to be examined in Ernst & Young's sector-wide benchmarking studies. They also updated the Committee on discussions within the sector, including SHEFC, regarding pension scheme valuations and their accounting treatment.

- Resolved:**
- (i) to invite the Director of Finance to seek a written opinion after 31 July from the University's VAT advisers on the extent of the potential liability;

- (ii) otherwise, to approve the proposed audit approach.

6. DATES OF MEETINGS

The Committee noted the dates which had been approved by Court for meetings of the Committee in 2005/06.

7. AUDIT COMMITTEES – NEW GUIDANCE

The Committee was apprised of a guide to self-assessment for Audit Committees, produced by Ernst & Young. The new Combined Code published by the Financial Reporting Council in 2003 required Audit Committees to carry out an annual assessment of their effectiveness, but without guidance on how this should be done. It was noted that the provisions of the Code were not yet mandatory for the higher education sector: SHEFC was expected to comment on this in the near future.

It was also noted that CIPFA had just published a revised edition of its Handbook for Audit Committee Members in Further and Higher Education. Copies would be circulated to the Committee in due course.

Resolved: to invite the external auditors to make copies of the self-assessment guide available for distribution to the Committee.

8. RISK AND INTERNAL AUDIT

The Convener questioned whether major institutional risks, such as the financial commitments arising from the building programme and loss of income through under-recruitment of students or unfavourable results from the 2008 RAE, were adequately addressed by the internal audit programme. It was noted in discussion that the risks referred to were included in the University risk register, which was kept under review by the Risk Management Monitoring Group of Court. The Audit Needs Assessment that would have to be carried out soon for the period 2005-08 would be closely related to the risk register. It was pointed out however that some major risks, such as the RAE, were not particularly amenable to work by the auditors and were better addressed by senior management and through the committee structure of the University. It was agreed that the Audit Committee should receive assurances that action was being taken to address all major risks.

Resolved: to request sight of the institutional risk register at the next meeting.

9. APPOINTMENT OF INTERNAL AUDITORS

[Note: the auditors were not present for this item.]

The Committee received a paper by the Director of Finance and the Deputy Secretary setting out and commenting on the various options for the provision of an internal audit service following the completion of Henderson Loggie's contract on 31 October 2005. It was noted, inter alia, that the likelihood of entering into any form of consortium arrangement with universities or other organisations was inhibited by (a) the difficulty of finding suitable partners who were at the same stage in reviewing audit arrangements, i.e. without on-going contractual commitments, and (b) the need for each institution to have different internal and external auditors. The Efficient Government initiative was a spur to considering the sharing of 'back office' services with further or higher education institutions or organisations in the public sector, but given the comparatively small scale of expenditure involved there was no prospect of funding support.

- Resolved:**
- (i) to seek internal audit services for the period from 1 November 2005 on the basis, as before, of a single-client contractual relationship with an external provider;
 - (ii) to exclude value for money studies from the scope of the internal audit contract and to make other arrangements for this type of work;
 - (iii) to invite officers to carry forward a tender process involving accountancy firms and possibly one other potential provider, with a view to presentations/interviews for tendering organisations taking place at a special meeting of the Committee in the first half of September.

APPENDIX 6**HUMAN RESOURCES COMMITTEE
(Minute 76)**

A meeting of the Committee was held on 24 May 2005.

Present: Ms E A Robertson (Convener), Dr R J Abboud, Ms C Bain and Professor J Calderhead (Vice-Principal).

In Attendance: Dr D J Duncan, Mrs P A Milne, Mrs J M Strachan and Mr Ajit Trivedi.

1. MINUTES OF PREVIOUS MEETING

Minutes of the meeting held on 1 February 2005 were approved.

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

The Director of Human Resources reported that the exercise to review fixed-term contracts at the University was now complete. Research staff had been the last group considered. The Director of Human Resources confirmed that she would be meeting the Deans in June regarding the exercise and the future use of the Policy.

Resolved: to request that a report on the final number of transferees from fixed-term to permanent contracts be submitted to the next meeting of the Committee.

