

## UNIVERSITY OF DUNDEE

## UNIVERSITY COURT

A meeting of the University Court was held on 24 October 2005.

Present: Mr J R Milligan (in the Chair), Principal Sir Alan Langlands, Dr R J Abboud, Ms C A Bain, Professor A Burchell, Dr J R Elliott, Dr A Goligher, Mr B W M Johnston, Dr J Lowe, Dr H Marriage, Ms A Newton, Ms E A Roberton, Dr A M Roger, Dr L A L Rolland, Mr E F Sanderson, Mr W Sutherland, Dr M R Ward and President of the Students' Association.

In Attendance: Vice-Principal Professor J Calderhead, Secretary, Deputy Secretary & Clerk to Court and Directors of Finance, Human Resources, Information Services and Strategic Planning.

1. **MINUTES**

**The Court decided:** to approve the Minutes of the meetings on 13 June and 7 September 2005.

2. **MATTERS ARISING**

(1) Financial Strategy (13 June, Minute 66(2))

A member queried why, despite earlier indications to the contrary, there had been an increase in the rate of taxation applied in the budget model for 2005/06. It was clarified that the increase related to 'other income' only, i.e. not core or research income, and had been necessary because of a reduction in the number of income streams included in this category. This had been a difficult management decision and it was recognised that certain activities would be more directly affected than others.

(2) Committee Membership 2005/06 (13 June, Minute 70(1))

**The Court decided:** to note the membership of Court Committees for 2005/06, as approved under delegated powers by the Nominations Committee, and to approve the proposed membership of the Nominations Committee itself (**Appendix 1**).

(3) University of Dundee Clinical Pharmacology Fund (13 June, Minute 77)

The Secretary reported that there had been a management buy-out of DDS Medicines Research Ltd and discussions were taking place with the Trustees on the future of the Fund.

**The Court decided:** to defer the appointment of any new Trustees pending the conclusion of these discussions.

### 3. CHAIRMAN'S BUSINESS

#### (1) Chairman's Action

The Chairman reported that since the last meeting he had approved, on the Court's behalf, the following matters which had been deemed urgent:

- (a) nomination of the Dean of Education & Social Work, Mrs Liz Gillies, to the General Teaching Council for Scotland;
- (b) disposal of University shares in the dental technology spin-out company IDMOS, to enable the company to widen its investment base. The sale had realised £1.4m and the University still owned 12% of the company.

#### (2) Universities Scotland Conference

The Chairman intimated that Universities Scotland was organising a conference on international issues in Edinburgh on 25 November 2005. The programme involved a variety of prominent speakers including the First Minister. Institutions were invited to nominate up to eight representatives each and it was hoped that these might include lay members of Court. A few members indicated a possible interest in this event, subject to diary commitments, and were asked to confirm their availability to the Secretary.

#### (3) Award for Principal

The Chairman apprised the Court of the recent award to the Principal of the accolade of Public Service Sector Leader of the Year, in the Scottish Business Insider Elite Awards. Members received this news with acclamation.

### 4. PRINCIPAL'S REPORT

The Court received a report from the Principal (**Appendix 2**). In discussion it was clarified that varying figures quoted for the percentage of students entering the University through Clearing could be attributed to different definitions of the Clearing process. The true figure would not be known until November, but it was expected to be, as indicated in the report, less than 8%. It was noted that the number of new taught postgraduates had now risen to over 1100 (including part-time and distance learning), of which around 330 were classed as overseas. It was confirmed that the Sunday Times Good University Guide was independent of the similar league tables published in The Times. All Scottish Universities had dropped in the former's rankings for this year, for the reason given in the report.

The Principal reported orally on the following additional matters:

- (a) The recent launch in Paris of the UNESCO Centre for Water Law, Policy & Science based in the University. There were only 12 UNESCO centres in the world and this was the only one in the UK. Funding support was being made

available by the Scottish Executive (£900k over five years). Two new professorial appointments were associated with this development and the Peters Building was currently being converted to accommodate the activity. The Principal paid tribute to the hard work of Dr Patricia Wouters and other staff who had contributed to this achievement.

- (b) The Principal's imminent attendance at a University Graduation Ceremony in Eritrea, where around 20 students had completed a course through distance learning leading to the Degree of Bachelor of Nursing. One of the advantages of this type of course delivery was ensuring that skilled health workers remained in their own country, where they were in great demand.
- (c) The award by the Wellcome Trust of £8.1m over five years to a team of scientists in the new Centre for Interdisciplinary Research, led by Professors Mike Ferguson and Alan Fairlamb, to support a drug discovery programme for the treatment of serious but neglected tropical diseases. New appointments for this initiative were being made in the areas of Medicinal and Computational Chemistry, as foreseen in the recent review of Chemistry (which had led to the phasing out of the Division of Physical & Inorganic Chemistry).
- (d) On-going discussions with an international company wishing to undertake an initiative in translational medicine in Scotland. It had now been determined that such a development would be based in this University and an announcement was expected in December or early in the new year.

**The Court decided:** to welcome the positive news about the University's successes in the Principal's report.

## 5. FRAMEWORK AGREEMENT

The Court received a presentation by the Director of Human Resources and the University Secretary, reporting on progress in discussions with the recognised unions regarding a new pay and grading structure. A joint agreement between the University and DAUT had now been drawn up, which had been accepted in principle by AUT's National Committee. DAUT was to consult its membership about the agreement in the near future.

The Finance & Policy Committee had concluded in May that the draft proposals being worked on would be affordable within the current Financial Strategy, provided no more than 10% of posts were regraded upwards following job evaluation and that there were no other increases in staff costs. The total cost of introducing the proposed new pay and grading structure was now estimated to represent an increase of around 2% of total salary costs and was slightly less than the position in May: this was therefore within the bounds of affordability, although the Committee's caveats still applied. It was noted that the current estimate did not allow for the effects of possible increases in pensions and national insurance contributions, nor additional pay inflation which might arise from higher than usual national pay claims prompted by the introduction of top-up fees in England. Separate provision would have to be made for such additional costs.

Dr Roger and Ms Robertson, Convener of the Human Resources Committee, both commended the amount of work done by all involved, particularly professional staff in Human Resources, to meet the deadline of August 2006 for introduction of the new pay and grading structure.

**The Court decided:** to approve the proposals as presented as the basis for a pay and grading structure for the University and for further work to be undertaken towards its implementation - including agreement with the other recognised unions.

## 6. FUNDING COUNCIL MATTERS

### (1) Establishment of Scottish Further and Higher Education Funding Council

The Court received a copy of a circular letter from the Deputy Chief Executive of the unified Funding Council, intimating that it would officially come into being on 3 October 2005. A Scottish Executive press release containing biographical details of members of the new Council was attached: it was noted that they included Court member Dr Janet Lowe.

### (2) Financial Memorandum

The Court received a copy of a letter from the Chief Executive of the new Funding Council seeking confirmation that the governing body would agree to accept the revised Financial Memorandum between the Council and higher education institutions, with effect from 1 January 2006. The Court also received a copy of an earlier letter, dated July 2005, on behalf of the former SHEFC, intimating that the content of the new Memorandum had been approved by that Council and explaining in detail the consultation process which had been adopted and the views that had been taken into account in the development of the Memorandum. It was noted that the new Memorandum was significantly different from its predecessor, which had been in force since 1998 and which was much longer and more prescriptive.

Concern was expressed in discussion as to what might constitute the 'reasonable notice' the Council would provide of any significant change to its policies and procedures and in overall funding levels (paragraph 10 of the Memorandum). It was argued, however, that it would be difficult to seek greater precision in the document on this point, as the relevant provision in the previous Memorandum was similarly worded; it should be recognised also that the Funding Council was subject to the same constraints and uncertainties as all other recipients of Government funding. The Principal indicated, moreover, that the new Council was continuing the approach of its predecessor in pursuing a constructive dialogue with the sector on a variety of issues. Dr Lowe confirmed that the Council wished to engage with institutions and opportunities for interaction should be encouraged, e.g. by inviting members of the Council to visit the University.

Members agreed that the single greatest concern arising from the establishment of the new Funding Council was that global funding for both further and higher education might become undifferentiated between the two

sectors: there was, however, no sign of this happening at the moment. It was noted that the Audit Committee had identified the possibility of a reduction in total Government funding for the University sector as a major risk which should be encompassed within the institutional risk register (see Appendix 6, item 3(7)).

**The Court decided:** to authorise the Secretary to accept, on the Court's behalf, the terms of the new Financial Memorandum with the Scottish Funding Council.

## 7. CHANGING THE ACADEMIC MANAGEMENT STRUCTURE OF THE UNIVERSITY

The Court received a paper by the Principal setting out detailed proposals, flowing from earlier discussions at the Court Retreat, for changing the academic management structure of the University. The paper had already been submitted to the recent meeting of the Senate and the Court's attention was drawn to the views of the Senate as recorded in its report to this meeting (see Appendix 4). In a covering note to the paper, the Principal confirmed that he intended to discuss the issues with the wider University community (Faculty Boards, Academic Council, Graduates' Council and recognised unions) before making formal recommendations to the December meeting of Court.

The Principal answered a number of questions posed in discussion. Members who had been present at the Senate meeting confirmed that, while specific concerns had been raised, the general response to the proposals had been positive. Support was expressed for the grouping together, in one of the proposed Colleges, of existing disciplines in Duncan of Jordanstone College with Engineering, Computing and Mathematics – which, it was argued, reflected synergies in the 'real world' of professional practice and industry. It was emphasised that the proposed structure need not be seen as threatening to the identity of individual disciplines; on the contrary, the emphasis on professional schools would reinforce such identities.

**The Court decided:**

- (i) to approve the proposals in principle as a work in progress and to await detailed recommendations at its next meeting;
- (ii) to invite members to submit individually to the Principal any further comments on the proposals.

## 8. FINANCE & POLICY COMMITTEE

The Court received reports of the Committee's meetings on 5 September and 10 October 2005 (**Appendix 3**). The Court's attention was drawn to the recommendation from the 5 September meeting (item 6) that members of the separate superannuation scheme for former staff of the Colleges of Nursing & Midwifery should be transferred into the University's main superannuation scheme at a cost of £100k - although the merger would result in annual savings in excess of this amount. Matters which were highlighted in the report of the 10 October meeting were the positive and negative developments relating to the Financial Strategy and the pre-audit forecast surplus for

2004/05 of £2.1m (items 3 and 7). The Convener of the Finance Committee indicated that cash flow for the capital programme remained on target, although he advised that all new approvals should be subject to a caveat that project timetables might be varied to ensure that the University remained within its overall borrowing limit.

A member queried the wisdom of the proposal that fees for overseas students in 2006/07 should be frozen at their current levels (item 8(7), meeting of 10 October), as a steeper increase in two years' time could have a negative effect on recruitment. It was also pointed out that a small increase per head in 2006-07 would amount to a significant sum of money in total for the University. It was claimed that course organisers had not been consulted about the proposal. It was explained, on the other hand, that the Committee had deferred to advice from the Director of Admissions & Student Recruitment, who was more knowledgeable about market conditions - including the disincentives now posed by the increased UK visa registration fee and the strength of the pound. There was a danger that increasing fees at this time could make the University uncompetitive and lead to an overall reduction in income. It was emphasised too that the Committee had not actually approved the proposal, but had requested a sensitivity analysis.

Another member argued that, notwithstanding inflationary increases, the presentation fee for staff undertaking higher degrees did not cover costs and should be reviewed.

**The Court decided:** (i) noting that the matter was urgent, to delegate authority to the Principal to review, and reach a decision on, fee levels for 2006/07, taking account of the views expressed by Court members;

(ii) otherwise, to approve the reports.

#### 9. REFURBISHMENT OF OLD TECHNICAL INSTITUTE, OLD MEDICAL SCHOOL AND CARNELLEY BUILDING

The Court received a capital authorisation proposal for the conversion and upgrading of the above listed buildings around College Green. The proposed works would provide improved accommodation for the Life Sciences Teaching Unit, as well as space for staff offices, research and other purposes for the Faculty of Education & Social Work (complementing the provision of dedicated teaching space for the Faculty in the new teaching block, to be built on the Heathfield site). The total estimated cost of the project was £3.8m, plus £284k for equipment, which would be met from general University funds.

**The Court decided:** to give full authorisation for the project to proceed, as recommended by the Finance & Policy Committee, subject to a degree of flexibility on timing according to the overall funding requirements of the capital programme.

#### 10. APPOINTMENT OF CHANCELLOR

The Court noted, with regret, that the Chancellor had intimated his wish to demit office in the first half of 2006. It was agreed that his departure would be a great loss to the University.

The Court was advised that an appointing committee was being formed to identify a successor, comprising the Chairman of Court (Convener), the Principal, the President of the Students' Association and four additional members each from the Court and the Senate. It was noted that, in accordance with normal practice in such circumstances, the Court nominees should comprise two lay and two academic members.

**The Court decided:** to appoint the following to membership of the appointing committee:

Dr Janet Lowe  
 Professor Alan Newell  
 Mr Eric Sanderson  
 Dr Martyn Ward

#### 11. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senatus on 12 October 2005 (**Appendix 4**).

**The Court decided:** (i) to approve the recommendations concerning conferment of the titles of Professor Emeritus and Honorary Fellow;  
 (ii) otherwise, to note the report.

#### 12. OTHER COMMITTEE REPORTS

The Court received reports from the following:

|  |                   |                   |
|--|-------------------|-------------------|
| Emergency Committee<br>(Car Parking Regulations) |                   | <b>Appendix 5</b> |
| Audit Committee                                  | 27 September 2005 | <b>Appendix 6</b> |
| Campus Services Committee                        | 30 September 2005 | <b>Appendix 7</b> |
| Human Resources Committee                        | 4 October 2005    | <b>Appendix 8</b> |

**The Court decided:** to approve the reports.

#### 13. SPORTS UNION CONSTITUTION

**The Court decided:** to approve a revised constitution for the Sports Union, as required under the terms of Ordinance 55.

14. **STAFF**(1) Exercise of Delegated Powers

The Court noted the appointment of the following:

(a) Professorial and ALC6 Appointments

|   |  |  |
|---|--|--|
| Ms Elaine Shemilt                           | Personal Chair of Fine Art Printmaking | 1 May 2005                             |
| Ms Fiona Raitt                              | Chair of International Family Law      | 1 July 2005                            |
| Dr Ian Gilbert, Cardiff University          | Personal Chair of Medicinal Chemistry  | 1 August 2005                          |
| Professor Ron Hay, University of St Andrews | Personal Chair of Molecular Biology    | 1 October 2005                         |
| Ms Paula Elliott                            | Director of Registry                   | 1 July 2005<br>(promotion within post) |

|                                       |  |                |
|---------------------------------------|--|----------------|
| Mr Gordon<br>Davies, GE<br>Healthcare | Deputy Director of<br>Campus Services &<br>Head of Estates | 4 January 2006 |
|---------------------------------------|--|----------------|

(b) Heads of Departments/Schools

|   |                     |  |
|---|---------------------|--|
| Law   | Professor Alan Page | two further years<br>from 1 August<br>2005 |
| Applied Linguistic<br>& Language<br>Studies | Dr Alison Borthwick | 1 September 2005 –<br>31 July 2008         |
| English                                     | Mr Rob Watt         | three years from 1<br>August 2005          |
| Politics                                    | Dr Brian Baxter     | three years from 1<br>August 2005          |

(2) Honorary Chaplain

**The Court decided:** to approve the recommendation that Rev Steven Mulholland of St Andrew's Cathedral be appointed as Honorary Roman Catholic Chaplain in the University, for a period of three years from 1 October 2005.

15. **PRINCIPAL**

Following the withdrawal of the Principal and attending officers (except the Secretary and the Clerk to Court), the Chairman confirmed that, in accordance with his intention expressed at the Court Retreat, he had written to members regarding the contractual position of the Principal; he had subsequently spoken directly to most members on this matter. The Principal's appointment had a further two years to run and it would be anomalous, in view of current legislation, to renew his contract thereafter on a fixed-term basis. The feedback he had received from members was nevertheless very much in favour of renewal.

**The Court decided:** unanimously to approve the proposal that the Principal should now be offered an open-ended contract, but otherwise retaining current terms and conditions.

## APPENDIX 1

### COMMITTEE MEMBERSHIP 2005/06 (Minute 2(2))

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)  
Mr John Barnett  
Mrs Stephanie Brown  
Dr Janet Lowe  
Ms Jacqui Thomson  
Mr Willie Wilson

##### Officers normally in attendance

Convener of Finance & Policy 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

Dr Larry Rolland (Convener)  
Dr Rami Abboud  
Ms Carolyn Bain  
Dr Jim Elliott  
Dr Brenda Gillies  
Mr John Milligan  
Professor Alan Newell  
Professor Simon Unwin  
President of Students' Association

##### Officers normally in attendance

University Secretary  
Director of Campus Services  
Deputy Secretary & Clerk to Court  
Head of Estates  
Mr Duncan White (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  
 Dr Jim Elliott  
 Professor Alan Fairlamb  
 Dr Nick Fyfe  
 Dr Colin Henderson  
 Mr Ian Hunter  
 Professor Birgitte Lane  
 Mr John MacLeod  
 Mrs Lorraine Malone  
 Ms Vicki Murray-Tait  
 Mr Andrew Newman  
 Mr Sami Shimi  
 Professor Colin Watts  
 Emeritus Professor Ian Willock  
 Professor Eric Wright  
 Chaplain  
 Deputy Secretary & Clerk to Court  
 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 Ann Burchell  
 Dr Alison Goligher  
 Dr Howard Marriage  
 Mr John Milligan  
 Ms Alison Newton  
 Mr Eric Sanderson  
 Dr Martyn Ward

Officers normally in attendance

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

**5. Human Resources Committee**

Members

Ms Esther Robertson (Convener)  
 Vice-Principal (Professor James Calderhead)  
 Dr Rami Abboud  
 Ms Carolyn Bain  
 Professor Peter Downes  
 Dr Janet Lowe  
 Professor Alan Newell

Dr Angela Roger

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 Ann Burchell  
 Mr Bruce Johnston  
 Dr Janet Lowe  
 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)

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)

#### Finance: National Position

1. In July the Chancellor of the Exchequer announced that the 2006 Spending Review was to be postponed as a result of the 'rephasing' of the economic cycle. It will now take place in 2007. Detailed arrangements have not been announced, but it seems likely that this review will be more wide-ranging and fundamental than recent spending reviews (the word 'comprehensive' appears to have been added again).
2. The implications for Scotland are fairly straightforward. It is certain that SR2006 as it had been conceived will have to be postponed. Without a Whitehall review there will be no spending department totals and no Barnett consequential, ie there is nothing for a Scottish spending review to divide up. Part of the spending review process in Scotland was to have involved a 'baseline review'. This would seek to assess whether or not the current levels of spending by the Scottish Executive in different departments are justifiable before it formed the basis of ongoing negotiations. The baseline review is likely to continue in 2005/06 and the key requirement here is to protect the higher education baseline and to argue that the 2004 capital allocations should be incorporated into the baseline for the future. Universities will also be keen to avoid any interruption to existing capital programmes.
3. In parallel with this, Scottish Executive civil servants continue to prepare for a longer-term strategy for higher education - currently defined as an 'HE Futures' initiative. The proposals for this remain fairly vague and the changeover in Ministers means that it has not been possible to get Ministerial approval for specific planning proposals. The possible result of all of this is a planning hiatus at national level and very tight financial settlements in higher education from 2008/09 onwards.
4. Meanwhile the new Scottish Funding Council (for higher and further education) has been established. The latest round of SRIF approved eight projects at the University of Dundee as follows:

|  |       |
|--|-------|
| Medical Sciences Institute                   | £1.5m |
| Clinical Research Centre                     | £3.8m |
| Medical School Resource Unit                 | £0.6m |
| Institute for Medical Science and Technology | £0.6m |
| IT   | £1.5m |
| New Faculty/Teaching Building                | £0.6m |
| Natural Resources Law Centre                 | £1m   |
| Library Extension                            | £1.6m |

These essentially follow the pattern and funding priorities of the University's existing capital programme.

#### Learning and Teaching

5. The number and quality of students admitted has increased this year. A record number of students have matriculated for 2005, with over 2,600 undergraduates commencing their studies; 800 taught postgraduates and 100 research postgraduates. A further 50 research postgraduates are expected over the next two months. Overseas students account for 4% of new undergraduates, 38% of new taught postgraduates and 26% of the new research postgraduates. The percentage of students coming through Clearing halved compared to 2004, dropping from 16% to less than 8% of the University's intake. An over-recruitment of dental students resulted in an 'emergency one-off' allocation of £4.5m from the Scottish Executive to support the clinical education and training of the additional students.
6. A draft learning and teaching strategy is out for review to all faculties and the new assessment policy previously approved by Senate is now being implemented. Seven newly appointed teaching fellows have commenced work, leading on the development of innovative new courses. Three awards were made this year under the Honorary Graduates Award for Innovative Teaching, reflecting the exceptional

quality of entry. Winners were: Janeth Warden-Fernandez (CEPMLP); Lesley Mole, Maureen Campbell & Markus Themessl-Huber (School of Nursing & Midwifery) and Valentine Scarlett (Department of Social Work); and Jean Ker (Medical School) and Lesley Mole (School of Nursing & Midwifery).