(2) Physical & Inorganic Chemistry (Minute 2(2))

The University Secretary confirmed that nine members of staff were affected by the closure of PIC. It was reported that out of the nine, four had been redeployed within the Faculty, three had moved to the University of St Andrews and one had moved to the University of Aberdeen. For the remaining person, various options were being considered; it was anticipated that a solution for this individual would be achieved by September.

Resolved: to note the position.

(3) Annual Review (Minute 2(3))

The Director of Human Resources confirmed that the overarching University criteria for promotion to Senior Lecturer still applied and that there had been no development of any Faculty-specific criteria at this stage, although this had been raised with the Deans and was still an option that could be considered.

Resolved: to note the position.

(4) Staff Attitude Survey (Minute 3(3))

It was confirmed that a Staff Attitude Survey was part of the Human Resources Strategy and that further work on this would be initiated once funding sources had been identified. It was noted that the University might have to tender for a provider, depending on cost.

Resolved: to note the position.

3. HUMAN RESOURCES

(1) Pay Award 2005/06

The Director of Human Resources updated the Committee on the national negotiations for 2005/06. It was reported that the Universities and Colleges Employers Association (UCEA) had received two claims: the academic union was requesting an 11.2% increase, in addition to other claims; and the support staff unions were requesting a substantial increase in all pay spine points, a minimum starting salary equivalent to at least £6.50 per hour, a minimum of 25 days holiday per year, and a number of other claims which were currently being negotiated at a local level. It was noted that UCEA's offer had been 5% over two years but this had been rejected. It was reported that the next meeting of UCEA and the unions was scheduled for 23 June.

(2) Framework Agreement

It was reported that the Framework Agreement Working Group was meeting every three weeks and discussions were focusing on three main areas: design of the pay and grading structure, job evaluation and harmonisation. It was confirmed that the University was close to agreeing a pay and grading structure; however, the University had made it very clear at every stage of the negotiations that whatever model was agreed, it had to be affordable. Papers relating to this were being sent to the Finance & Policy Committee for consideration. In connection with job evaluation, the Director of Human Resources confirmed that an information leaflet on HERA was with the unions for comment and, once agreed, would be circulated to staff. Open meetings would then be organised around the various campuses. It was reported that discussions relating to harmonisation had centred on the University's proposal for a working week of 37 hours for clerical, technical and manual staff, and the unions counter-proposal of 35. Various exercises were being carried out to cost the different scenarios.

The Director of Human Resources explained that for academic roles, the University would be using the National Library of Academic Role Profiles. A meeting had taken place with DAUT to agree the use of these profiles and a meeting would take place with Deans to consider these profiles and any modifications required. It was noted that the same methodology would be used to evaluate these roles as for the other roles within the University.

There was some discussion about AUT's national advertising campaign and the fact that Dundee had been targeted along with a Welsh and an English institution. Disappointment had been expressed that AUT had taken this stance, particularly as negotiations at a local level had been productive and the University was close to reaching agreement on a pay and grading structure. The view was expressed that AUT was keen to get an agreement in place with a Scottish institution and as Dundee appeared to be ahead of other institutions, a certain degree of pressure was being applied.

Resolved: to note the position.

4. EQUAL OPPORTUNITIES

The Equality and Diversity Officer reported on work undertaken since his appointment three months ago and identified the main priority areas for the coming year. One of the key priorities identified was the revision of the Race Equality Policy and Action Plan. It was reported that once final comments had been received on this, it would be circulated to the wider University for information and placed on the Web. A review of the Dignity at Work and Study Policy had also taken place and general updating of the Policy was in progress. It was also noted that the Harassment Contact Network was being expanded. The number of complaints of harassment and bullying reported to the harassment contacts in 2004 was considered. It was noted that out of 26 complaints, six had gone forward as formal complaints.

It was reported that to meet the requirements of the Disability Discrimination Bill, several recent initiatives had been developed by the Disability Services team. It was noted that the Equality and Diversity Officer would be supporting the Head of Disability Services in developing and implementing the Disability Policy and Disability Scheme, which had to be in place by December 2006.

It was confirmed that the Professorial Women's Network was being re-launched as the Gender Equality Network and membership was now being extended to include men as well as women. Other issues reported on included on-going work relating to the promotion of positive initiatives for international students and the establishment of an Equality and Diversity Steering Group at the School of Nursing &

Midwifery. It was confirmed that this Group would pilot initiatives in certain areas, which would be aligned to the overarching University policies and initiatives relating to Equality and Diversity.