7. The University of Dundee has been nominated as Higher Education Institution of the Year in the inaugural Times Higher Awards. Also on the shortlist are Leicester University, Manchester University and Winchester University. The award winner will be named on 23 November. We have done less well with the Sunday Times Good University Guide this year, dropping from 30 to 38, partly as a result of a new category inviting head teachers nationally to nominate the best university for each discipline. We are developing a way of addressing this for the future.
8. Teaching accommodation is currently stretched while the University's building programme proceeds and some staff and students are having to work in trying circumstances. However, new facilities are coming on stream. The newly refurbished Tower Extension Lecture Theatre is now in use and the CIR and Queen Mother Building are also being occupied. The physical disruption of the campus will be at its worst this year, but the various building programmes are making good progress.

#### **Research**

9. The Health Informatics Centre at the Ninewells campus formally opened last month with a visit from the Minister for Health and Community Care. This is already proving to be a nexus for large population-based research studies in epidemiology, genetic epidemiology and pharmacogenetics.
10. Cancer Research UK awarded scientists at the University £11m for research projects in September. Three of the grants, totalling over £8m, were awarded to the CRUK Molecular Pharmacology Unit at Ninewells directed by Professor Roland Wolf, with the likelihood of further large grants in this area and in the area of drug discovery as the year progresses. In July Professor Angus Lamond was awarded a £3m grant by the Wellcome Trust.
11. Full Economic Costing is now being implemented for those funding bodies that demand it - primarily the UK research councils. It is also being adopted by government departments although there is a degree of uncertainty on its application. The Scottish Funding Council has announced that from 2006/07 there will be a charity stream of funding within the main QR grant. It proposes that £7m should be added to Scottish QR funding in 2006/07 and a further £7m in 2007/08, to be distributed pro rata to the charitable income earned by each unit of assessment. This University led on the negotiations with the Funding Council and we are satisfied with the outcome.
12. Research reviews are nearing completion with the last subject areas, from the Faculties of Medicine, Dentistry & Nursing and Life Sciences, scheduled over October, November and December. The Research Committee is now focused on the policies and procedures for preparing the next RAE submission. A 'trial run' RAE is planned by the Spring of 2006 and the outcome will be reported to Court. Meanwhile a number of excellent appointments have been made over the summer, strengthening our research capability.
13. Dundee hosted a visit of 19 members of the European Parliament's Committee on Industry, Research and Energy this month (6 October), at its request during a fact-finding tour of Scotland.

Alan Langlands  
17 October 2005

### APPENDIX 3

#### FINANCE & POLICY COMMITTEE (Minute 8)

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

**Present:** Mr B W M Johnston (Convener), Principal, Professor D H Boxer (Vice-Principal), Professor A Burchell, Dr H Marriage, Mr J Milligan, Mr E F Sanderson and Dr M R Ward.

**In Attendance:** Mr W Sutherland, Secretary, Director of Information Services, Director of Strategic Planning, Deputy Director of Finance and Mr G A Campbell.

The Convener welcomed new and returning members to the first Finance & Policy Committee meeting of the new session. It was noted that the Director of Finance was currently on sick leave; he was expected to return to work in the near future.

#### 1. REMIT, TERMS OF REFERENCE AND DELEGATED POWERS

The remit, terms of reference and delegated powers for the Finance & Policy Committee were noted. As discussed last session, it was agreed that matters relating to internal controls were dealt with more appropriately by the Audit Committee. The Convener drew particular attention to the fact that the Committee had no role in individual allocations to faculties.

**Resolved:**

- (i) to note the remit and delegated powers for the Finance & Policy Committee and to seek Court approval for the proposed terms of reference (annex);
- (ii) to note that matters relating to internal controls would be dealt with by the Audit Committee;
- (iii) to note the induction process for new members of the Court.

#### 2. MINUTES OF PREVIOUS MEETING

**Resolved:** to approve the minutes of the meeting on 31 May 2005.

#### 3. MATTERS ARISING

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

The University Secretary reported that DDS Medicines Research Ltd was a company, focused on clinical trial work, which had covenanted substantial profits back to the University over a number of years. In the previous year the company had found itself in financial difficulties - owing the University in excess of £700k. It was noted that regulatory changes for clinical trials had contributed to these financial difficulties and that a number of similar companies had stalled.

**Resolved:**

- (i) to note that a management buy-out of DDS Medicines Research Ltd was nearing completion;
- (ii) to note that 15% of ordinary share capital of the new company would be issued to the University;
- (iii) to note that preference shares equivalent to the company's total debt to the University, minus £100k, but plus a premium of 20%, would be issued;
- (iv) to note that the University would have an observer on the Board;
- (v) to note that a provision amounting to 40% of the £700k outstanding debt had been made in 2003/04.

##### (2) Residences (Minute 2(2))

The University Secretary reminded the Committee that the University outsourced the bulk of its residences in July 2004. The University continued to manage directly one residence which was leased until 2011.

1,098 en-suite rooms were being constructed on four sites. 140 of these would be completed in November 2006; the remainder would be completed during the summer of 2006.

- Resolved:**
- (i) to note that Dundee Student Villages had reported a pre-audit surplus of £49,336 for the year to 31 July 2005;
  - (ii) to note that, due to full occupancy in 2005/06, a small surplus would again be achieved;
  - (iii) to note that the University's demand for student accommodation in 2005/06 would be greater than Dundee Student Villages could supply. The University Residences Office was seeking to rent additional accommodation from Unite Plc and possibly to utilise accommodation in Roseangle and Hillside, co-owned with the University of Abertay;
  - (iv) to note that, as a consequence of the move to self-catering, 26 posts had been removed from the Residences staffing and Sanctuary Management Services had made four compulsory and seven voluntary redundancies;
  - (v) to note that proposals on the future of the conference business at West Park would be brought to the October meeting of the Committee.

#### 4. STRATEGIC PLAN SUBMISSION

The Deputy Director of Finance reported that an error had been made in the SHEFC Strategic Plan Forecast agreed by this Committee and by Court. This would be discussed with the Director of Finance on his return. Whilst the error should not have been made, it had no impact on the University's financial position as the mistake was in projecting balance sheet figures.

#### 5. FRAMEWORK AGREEMENT

The University Secretary reported that negotiations with the trade unions (Amicus, Unison and AUT) about the harmonisation of pay and grading structures continued and were to be finalised by August 2006. As part of the harmonisation process, all jobs would need to be evaluated. The Committee was aware that staff costs would need to be contained within the limits envisaged in the financial forecasts and this had been conveyed to the trade unions.

#### 6. UNIVERSITY OF DUNDEE SUPERANNUATION AND LIFE ASSURANCE SCHEME - PROPOSED TRANSFER OF FORMER CNM PENSION SCHEME

The Deputy Director of Finance reported on proposals to transfer the former College of Nursing and Midwifery Scheme members into the main University of Dundee Superannuation and Life Assurance Scheme. It was noted that at the last meeting of the Trustees, the view had been expressed that main scheme members should not be subsidising ring-fenced CNM benefits.

- Resolved:** to approve the payment of £100k to allow the merger to proceed, recognising that this would be less than the annual savings in not continuing to operate two separate schemes and should avoid any element of subsidy by main scheme members.

#### 7. INTEREST RATE STRATEGY

The Convener reminded the Committee that the borrowing strategy was that there should be no borrowing over £15m, with an allowable bridging excess of no more than £5m over a maximum of two years.

To cover this the University had arranged a borrowing facility with Barclays Bank Plc of £20m over a period of seven years, at an interest rate of 0.22% above base.

The Deputy Director of Finance noted that a recent meeting had been held with Noble Grossart Ltd, advisers to the University, to consider whether elements of the above loan should be fixed. They had recommended that no change to the current arrangement should be made at present.

#### 8. CAPITAL EXPENDITURE MONITORING

The Deputy Director of Finance reported on progress to date in improving management information flows, particularly in relation to the monitoring of the capital programme. It was noted that £151m was committed in the capital programme to over 41 projects between now and 2010/11, with the University funding £92m of this. It was noted that no significant overspends were currently anticipated on the capital programme.

Dr Ward queried whether there was sufficient liaison between the Finance Office and Estates & Buildings staff regarding the timing of capital spend on individual projects to tie in with the detailed budgets.

- Resolved:**
- (i) to invite the Director of Finance to liaise with Estates & Buildings to ensure that new information regarding capital spends is made available on a timely basis;
  - (ii) to invite the Director of Finance to report at the next meeting of the Committee on the monitoring of third party funding of capital projects;
  - (iii) to review at a future meeting of the Committee the management information used to monitor business plans for projects which had been completed;
  - (iv) to invite the Director of Finance to comment on the adequacy of liaison with Estates & Buildings.

#### 9. FORECAST YEAR-END RESULT 2004/05

The Deputy Director of Finance reported on the latest forecasts. He advised that the projected surplus for 2004/05 should be revised down to £2.5m as a result of the delay in the sale of Ardvreck House. This sale should conclude on 30 September 2005, at a greater price than anticipated, and the surplus thereon would be realised in FY 2005/06.

#### 10. CAPITAL EXPENDITURE APPROVALS

(1) Pharmacogenomics

The Committee considered a proposal to develop 490m<sup>2</sup> on Corridor 1, Level 5 at Ninewells Hospital and Medical School to create a Ninewells Centre for Population Genetics and Pharmacogenomics. It was noted that this space had had no significant refurbishment since Ninewells had opened. Total capital spend on buildings of £1,242k was anticipated, of which £992k was to be sourced externally. Equipment expenditure of £88k was proposed, wholly externally funded.

- Resolved:** to recommend to Court that this project be approved.

(2) Old Medical School (OMS), Old Technical Institute (OTI) and Carnelley Building

The Committee considered a proposal to convert existing accommodation within the Old Technical Institute, Old Medical School and Carnelley Building into academic and administrative office space. The project was to be funded from the University's general funds but would reduce planned maintenance costs over the years following completion. The total project cost proposed amounted to £3.79m over three years, commencing in 2005/06.

**Resolved:** to recommend to Court that this project be approved.

11. **PAMIS**

The University Secretary reported that PAMIS was a registered charity, which supported people with profound learning difficulties and their carers. It had an affiliation to the White Top Research Unit in the University. Professor James Hogg (who would retire later in 2005) was a Trustee of PAMIS.

The charity employed 14 staff, the majority of whom were employed on University contracts. In addition, the University had operated a payroll for PAMIS staff. The payroll costs were routinely recharged to and repaid by PAMIS. There were no outstanding sums due to the University from the charity.

It was noted that the Director of Finance would monitor the financial position of the charity on a monthly basis. The University would also appoint an observer who would attend all meetings of the Board of Trustees of PAMIS.

**Resolved:** to note that the review of PAMIS indicated that there was currently no material risk to the University.

12. **DUNDEE UNIVERSITY STUDENTS' ASSOCIATION (DUSA)**

It was noted that from a position in January 2005 of being £29k behind its budgeted surplus, DUSA had reported being £96k ahead of the budgeted surplus as at June 2005. The forecast year-end result was a surplus of £110-£130k, with a target surplus for 2005/06 of £76k.

## REMIT, TERMS OF REFERENCE AND DELEGATED POWERS

### Remit

To advise the Court on the finances and overall financial health of the University in the light of government policies on higher education and public spending, the resource allocation policies of SHEFC and the main research funders, and the operational performance of the University; to set the financial parameters within which the University operates; to approve financial forecasts; to approve annual budgets and to monitor performance in relation to those budgets; to approve the allocation of resources to support University strategies and plans; to approve projects involving major capital spend; to consider draft strategic planning documents and to consider their resource implications.

### Terms of Reference

1. The Committee is responsible for advising the Court on the financial strategy and financial health of the University. It receives relevant reports from the Director of Finance and his deputy on these matters and may discuss and/or seek further information at its discretion.
2. The Committee reviews the assumptions proposed by the Director of Finance and other officers in relation to revenue and capital budgets and may make recommendations on these to the Court; it is also responsible for recommending targets for capital budget limits, surpluses, borrowings and other key financial figures and ratios. The Committee is not responsible for deciding on the allocation of the University's budgets to its various academic and central services budget centres (although it may comment on broad issues relating to these allocations). Similarly, the Committee is not responsible for reviewing or approving new appointments within the University.
3. The Director of Finance presents regular in-year information to the Committee relating to performance compared with budgets and reporting on the financial outlook. The Committee may discuss these and seek further information/explanations and may recommend to the Court that actions be taken by officers to influence the financial results of the University.
4. The Committee also receives regular information and consultative reports on the financial policies and procedures of the University, its subsidiaries and activities delegated to groups and other committees. It may seek changes and/or recommend to the Court that the above policies and procedures be amended as it thinks fit.
5. The Committee, in consultation with senior officers, is responsible for ensuring that the University complies with all relevant accounting regulations and recommended practice and that its annual financial statements have been prepared in accordance therewith. It is also responsible for advising the Court on adherence to terms and conditions laid down by the Scottish Higher Education Funding Council and other grant awarding bodies.

### Delegated Powers

Approval of business plans for projects involving non-capital spend with a projected annual value of more than £250,000;

approval of non-research-related contracts or amendments/cancellation of contracts with a value of more than £250,000;

approval of financial regulations;

approval of student fee rates (home and overseas), after appropriate consultation;

approval of guidelines for University investments;

approval of changes to accounting policies.

## APPENDIX 3 (continued)

### FINANCE & POLICY COMMITTEE

A meeting of the Committee was held on 10 October 2005.

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

In Attendance: Mr W Sutherland, Secretary, Director of Information Services, Director of Strategic Planning, Director of Finance, Deputy Director of Finance, Mr G A Campbell and Director of Registry (for item 8(7)).

#### 1. MINUTES OF PREVIOUS MEETING

**Resolved:** to approve the minutes of the meeting on 5 September 2005, subject to the following amendments:

- (a) the second paragraph of minute 8 (Capital Expenditure Monitoring) being amended to read:

‘Dr Ward underlined the importance of close liaison between the Finance Office, Estates & Buildings staff and academic departments when the timing of capital spend projects was altered.’

- (b) resolution (iv) of minute 8 being amended to read:

‘to invite the Director of Finance to comment on the adequacy of liaison with departments and with Estates & Buildings.’

#### 2. MATTERS ARISING

(1) Strategic Plan Submissions (Minute 4)

At the meeting of the Committee on 5 September 2005, it was noted that an error had been made in the Strategic Plan Forecast figures returned to the Scottish Higher Education Funding Council. An amendment had been made during the summer to meet the Funding Council’s deadlines. At this stage the Funding Council did not require further approval of these documents through the Court as the changes (to balance sheet figures only) did not significantly affect the financial health of the University as measured by the Funding Council.

In response to a question from Mr Sutherland, the Director of Finance confirmed that the provision for pensions referred to the costs of early retirements in previous years only and that no allowance had been made for changes to the number of pensioners.

(2) Capital Expenditure Monitoring (Minute 8)

The Director of Finance reported on a review by Henderson Loggie, internal auditors to the University, of the management of capital projects and financial resources. The review confirmed that the University had made considerable progress in this area. Work was being carried out to meet a number of recommendations made by the internal auditors. The linking of the electronic financial systems in Finance (CODA) and Estates & Buildings (GVA) was a key objective.

It was noted that Estates & Buildings now had a qualified accountant in post. The Principal reported that the quality of papers and information being supplied to the Campus Services Committee had improved. In response to a question, the Principal confirmed that issues of timing, cost and quality were being addressed.

### 3. FINANCIAL STRATEGY UPDATE

- (1) The Financial Strategy agreed by Court on 13 June 2005 assumed an opening net borrowing balance at the beginning of the year 2005/06 of £6,523k. The actual opening balance was a net borrowing of £6,110k.
- (2) A cash benefit of around £1m from the sale of Ardvreck had been assumed for 2004/05 but this had slipped into 2005/06. In addition, £1.4m for additional resources to fund the transition to full economic costing of research grants was received in the current financial year, rather than 2004/05 as originally anticipated. This had been offset by slippage on the capital programme and receipts from external funders and HM Revenue and Customs.

Taking account of the foregoing factors the net borrowing at 1 August 2005 was in line with the approved Financial Strategy.

- (3) Subsequent to 1 August 2005, £1.4m had been realised through the sale (back to the company) of one third of the shares owned by the University in a spin-out company. No assumption had been made for any gain on the sale of these shares at any point in the planning framework. The University still retained a 12% equity interest in the company.
- (4) The Scottish Funding Council had given an indication of how the distribution of the element of grant allocated to support research would change. It was hoped that funding would increase above the assumed increase (£1m) and the inflationary uplift of circa £0.5m per annum, but this was as yet unconfirmed.
- (5) The University of Dundee Superannuation and Life Assurance Scheme Actuary had indicated that an increase in employer's contributions to the Scheme could mean additional costs of up to £500k from 2006/07.
- (6) The Scottish Executive Health Department had indicated no inflationary increase for 2006/07 for the nursing contract. This could lead to a further cut in addition to that sustained in 2005/06.

No adjustment would be made to the agreed Financial Strategy to reflect the effects of 3(3) - 3(5) above and 8(6) following until the adjustments could be evaluated with greater certainty.

- (7) The Principal commented on the prospects for funding looking to the future. The assumptions made in the Financial Strategy with regard to the Scottish Funding Council grants were reasonable with significant increases assumed in 2006/07 and 2007/08. The decision by the Chancellor of the Exchequer to 'rephase' the economic cycle, and therefore potentially delay the next government spending review, suggested a difficult funding period from 2008/09 onwards (the Financial Strategy assumed a 3.39% increase in 2008/09 and 3.2% in 2009/10). There were concerns that the additional capital funding received and projected could also be removed from the baseline of grant assumptions used by the Scottish Funding Council. Pay settlements, driven by increased income received by English Universities through top-up fees, were also likely to increase pressure on Scottish University budgets.

- Resolved:**
- (i) to note that management accounts for the period August - October 2005 would be presented to the next meeting of the Committee;
  - (ii) to invite the Director of Finance to provide more detailed analyses of income and expenditure to allow the Committee to monitor performance linked to headings in the annual accounts.

### 4. PURCHASING AND PROCUREMENT SUPPLY

In the absence of the Purchasing Manager, the Director of Finance introduced the revised Procurement Strategy. He noted that a new Purchasing Manual had also been compiled to advise departments on detailed procedures. A report of savings achieved, compared to budgets for individual items, was also commented on. The Committee was interested in the extent to which the Purchasing Manager dealt with all procurement across the University.

- Resolved:**
- (i) to commend to Court the revised Procurement Strategy;

- (ii) to invite the Director of Finance and the Purchasing Manager to provide further information about how savings generated by the Purchasing Office should be calculated;
- (iii) to invite the Director of Finance and the Purchasing Manager to report back to a future meeting of the Committee on how the effectiveness of the University-wide approach to the purchasing of goods and services might be assessed.

#### 5. RESIDENCES OPTIONS FOR WEST PARK

The University Secretary reported that the future profitability of the West Park conferencing business was still being assessed. This would be considered over the next four weeks against any other option which might yield a similar outcome to the University as that assumed in the Residences outsourcing plan.

**Resolved:** to note that the University Secretary would report back to the next meeting of the Committee with figures, options and recommendations.

#### 6. CAPITAL EXPENDITURE MONITORING

The Deputy Director of Finance reported on the review of capital expenditure in the format discussed by the Committee at its last meeting. Liaison with Estates & Buildings was continuing to ensure consistency in reporting, monitoring and project control. There was a small spend of £145k during August, most invoices received during this period being related to work done before 31 July 2005. The format also measured third-party funds received and receivable against projections. Ring-fenced income projected was also shown and the Deputy Director of Finance was asked to compare this to actual for the next meeting.

#### 7. FINANCIAL RESULTS 2004/05

The Deputy Director of Finance reported that the pre-audit forecast for 2004/05 had been revised down to £2.1m (£400k less than anticipated at the last meeting). This shortfall had resulted from a number of adjustments adding to provisions, including setting aside funds in anticipation of inflation applied to the pensions of staff who had taken early retirement in previous years (£333k).

It was noted that the DDS Medicines Research Ltd debt had now been fully written off (£499k in 2004/05, £720k in total).

The reduction in the depreciation charge was attributable to a reduction in research grant-funded capital equipment expenditure.

To allow the Committee to give full consideration to the final audited financial results, it was agreed that the external auditors should be present at the next meeting of the Committee.

**Resolved:** to invite the external auditors to attend the November meeting of the Committee.

#### 8. OTHER UPDATES

##### (1) Tendering for Insurance Brokerage

The Director of Finance reported that a draft tender had been prepared for insurance brokerage services. The tender was issued early in October 2005 and the contract would begin in August 2006.

(2) University of Dundee Superannuation and Life Assurance Scheme

The actuarial indications for 2006/07 onwards were that an increase in contribution rate might be recommended for the Scheme. The Convener commented that the University should consider the financial impact of any recommended increase and the sharing of these costs between itself and its employees.