- Resolved:**
- (i) to request that a copy of the final version of the Race Equality Policy and Action Plan be circulated to Committee members;
 - (ii) to note that the review of the Dignity at Work and Study Policy should take into account the provisions of the Ordinances when handling student cases;
 - (iii) to request that a report be provided on the outcome of the six formal complaints handled under the Dignity at Work and Study Policy.

5. STAFF DEVELOPMENT

(1) Management & Personal Development

A report from the Director of Management and Personal Development was received. It was noted that Heads of Department training with Insights had started in May and that this programme of development for senior staff might be extended if feedback from the pilot group was positive. Collaborative work with other universities was continuing, through Universities Scotland, and also local initiatives with St Andrews, Abertay and Stirling (the Career Bridge and the Springboard programme).

(2) Academic Professional Development

A report from the Director of Academic Professional Development was received. It was noted that the PgCertTHE programme had been successfully reaccredited by the Higher Education Academy and that the first module of this Certificate had now become mandatory for probationary lecturers and new teaching fellows.

It was also reported that a cross-institutional mentoring project for female academics had been successfully launched with St Andrews University and that 40 individuals were currently participating in this pilot scheme.

6. HEALTH & SAFETY

(1) Safety Sub-Committee

Minutes of the Safety Sub-Committee meeting held on 9 May 2005 were received.

(2) Stress Management

A report from the Head of Safety Services was received. It was noted that the Health and Safety Executive (HSE) had visited the University specifically to conduct an inspection on stress management. Although the written report on the visit was still to be submitted, it was clear that importance was being placed on having a Stress Policy and Guidelines up and running and stress risk assessments carried out routinely throughout the University.

A draft Stress Management Policy and Guidelines was discussed. A request to include a different set of appendices was considered but discounted as they did not match the headings used by HSE.

- Resolved:** to approve the Stress Management Policy and Guidelines, subject to a minor amendment, which was to include a blank stress risk assessment form with the Management Guidance.

7. LOCAL JOINT COMMITTEES

(1) University/Amicus-MSF Joint Committee

Minutes of the meeting held on 27 April 2005 were received.

(2) University/UNISON Joint Committee

Draft minutes of the meeting held on 10 May 2005 were received.

(3) University/DAUT Joint Committee

Draft minutes of the meeting held on 6 May 2005 were received.

Some discussion took place regarding the Medical School Academic Review document and the fact that it had caused some anxiety and concern for staff at the Medical School. The Director of Human Resources confirmed that the Dean had spoken to this item at the LJC meeting and had confirmed that consultation had taken place in the Faculty over the document. He had confirmed that the purpose of introducing the review was to identify what contribution each member of staff was making to the Faculty. It was noted that a letter was to go out to staff to explain this and to confirm that engaging in the process would be on a voluntary basis.

DAUT's request for Court representation on the Joint Committee was also noted. It was confirmed that Court had considered the position recently and had decided that the University should determine six representatives; there was no requirement for a lay member to be present.

Resolved: to note the position.

8. **ANNUAL REVIEW**

Reports from the Faculty Annual Review Groups (annex A) and the Administrative, Library & Computing (ALC) Staff Annual Review Group (annex B) were received.

Members of the Committee were thanked for their contribution over the last academic session.

ANNUAL REVIEW 2005 - RESULTS OF FACULTY ANNUAL REVIEW GROUP MEETINGS

1. CONFIRMATION OF APPOINTMENT

This section of the minute has been redacted to protect personal data. The University claims the exemption in S.38(1)(b) of the Freedom of Information (Scotland) Act 2002.

ALC ANNUAL REVIEW 2005

A meeting of the ALC Annual Review Group was held on 18 April 2005.

Present: Dr D J Duncan (Convener), Mrs P A Milne, Mr G Westwater, Ms A Douglas, Mrs J M Strachan and Professor G C Ward.

In Attendance: Mrs G Boyd

This section of the minute has been redacted to protect personal data. The University claims the exemption in S.38(1)(b) of the Freedom of Information (Scotland) Act 2002.