**Resolved:** to advise that the impact on the Financial Strategy projections of actuarial recommendations on the employer's contribution rate from 1 August 2006 should be considered within a wider appraisal of current pension/benefit arrangements, in the light of the revised pensions legislation due to take effect on 6 April 2006.

(3) Progress on Implementing the New Pay Framework

The University Secretary reported that negotiations were continuing with the three recognised campus trade unions.

(4) Residences Outsourcing

The Director of Finance commented that the Committee might find it helpful to receive a brief summary of the residences outsourcing project, bearing in mind the number of new members on the Committee.

**Resolved:** to invite the Deputy Director of Finance to provide a brief summary to the next meeting of the Committee of the arrangements to outsource residences and to construct new residences across the campus.

(5) Finance Office Resourcing

The Director of Finance reported that at present the senior level structure of the Finance Office was adequately staffed. He felt that some expansion at 'technician' level, already under way and budgeted, was needed.

(6) VAT

The Deputy Director of Finance reported on the current status of various unresolved VAT issues between the University and HM Revenue and Customs. The draft financial results had not included provisions for three items which potentially could impact on the reported surplus.

(7) Fee Approvals

The Director of Registry reported on tuition fee rates for international (non-EU) students, as well as some minor amendments to the University's table of additional charges. Overseas fee rates were set on the basis of information from Admissions & Student Recruitment and took into account the prevailing market conditions. The Director of Admissions & Student Recruitment had proposed that the 2006/07 international fee levels should be frozen.

Dr Ward noted that any increase in numbers of international students gave rise to an increase in the real costs of providing additional academic and student service support.

Mr McKee suggested that a sensitivity analysis be carried out on the impact of an increase in student fees.

Professor Boxer commented that an alternative mechanism for influencing demand from overseas students was through a review of scholarships and bursaries.

Mr George proposed that an increase in the fee for staff higher degree submissions would be appropriate, bearing in mind the significant subsidy for this activity.

**Resolved:** (i) to invite the Director of Finance and the Director of Registry to undertake a sensitivity analysis on the impact of international fee rates on overseas student numbers;

- (ii) to request that the Director of Finance append a note<sup>1</sup> to the minutes of the Committee's meeting showing the financial impact of not increasing the fees for overseas students on the Financial Strategy projection;
- (iii) to request that the Director of Admissions & Student Recruitment explore the possibility of quoting a fee which includes the visa fee;
- (iv) to recommend to Court approval of the change to other fees/charges for 2006/07.

9. **MEMBERSHIP OF THE ENDOWMENTS SUB-COMMITTEE**

**Resolved:** to invite Mr Sanderson to join the Endowments Sub-Committee.

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<sup>1</sup> not included here

## APPENDIX 4

### COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 11)

#### 1. PRINCIPAL'S REPORT

##### Changing the Structure of the University

The Senatus received a paper from the Principal setting out proposals for discussion on changing the structure of the University.

In his introduction of the paper, the Principal emphasised four main points. Firstly, he noted that the University was operating in a rapidly changing environment. Students, employers and professional bodies had increasingly high expectations; the research environment was becoming more and more competitive with the possibility of selective funding in England damaging the position of the research-intensive Scottish universities. The current student balance of the University was at risk from demographic change in the local area with falling school rolls. The postponement of the 2006 spending review by the Chancellor of the Exchequer suggested that there might well be serious reductions in public spending after 2008/09. In that context, the challenge for Dundee of embedding its recent successes could not be taken for granted and the process of moving on to the next stage of development was expected to be fraught with considerable difficulties.

On the issue of structural change, the Principal felt that bigger academic groupings would be beneficial in encouraging innovation across subject boundaries, might bring new energy and drive to some parts of the University and, through better defined management structures, free-up additional time for academic staff to innovate. Additionally, the proposed superstructure would assist in providing a clearer definition to the professional schools, which was of particular importance to Dundee where 70% of our graduates enter the professions. The sub-structures outlined in the paper were open to discussion and refinement with the staff immediately concerned.

Structural change would increase the effectiveness of the University's management. The heads of the proposed colleges would provide intellectual leadership, while the deans of schools would have much better defined responsibilities for teaching and staff development. The proposals were not about centralising the management of the University, about replacing academic leadership with generalist managers, nor about undermining the 'brand' of particular parts of the University. They were concerned with strengthening the University, bringing parts of the University together more effectively and preparing for a difficult future. The external environment was such that simply retaining the status quo was not a realistic option. His intention was to provide opportunities to discuss the issues facing the University and the proposals themselves at Faculty Boards and with staff in other fora. He was seeking initial reactions, ideas and advice.

Thereafter, members of the Senatus made a number of comments and asked a number of questions about the proposals.

On the issue of why any restructuring was preferable to no change and the proposal to apparently add a further tier of management (college heads), the Principal noted that running an institution with a turnover of £160m required clearly defined management for both good order and effective stewardship. On the issue of timing with the next RAE rapidly approaching, it was noted that, in most of the University, it would be too late to influence the outcome of the RAE after next Spring. The University had almost exhausted the potential for attracting new staff ahead of the RAE and the possibility of a restructuring had been mentioned during the recruitment of recent new academic staff.

The issue of current, departmental identity in relation to professional areas and units of research assessment and the possible damaging effect of the introduction of divisions or schools was raised. In response, the diversity of the University's current structures was noted: divisions, schools and departments already existed and the detail of sub-college organisation was largely a matter for staff in, for example, the Social Sciences and Humanities to work out for themselves.

Some members felt that any move away from decanal elections towards a process of selection was damaging and would result in an elaborated hierarchy of management creating a distance between academic staff and deans. On the issue of elected deans others noted that, while it was a good principle, the real issue was support from staff for the deans and their capacity for effective leadership and

management. The observation was made that heads of department and professional appointments were made by a process of selection after extensive consultation with stakeholders. A similar process for the selection of deans against agreed criteria was equally conceivable. The post of dean or college head was regarded as a crucial one: it was acknowledged that finding experienced and respected academics with the acumen to manage was becoming increasingly difficult. On the issue of permanence for such posts, it was necessary to take account of employment legislation which effectively removed the possibility of fixed-term posts of more than three years' duration. The crucial point here was to introduce effective performance management for senior posts in whatever structure existed.

The question of departmental identity was returned to and it was observed that some parts of the University had already experienced structural changes which had abandoned departments and substituted schools or divisions. These new arrangements had successfully dealt with issues of staff identity and student recruitment. Larger units provided opportunities for economies of scale and for the redeployment of resources against agreed, strategic priorities while at the same time dealing with problems as they arose. In that context, the proposals for the devolution of elements of the central services would be beneficial in supporting college activities and developments.

The Principal was asked how the proposed Postgraduate School might operate. He responded that it was felt that developing consistent facilities and support for the largely international population undertaking taught postgraduate programmes in the area of management and policy would be beneficial in terms of recruitment and retention. Their requirements were fairly distinct from other postgraduates and the potential for synergy between presently separate areas internally might also encourage new developments and opportunities for external collaboration.

The comment was made that the four large units (three colleges and an institute) suggested a split between teaching oriented arts and sciences colleges and research oriented science-based units. This might be an issue in the context of the strategic direction of the University. In response, the observation was made that such a perception underestimated both the potential for research in the arts disciplines and the importance of teaching in life sciences and medicine, dentistry and nursing. In that context, a member commented that 'College' might be substituted for 'Institute' of Life Sciences as a better reflection of its dual role in teaching and research.

One member commented that while the focus of the paper was largely externally directed, much of the discussion had been internally focused when the emphasis should be upon how the University is perceived from outside. More democratic structures involving distributed leadership throughout the institution was crucial to continuing success and would help to deal with the issue of succession planning. Building capability across the University was a fundamental element of the proposals to encourage effective connections between academic staff and academic managers and to concentrate the focus upon improving teaching and research. On the external focus, the Principal noted that other Scottish universities had been more effective than Dundee in looking outward in their relationships with government, the professions and funding opportunities.

In conclusion, the Principal thanked members for their contributions which would be valuable in refining the proposals. They would then be discussed with Faculty Boards and reports on progress would be made to the Court's meetings in October and December. A clear decision on the way forward would need to be taken in December since, if we did proceed with the changes, an implementation plan would require preparation over Christmas for the introduction of new structures in August 2006.

**The Senatus decided:** to report the substance of the discussion to the Court.

## 2. HONORARY DEGREES COMMITTEE

The Senatus received a report of a meeting of the Committee held on 28 September 2005.

Present: Principal (Convener), Professor P Ferguson, Mrs E Gillies, Mr C McDonald, Ms J Paul and Professor J Raven.

In Attendance: Academic Secretary, Director of External Relations and Mrs C Pope.

## 1. MINUTES

The Committee received the minutes of the meeting on 29 September 2004, subsequently approved by Senate.

## 2. MATTERS ARISING FROM THE MINUTES

**Resolved:** to note that Paul Hewson (Bono), Ann Gloag and Anish Kapoor did not accept their nominations.

## 3. CONFIRMATION OF HONORARY DEGREES

The Committee received and considered 37 nominations for honorary degrees. Being mindful of the relatively short lead time between confirmation of nominations by Senate and the graduation ceremonies, the Committee considered potential candidates for both the summer of 2006 and 2007. The Committee also considered potential candidates for a special ceremony to mark the University's fortieth anniversary in 2007.

**Resolved:** to recommend that the degree of LLD honoris causa be confirmed upon the following:

## (i) for the academic ceremonies in 2006:

Philip Pullman, author

Iain S Ovens, Principal, Dundee College

Sir Tim Berners-Lee KBE, FRS, inventor of the Worldwide Web

Zaha Hadid, architect

Jimmy T Murakami, artist and animator

Professor Sydney Brenner, Nobel Laureate

Professor Joseph Goldstein, Nobel Laureate

Dr Christopher Lipinski, TB Alliance Scientific Advisory Committee

Mrs Melinda Gates, philanthropist and co-founder of the Gates Foundation

Professor Joyce Thompson, Director, International Confederation of Midwives

Mrs Sybil Storz, Chairman, Karl Storz GmbH

Mr Andrew Thomson, Chairman, DC Thomson Group

## (ii) for the academic ceremonies in either 2006 or 2007:

Gordon Summers (Sting), musician and humanitarian activist

Jacqueline Wilson, children's writer

Dr Suzanne Lacasse, MD, Norwegian Geotechnical Institute

(iii) for the academic ceremonies in 2007:

Carol Ann Duffy, poet and playwright

Margaret Catley-Carlson, Chair, Global Water Partnership

Steve Jobs, CEO, Apple Computer

Sir Ian McKellen, actor

(iv) for the fortieth anniversary ceremony in 2007:

Michael Marra, musician and writer

Donnie Munro, artist and musician, Development Director of Sabhal Mor Ostaig

Russell Reid, Patron, University Music Society

**The Senatus decided:** to approve the report.

### 3. APPOINTMENT OF CHANCELLOR

The Senatus received a paper from the Academic Secretary setting out the procedure for the appointment of a Chancellor to succeed Sir James Black.

**The Senatus decided:** to nominate the undernoted as its four representatives on the Appointing Committee:

Professor G Follett  
 Professor M McMurdo  
 Professor B Daniel  
 Professor C A Whatley

### 4. PROFESSOR EMERITUS

**The Senatus decided:** subject to the concurrence of Court, to confer the title of Professor Emeritus upon Professor A G Fitzgerald.

### 5. HONORARY FELLOWSHIPS

**The Senatus decided:** subject to the concurrence of Court, to confer the title of Honorary Fellow upon the following:

Dr Robin Vaughan  
 Dr Stephen Bell

**APPENDIX 5****EMERGENCY COMMITTEE  
(Minute 12)****CAR PARKING REGULATIONS**

An Emergency Committee comprising a Vice-Principal (Professor Calderhead), the Chairman of Court, the Convener of the Finance & Policy Committee and Dr Martyn Ward<sup>1</sup> was convened in August by correspondence to deal with the matter of revised Car Parking Regulations for the City Centre campus. Court approval was urgently required so that the revised Regulations could be publicised when application forms were made available for car parking permits for the new session 2005/06.

The Regulations have been updated to reflect recent developments in the car parking policy approved by Court, including the introduction of 'pay and display' charges in addition to annual permits. Such revisions were vetted by the University's in-house Legal Counsellor. Some judicious reformatting was also undertaken.

Subject to minor comments submitted by individual members, the Emergency Committee approved the revised Regulations on the Court's behalf. A copy is attached for the Court's information<sup>2</sup>.

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<sup>1</sup> The Committee was constituted in accordance with Minute 70(2) of the Court's meeting on 13 June 2005.

<sup>2</sup> Not included here.

## APPENDIX 6

### AUDIT COMMITTEE (Minute 12)

A meeting of the Committee was held on 27 September 2005.

**Present:** Mr W Sutherland (Convener), Mr J Barnett, Mrs S Brown, Dr J Lowe, Ms J M Thomson and Mr W Wilson.

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

The Convener welcomed Mr John Barnett and Dr Janet Lowe as new members of the Committee.

#### 1. APPOINTMENT OF INTERNAL AUDITORS

The tender process was concluded by a selection event, at which all members of the Committee were present, immediately preceding this ordinary business meeting.

**Resolved:** to recommend the appointment of PricewaterhouseCoopers as internal auditors to the University, in succession to Henderson Loggie, for a period of three years from 1 November 2005.

#### 2. MINUTES OF PREVIOUS MEETING

**Resolved:** to approve the minutes of the meeting on 24 May 2005.

#### 3. MATTERS ARISING

##### (1) Security of Assets (Minute 2(2))

The Director of Finance confirmed that the representatives of Gerrards had been asked about the terms of their agreement with the Bank of New York at the last meeting of the Endowments Sub-Committee. Gerrards had followed up with a letter, which the Director summarised for the Committee. It was noted in particular that the transfer of eurobonds involved a paper transaction only and therefore there was no physical transit risk.

**Resolved:** to agree that controls on the security of investments were satisfactory and to regard this matter as closed.

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

The Secretary reported an unexpected development, in that the Registrar of Sasines had misplaced the Disposition; the purchaser would now have to take legal action against the University to obtain title to the disputed premises. It was confirmed that mediation had been unsuccessfully attempted at an earlier stage; also, that there was no liability to the University arising from these circumstances.

##### (3) Disaster Recovery Plans – Medical School (Minute 3, resolution (i))

The Deputy Secretary reported that a full suite of disaster recovery plans for the Medical School had now been received.

##### (4) Student Debt (Minute 3, resolution (ii))

The Committee received a report from the Deputy Finance Officer summarising the position on student debt at 31 July. The Director of Finance commented on the report and indicated that he proposed to retain the overall target of no more than 5% of annual student income by the year-end. It was agreed that much progress had been made, but even with tougher controls now in place some new debt was accumulating and a hard core of old debt was becoming increasingly difficult to recover.

**Resolved:** to note the position and to request for the next meeting an analysis of student debt by home/overseas status and by Faculty.

(5) Protection against Computer Viruses (Minute 4, resolution (i))

The Secretary confirmed to the Committee that anti-virus protection was provided as a network service at corporate level. Anti-virus scanning took place at the email gateway; in addition, protective software was available under a campus agreement. The latter was accessible by all computer users and was automatically loaded to computers with the standard operating environment (SOE).

(6) VAT Liability (Minute 5)

The Director of Finance reported that he had written to the University's VAT advisers. Their initial response was optimistic, but the matter was by no means resolved. The question of what provision would have to be made against any liability remained to be discussed with the external auditors.

(7) Risk Register (Minute 8)

The Committee received a copy of the current edition of the University's risk register (May 2005). Members raised various questions about the document, which were answered by officers. It was noted that where a committee or other body was indicated as being responsible for improvement actions, rather than an individual, it was the duty of appropriate senior officers to ensure that this responsibility was brought to the attention of the relevant committee or body.

It was pointed out that monitoring and reporting processes relating to risk management were currently under review and it was likely that the Audit Committee would in future have a more explicit role in this area.

- Resolved:**
- (i) to draw to the attention of the Risk Management Monitoring Group that, while the identified risks included fluctuations in SHEFC income relating to student numbers and to research performance, there was no explicit recognition of the possibility of a global reduction in government funding for the sector;
  - (ii) otherwise, to note the risk register.

#### 4. CIPFA HANDBOOK FOR AUDIT COMMITTEE MEMBERS

The Committee received copies of the recently revised, second edition of the CIPFA handbook, together with an accompanying note from the Deputy Secretary identifying a number of areas where the University's current practice could be seen as non-compliant. It was noted that, while the advice in the handbook was not mandatory, it reflected recent developments in guidance and best practice in corporate governance and was more up to date than the 1999 SHEFC Code of Audit Practice, which was still in force.

- Resolved:**
- (i) to agree that all of the points identified by the Deputy Secretary should be actioned within a reasonable timeframe;
  - (ii) to recommend to Court that, as provided in the guidance, a financial limit should be set within which the Audit Committee should be authorised to obtain, without prior approval, legal or other independent professional advice – and that, in the Committee's view, such a limit should be set at £15,000;
  - (iii) to endorse the suggestion that the external auditors should be asked to attend the meeting of the Finance & Policy Committee which dealt with the year-end accounts (as well as that of the Audit Committee which followed shortly afterwards).

#### 5. AUDIT COMMITTEE SELF-ASSESSMENT

The Committee received copies of the 'self-assessment tool' produced by Ernst & Young, which had been referred to at the previous meeting. It was noted that self-assessment could be carried out collectively, individually or with the help of a third party. It was agreed that new members of the Committee ought to be allowed time to form a judgment on the Committee's effectiveness before the exercise was attempted. It was pointed out in discussion that the template covered some areas which were actually the responsibility of the Finance & Policy Committee.

- Resolved:**
- (i) to request that a version of the document more appropriate to the higher education sector should be produced;
  - (ii) to carry out the self-assessment exercise by asking Committee members to complete the proforma individually, in six months' time.

## 6. IMPLEMENTATION OF INTERNAL AUDIT RECOMMENDATIONS

The Committee received a status report on all higher priority internal audit recommendations due to be implemented by 31 August 2005. Attention was drawn in discussion to the lack of any target completion dates for recommendations in the DUSA – Risk Management report, but it was noted that there were a number of difficulties delaying their implementation. The Convener agreed to offer informal advice to the new sabbatical officers on how best to progress these recommendations.

On the Cash and Bank report, it was agreed that the risk identified did not justify the expense of replacing the University safe.

- Resolved:** to invite the internal auditors to return to the practice of including revised completion dates, agreed with auditees, in their follow-up reports.

## 7. INTERNAL AUDIT REPORTS

The Committee received reports on the following assignments:

|         |  |
|---------|--|
| 2005/05 | General Ledger   |
| 2005/06 | Residences   |
| 2005/07 | Student Debt Management VFM                                      |
| 2005/08 | Review of Management of Capital Projects and Financial Resources |
| 2005/10 | Information and IT: Data Protection and Freedom of Information   |

Members raised questions and commented on the reports; responses were given by the auditors and officers. The student debt management report was the outcome of the joint study carried out with Deloitte, on behalf of the Universities of Abertay, Dundee and St Andrews. The report included a good practice checklist with detailed notes on compliance specific to each institution (in this case Dundee), as well as a comparative summary of compliance across the three institutions (provided to all three). It was noted in discussion that notwithstanding the implementation of debt reduction targets by the Finance Office, the Academic Secretary retained discretion, in exceptional circumstances, to allow a student with overdue debts to continue studying.

On the management of capital projects, the auditors' review had found that one of the stated controls, viz. regular reconciliation between the GVA and CODA systems, was not effective - but this was not considered a major risk because the GVA system would not allow expenditure to be incurred in excess of budget. It was clarified in discussion that the Campus Services Committee did not have a central role in monitoring expenditure. It was pointed out that the scope of the report was limited: it did not comment, for example, on the effectiveness of project management. It was emphasised that work was on-going to improve and refine the various controls on capital expenditure. Particular areas identified for improvement were the monitoring of external funding raised (projected against actual) and more frequent (i.e. monthly) reporting on income and expenditure.

- Resolved:**
- (i) to ask officers to furnish new members of the Committee with background papers on the Residences outsourcing transaction;
  - (ii) to request that the auditors' report on management of capital projects should be forwarded to the Finance & Policy Committee;
  - (iii) otherwise, to note the reports.

## 8. JOINT MEETING OF AUDIT COMMITTEES

The Deputy Secretary reported that, following enquiries to members, the three consecutive days 22-24 November had been offered to the Universities of Abertay and St Andrews as options for the date of the next joint meeting of Audit Committees. Members would be advised of the final date as soon as this had been agreed.

- Resolved:**
- (i) to limit the joint meeting to a half-day;
  - (ii) subject to additional suggestions from the other two institutions, to propose the following as topics for the agenda: the Efficient Government Initiative (with the Secretary to provide a speaker); the joint study on student debt management; and sharing experiences in relation to VFM.

9. **APPOINTMENT OF EXTERNAL AUDITORS**

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

The Committee reviewed the options on which a decision would need to be taken after completion of the external audit of the University's 2004/05 financial statements (which would conclude the third and final year of Ernst & Young's current period of appointment).

## APPENDIX 7

CAMPUS SERVICES COMMITTEE  
(Minute 12)

A meeting of the Committee was held on 30 September 2005.

**Present:** Dr L Rolland (Convener), Dr R Abboud, Dr J Elliott, Professor A Newell, Professor S Unwin and President of the Students' Association.

**In Attendance:** Dr D Duncan, Mr D Yule, Mr P D Evans, Mr G McKee, Mr D White, Ms M Kenley and Mr M Galloway.

Acknowledging the new Committee members, the Convener introduced himself and at his invitation the other members present did likewise.

The Director of Campus Services advised that the servicing of the Committee had now passed to Campus Services and Mr D White would act as Secretary to the Committee.

## 1. MINUTES OF PREVIOUS MEETING

**Resolved:** to approve the minute of the meeting on 5 May 2005.

## 2. MATTERS ARISING

(1) Remit of Campus Services Committee (Minute 3)

The Director of Campus Services addressed a paper outlining the remit of the Campus Services Committee and its membership.

The Convener asked the Committee to note that Professor G Ward, Deputy Principal, had an open invitation to attend future Committee meetings. The Convener also expressed his appreciation to Mr M Galloway (Director of Planning & Transportation, Dundee City Council) for his past and continued presence at the Committee, noting that this was in an observing role.

(2) Campus Masterplan (Minute 4)

The Director of Campus Services advised the Committee that the Masterplan document would be available shortly and would be made available on the University Web site. In addition, copies of the Masterplan document would be circulated to Campus Services Committee members.

Mr Galloway advised that the Masterplan should not be lodged as a planning application but should be made available to the City Council as material consideration against future planning applications, with the purpose of allowing the Planning Department to process and approve them.

(3) Campus Green (Minute 6)

In response to the Convener's request for clarification, the University Secretary confirmed that the total budget for the Campus Green was £2.25m as identified within the capital programme. The project budget was however based upon initial estimates and would be subject to review as with all capital projects during the development process.

(4) Hawkhill Court (Minute 11)

Mr Galloway reported that Hawkhill Court had been granted planning permission. This was an initiative by the owner/developer of the site, which sat on the western boundary of the City Campus. The housing development was therefore of significance and interest to the University community.

(5) Campus Services – Review of Estates & Buildings (Minute 12)

The Director of Campus Services addressed a paper outlining the purpose of the review to the new Committee members and reported that the senior management team had now been appointed and would be fully in place with the arrival of the Head of Estates in January 2006. The Director of Campus Services remarked that he was confident about the future of Campus Services.

The Convener congratulated the Director of Campus Services on progress and shared his enthusiasm for the future of Campus Services.

Members sought further detail on the staffing levels within Campus Services. It was agreed that this would be provided for the next Committee meeting.

### 3. BUILDING SPACE MANAGEMENT

Ms M Kenley, Building Space Manager, addressed a paper outlining space management issues. Key to the success of space management was the development of space management information; utilisation of space management tools; and appropriate representation at a senior level in the institution. Benefits of space management were identified to the Committee. The Building Space Manager reported statistical information on the present estate and offered a suggestion that open plan office space and 'hot desking' were both spatially efficient.

There followed discussion from Committee members on the advantages and disadvantages of open plan and cellular accommodation. The consensus was that careful consideration should be given to the use of office accommodation across campus by the different academic and non academic groups, but that there was support for improved spatial efficiencies.

**Resolved:** to invite the Building Space Manager to develop further the detail of building space management and bring more detailed proposals and a phased implementation programme to a future meeting of the Campus Services Committee.

### 4. EXISTING CAPITAL PROGRAMME AND PROJECT STATUS REPORT

The Director of Campus Services addressed papers on the capital programme and capital projects status. He indicated that the intention was that in future the information in both papers would interrelate; that papers would be circulated in advance of Committee meetings to allow members to prepare comments and questions; and that Campus Services would report only on exceptional issues, not on general progress.

Mr M Galloway, advised the Committee that Dundee College had notified the Planning Department of its future interest in developing part of the Gardyne Road site for housing. The University Secretary informed the Committee that the deal with Dundee College contained an arrangement to allow the University to benefit from any subsequent uplift in the value of the Gardyne Road site in the event of a change from educational use.

### 5. CAMPUS GREEN

The Director of Campus Services explained the outline design proposals for the Campus Green to Committee members and reported the intention to complete the first phase of the works, namely the 'students' square' and possibly the 'Principal's lawn', by Summer 2006, in time for Graduation. The detailed design stage was due to commence imminently.

In response to questions from the Committee, it was clarified that the project would be considered further by the Design Group (see item 7).

Committee members expressed general support for the proposals.

### 6. CAR PARKING

The Director of Campus Services gave an overview of car parking across the City campus including the efforts being taken to address reduced provision. The success of alternatives to travel by car was reported.

Mr Galloway provided an update on the Hunter Street car park development and advised that the City Council was now exploring an alternative multi-use proposal with developers. This proposal could extend to the adjoining University-owned car park at Hunter Street if required.

Progress on the construction of the new car park to the rear of Caird House was briefly discussed and it was confirmed that planning consent was in the process of being given; that SET had given outline approval for access to the car park; and that construction work would start imminently.

There would be a need for continued dialogue with Historic Scotland during the operation of the car park to address any issues arising.

- Resolved:**
- (i) to consider extending the operating times of the University bus beyond 5.00pm;
  - (ii) to accept the offer from Mr Galloway to include the University land at Hunter Street in the Council's modified proposals for the Hunter Street car park;
  - (iii) to note progress on the Caird House car park.

#### 7. DESIGN SUB-COMMITTEE

The Director of Campus Services presented a paper on the purpose and membership of a proposed Design Group, which would be a sub-committee of the Campus Services Committee. The Design Group would be informed of all projects and would convene to consider selected capital projects depending upon their individual needs and impact upon the University environment. The Convener commended the paper and endorsed the need for such a Group.

The Group had been meeting informally to assist with both the Library extension and Teaching Building projects, pending its official approval by the Campus Services Committee.

Mr Galloway advised the Committee that he felt the design approach to the Library was entirely appropriate but that its connectivity to the Campus Green should be considered if possible, given that it faced in the opposite direction.

Committee members raised the need for adequate representation of DDA issues on all new capital projects. Mr Galloway advised that he had experience in DDA compliance and was willing to offer a targeted contribution if needed. This offer was gratefully accepted.

- Resolved:** to approve the launch of the Design Group as a sub-committee of the Campus Services Committee.

#### 8. POWER LOSS

The Director of Campus Services reported on the widespread loss of power to the University on 9 September 2005.

- Resolved:**
- (i) to recognise the good efforts of Campus Services in attending to the loss of power;
  - (ii) to highlight the need continually to review risks and their impact on the University.

#### 9. CAMPUS SERVICES BUDGET

The Acting Deputy Director of Campus Services addressed a paper detailing the Campus Services annual budget.

The Committee was asked to note the exceptional rise in the cost of heat, light and power, up 44% in a single year (£810k) and the significant changes to the estate with the new CIR and Applied Computing buildings coming on stream.

Spend on maintenance across the estate would be sizeably reduced in the current financial year to offset the exceptional cost of heat, light and power and to provide essential precinct services to the newly completed buildings.

The Committee was advised of the need for early budget planning for the next financial year given that the high cost of heat, light and power would remain for the foreseeable future and that delivery of the next tranche of new and refurbished buildings would further stretch the limited resources of maintenance and precinct services budgets.

**Resolved:** to note the report.

10. **DISABILITY WORKS AND DDA**

The Director of Campus Services presented a paper on DDA requirements and advised the Committee that its purpose was to look at the future of DDA issues and the need for continuous investment through the capital programme. Support for a longer term commitment to DDA projects and their funding was therefore sought from the Committee.

It was confirmed that all the projects listed in the paper were currently funded from the capital programme, other than two new projects that were at proposal stage.

**Resolved:** (i) to recommend that the new projects be considered by the DDA Group;  
(ii) to support continuous investment in DDA compliance.

11. **COMMITTEE BUSINESS**

The Director of Campus Services gave a short description of the future evolving role of the Campus Service Committee and of the participation of Committee members in developing future agenda items. The Committee was advised of the following list of provisional agenda items for the next Committee meeting:

- short presentation by Gordon Davies – incoming Head of Estates
- energy management
- developing role of the Planning & Policy Section
- update on selected capital projects
- City campus Masterplan evolution
- update on Ninewells Strategic Development Plan
- traffic management

12. **DUNDEE ENVIRONMENT HISTORIC TRUST**

Mr Galloway advised the Committee of the existence of the Dundee Environment Historic Trust and its access to funding. It was suggested that the reinstatement of the metal railings to the front of the Tower Building could be part-funded through this Trust. Any move on this would require taking cognisance of separate ambitions to create a new direct pathway from Perth Road to the front of the Tower.

A Committee member queried the status of a conservation agenda on campus and received confirmation that the need for such a document was recognised by Campus Services and was to be developed. This had also been raised by the Planning Department in separate discussions.

## APPENDIX 8

HUMAN RESOURCES COMMITTEE  
(Minute 12)

A meeting of the Committee was held on 4 October 2005.

**Present:** Ms E A Robertson (Convener), Dr R J Abboud, Ms C Bain, Professor J Calderhead, Dr J Lowe, Professor A F Newell and Dr A Roger.

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

1. **MINUTES OF PREVIOUS MEETING**

The minutes of the meeting on 24 May 2005 were approved.

2. **MATTERS ARISING**

(1) Fixed-Term Contracts (Minute 2(1))

A report detailing the final numbers of staff transferring from fixed-term to permanent contracts was considered. It was noted that the majority of staff still remaining on fixed-term contracts were research staff or staff supporting those in research. The Director of Human Resources highlighted that it was still legitimate to employ staff on fixed-term contracts, i.e. for a research project with limited funds, maternity cover etc. However, the use of fixed-term contracts would be monitored and if the reason for a fixed-term contract was not immediately apparent, this would be checked with the department, for both new appointments and renewals.

It was confirmed that statutory procedures were followed at the end of a fixed-term contract, and this included providing the right of appeal.

It was recognised that, although the initial exercise to review fixed-term contracts was now complete, monitoring of fixed-term contracts would continue on an on-going basis.

A suggestion was made that, rather than losing key individuals at the end of a fixed-term contract, the University should consider creating a 'pool' of researchers who could be used by more than just one person or group. Although this idea was supported, it was felt that this would only be feasible in larger units. It was noted that this type of initiative was being discussed at Scottish level, as a possible way to ensure that talent was retained in Scotland.

**Resolved:** to note that the review of fixed-term contracts had transferred over 218 staff to permanent contracts.

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

The University Secretary confirmed that the Division of Physical & Inorganic Chemistry had closed at the end of the academic session 2004/05. It was reported that out of the nine members of staff affected, five had secured positions in other universities and four had been redeployed within the University. No case, therefore, had required referral to the Standing Redundancy Committee.

**Resolved:** to note the final report relating to the closure of PIC.

(3) Staff Attitude Survey (Minute 2(4))

The Director of Human Resources confirmed that, although a significant amount of preparatory work had been done on identifying the scope of such a survey, possible sources of funding for the project and a possible supplier, there were resource issues to consider in terms of time, particularly when work on the Framework Agreement and job evaluation was the main priority for Human Resources. The Committee recognised that undertaking such a project would be resource-intensive and it was important to be clear about resource allocation at the outset.

**Resolved:** the Director of Human Resources to discuss a possible timeframe with the Deans and on the basis of these discussions, to develop a work plan for the next meeting.

(4) Dignity at Work and Study Complaints (Minute 4)

At the last meeting of the Committee, it had been reported that six formal complaints had been made over the period January - December 2004. It was confirmed that, following formal investigation, two cases had been upheld and four complaints had not.

3. **HUMAN RESOURCES**

(1) Pay Award 2005/06

It was confirmed that a national pay award of 3% had been agreed for 2005/06 and that this would be paid with October salaries.

**Resolved:** to note the pay award for 2005/06.

(2) Framework Agreement

The Director of Human Resources confirmed that the Framework Agreement Working Group had been meeting regularly and that significant progress had been made in developing a pay and grading structure that was acceptable to all parties. It was confirmed that the Working Group had reached a fairly critical point in the negotiations and it was hoped that the outstanding issues would be resolved in the near future. It was noted that the unions had indicated that they would not be prepared to progress the job evaluation exercise until the grading structure had been agreed. A report on the Framework budget was received.

In terms of the job evaluation system (HERA), it was confirmed that training of role analysts was continuing and open meetings were taking place around the campus. Discussions had taken place within the HERA Working Group regarding possible pilot areas and the relevant Deans had been contacted. It was confirmed that between 230 and 300 benchmark roles would be evaluated but that generic role profiles would be used where appropriate. For academic and research staff, the University had already agreed that it would use the national library of academic role profiles and a meeting had taken place to establish which of these profiles were relevant to Dundee and whether any minor modification to these profiles was required. A further meeting was to be arranged with DAUT to clarify the outcome of these meetings, as the DAUT representative had been unable to attend the initial meeting. It was noted that academic-related role profiles had been provided by AUT and although these had not been developed nationally, the University was prepared to consider whether they were appropriate to use at Dundee. It was highlighted that although generic role profiles could be used, the role profiles and a number of benchmarks would still need to be evaluated using HERA.

There was some discussion regarding pay protection or 'red-circling'. It was noted that the Framework Agreement Working Group still had to consider this locally, although it was recognised that the Joint Negotiating Committee for Higher Education Staff (JNCHES) had provided guidance on pay protection. It was confirmed that development opportunities for staff in a pay protection situation would also be considered in the course of the discussions.

The timing of an equal pay audit was also discussed and the Director of Human Resources felt that it would be best carried out at the end of the job evaluation exercise.

It was confirmed that the new pay and grading structure did not include professors or professorial-equivalent grades. However, the University was keen to look at evaluating some of these posts through HERA, so that the full range of posts at Dundee could be considered. It was noted that some Universities had extended the 51-point salary scale to include professorial and equivalent grades but the University of Dundee was not considering this at the present time. Statistics relating to the ratio of male to female professors were requested. The Director of Human Resources confirmed that the current arrangements for professorial staff were robust and she was confident that the information she provided to the Remuneration Committee ensured no pay inequalities.

**Resolved:** to request statistics on the professoriate from the Equality & Diversity Officer.

(3) Human Resources Strategy

It was reported that the document developed in October 2004, outlining the key strategic objectives for the Human Resources Directorate, had been revised and updated to outline the tasks proposed for 2005/06. The main objectives previously agreed had been updated but would be reviewed again and realigned as appropriate when the University's new vision was formulated.

**Resolved:** to note the position.

(4) Disclosure Scotland

It was reported that the University had responded to the new legislation relating to the Protection of Children (Scotland) Act 2003 by introducing a policy by which, in addition to all relevant posts which were currently identified as high risk being routinely checked, all new academic and teaching appointments would have to undergo a Disclosure check.

Recognising the delays that Disclosure checks could build into the recruitment process, it was agreed that an appointee could commence in post before a Disclosure check had been received, provided that the appointing department had undertaken an appropriate risk assessment and, if high risk, had taken steps to ensure that the appointee would not have sole access to children or vulnerable adults until the Disclosure check was received. Furthermore, for overseas appointees, it was agreed that a photocopy of a passport, birth certificate etc would be acceptable in the first instance to allow a Disclosure request to be initiated. However, original documents would require to be checked when the appointee commenced in post.

It was agreed that the sharing of Disclosure information (within certain guidelines) was appropriate for joint appointments, i.e. with NHS Tayside or between secondment parties. Also, there was agreement that the 'self-declaration' proforma should be used by the University in certain circumstances.

**Resolved:** to note the change to University policy with regard to Disclosure checks for staff and to agree the arrangements required to ensure the practical implementation of the new policy.

(5) Staff Benefits

A report from the Director of Information & Communication Services on the Home Computing Initiative (HCI) was discussed. The benefits of introducing such a scheme both for the employer and the employee were outlined in the report and a recommendation made that this initiative should be considered by the University.

The Childcare Voucher scheme was also discussed and it was noted that Dundee University was now in a position to offer this scheme to staff.

**Resolved:** to note that the Childcare Voucher scheme was soon to be launched and that the HCI would be considered further, as an additional benefit to staff.

4. **EQUALITY AND DIVERSITY**(1) Equality and Diversity Report

A report from the Equality & Diversity Officer was received. The report highlighted progress on key priority areas, including revision of the Dignity at Work and Study Policy and Guidance, identification of on-line training to support this Policy and initiatives identified by the Gender Equality Network Group.

(2) Race Equality Policy and Action Plan

**Resolved:** to approve the final version of the Race Equality Policy and Action Plan.

(3) Age Discrimination Regulations 2005

It was confirmed that new laws relating to age discrimination would be introduced on 1 October 2006 and that, when guidelines became available, the University would need to ensure that current policies and procedures were in line with the new legislation.

**Resolved:** to note the position.

5. **STAFF DEVELOPMENT**(1) Staff Development Reports

Reports from the Director of Management Development Services and the Director of Academic Professional Development were received. Both reports highlighted progress in a number of key areas.

(2) Postgraduate Certificate in Teaching in Higher Education

It was confirmed that a report detailing the number of probationary lecturers currently undertaking the first module of the Certificate, and any exceptions, would be submitted regularly to the Human Resources Committee.

**Resolved:** to note those exempted from the first module of the Postgraduate Certificate in Teaching and Higher Education.

(3) Court Away-Day

The University Secretary confirmed that the Court was keen that staff development became a priority area next year, following the implementation of the Framework Agreement. It was confirmed that emphasis would be placed on the development of skills that would ensure that the University met its strategic aims and objectives, not just on personal development. The Director of Human Resources confirmed that she welcomed these developments and the commitment of the University to invest in this area.

**Resolved:** (i) to return to staff development issues in more detail at a future meeting;

(ii) to invite the Vice-Principal for Educational Development (Professor Calderhead) to address the Committee on this subject at a later date.

6. **HEALTH AND SAFETY**(1) Safety Sub-Committee

The minutes of the Safety Sub-Committee meeting on 20 September 2005 were received.

(2) Health and Safety Services Report

A report from the Head of Health & Safety Services was received. It was noted that the Student Fire Safety DVD had been very well received both within and outwith the University and, in addition to being used at Dundee, was also being used by other universities, as well as for community education purposes.

The work of the Occupational Health Service was detailed. It was highlighted that significant amounts of the part-time occupational health nurse's time was spent on statutory compliance issues and, because of this, other areas had not been progressed. These included pre-employment screening and early intervention in sickness absence cases. The Director of Human Resources confirmed that, although additional funding had not been available to employ another occupational health nurse, significant progress had been made in terms of sickness absence management and management information was now available to the faculties. It was reported that the University had recently undergone an internal audit on sickness absence management and this would be useful in terms of judging the effectiveness of the policy and its implementation.

It was noted that a report detailing actions taken by the University in terms of stress management had been submitted to the Health and Safety Executive Inspector after his second visit. Key points addressed included the adoption of a stress policy, training staff in stress risk assessment, developing a network of well-being contacts and review meetings between Deans and the Director of Human Resources.

**Resolved:** to note the report.

7. **LOCAL JOINT COMMITTEES**(1) University/Amicus-MSF Joint Committee

The minutes of the meeting on 13 September 2005 were received.

(2) University/UNISON Joint Committee

The minutes of the meeting on 14 September 2005 were received.

(3) University/DAUT Joint Committee

The minutes of the meeting on 23 September 2005 were received.

8. **ANNUAL REVIEW**(1) Clerical Staff Annual Review Group

The minutes of the meeting on 12 May 2005 were received (annex A).

(2) Technical Staff Annual Review Group

The minutes of the meeting on 23 May 2005 were received (annex B).

(3) Appeal Committees

The minutes of meetings of the ALC Staff Annual Review Group (annex C) and of the Technical Staff Annual Review Appeal Committee (annex D) were received.

Annex A

**CLERICAL STAFF ANNUAL REVIEW 2005**

A meeting of the Annual Review Panel was held on 12 May 2005.

Present: Dr D J Duncan (Convener), Mr J Bagnall, Ms J Cordiner and Mrs J Donachie.

In Attendance: Mrs S Egan.

Annex B

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.



**TECHNICAL STAFF ANNUAL REVIEW 2005**

A meeting of the Annual Review Panel was held on 23 May 2005.

Present: Mr I R Leith, Dr K M Peebles and Dr F J Carter.

In Attendance: Mrs G R Jones.

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 1 August 2005.

Present: Dr D J Duncan, Mrs P A Milne, Mr G Westwater, Ms E Douglas, Mrs J M Strachan and Professor C A Whatley.

In Attendance: Ms L M Poor.

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.

**TECHNICAL STAFF ANNUAL REVIEW  
APPEALS 2005**

A meeting of the Appeals Committee was held on 2 August 2005.

Present: Dr I Allan, Mr D Cathcart, Mrs L Connelly, Dr K Peebles, Mr G Ogg and Mr B Wilkie.

In Attendance: Mrs G R Jones.

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.