

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 19 February 2007.

Present: Mr JR Milligan (in the Chair), Principal Sir Alan Langlands, Dr RJ Abboud, Ms CA Bain, Professor A Burchell, Dr JR Elliott, Dr A Goligher, Mr BWM Johnston, Lord Provost Dr J Letford, Dr J Lowe, Dr H Marriage, Mr C Murray, Ms A Newton, Dr AM Roger, Dr LAL Rolland, Dr MR Ward, Mr W Wilson and President of the Students' Association.

In Attendance: Ms EA Robertson (outgoing Rector's Assessor), Ms J Thomson (member of Audit Committee), Mr M Arnott (Rector's Assessor designate), Vice-Principals Professor DH Boxer and Professor J Calderhead, Deputy Principal Professor MCR Davies, Secretary, Acting Director of Finance, Directors of Human Resources, Information Services and Strategic Planning, Mr R Isles, Mrs CLE Pope and Clerk to Court.

The Chairman extended a welcome to Ms Thomson, and also to the new Rector, following his election on 16 February 2007.

28. MINUTES

The Court decided: to approve the minutes of the meeting on 18 December 2006, subject to minor amendments.

29. MATTERS ARISING

(1) Statute 9 (Minute 15 and Appendix 1)

The Court decided: to confirm the decision, taken at its meeting on 18 December and subject to such modifications as might be required by the Privy Council, to approve unanimously the amendments to Statute 9, limiting the maximum continuous terms of office of the Chancellor's and Rector's Assessors, thus completing the special resolution.

(2) Staff Grievance (Minute 26)

The Court learnt that the member of staff concerned had now withdrawn an appeal against the findings of a Grievance Committee, and that therefore no further action need be taken.

30. CHAIRMAN'S BUSINESS

The Chairman reported that he had attended the 40th anniversary 'Dundee Celebration' graduation ceremony on 9 February 2007. He had enjoyed the event enormously and wished to extend the Court's congratulations to the Lord Provost on the conferment on him at that ceremony of a Doctor of Laws *honoris causa*.

31. PRINCIPAL'S REPORT

The Court received a report from the Principal (**Appendix 1**).

The Principal highlighted the manifold achievements of members of staff in learning, teaching and research and also of students since the last meeting. This showed the breadth of activity of the institution. Dr Lowe pointed out that the University had recently been commended for the number of female appointments to chairs. Mr Wilson praised the many links with developing countries, especially those resulting in memorandums of understanding.

32. FINANCE AND SUSTAINABILITY

The Principal introduced this item, explaining the reason for presenting papers usually seen by the Finance & Policy Committee (Minute 32(1)) or the Audit Committee (Minute 32(2)). Given the interconnectedness of the current financial position with the recommendations contained in the Sustainability Report (Minute 32(3)), it had been considered advisable that Court understand the current position fully and that it therefore be furnished with more detailed papers than would normally be the case.

(1) Management Accounts

The Court received a report from the Acting Director of Finance on the current financial position of the University. Period 5 management accounts were indicating a worst case operating deficit for the year end of £5.3m, compared with the budgeted operating deficit of £1.6m. The forecast net impact of capital expenditure on cashflow would push the University to £9.3m above its borrowing limit. The paper outlined action being taken to test and refine the cash flow forecasts as well as action to limit expenditure and maximise income over the remaining 6 months of the year. It was the University's intention that these steps would enable a significant improvement to the financial position, in order to remain within the borrowing limit. It was noted that budget problems, including a significant error in the way that SFC funding for nursing and midwifery had been allocated, would make it difficult to limit the operating deficit to the budgeted figure of £1.6m. The proposed steps included: ensuring that cash inflows are taken as early as possible; freezing all vacancies, except those that are externally funded or crucial to RAE 2008; scrutiny of non-pay budgets to identify expenditure which could be cancelled or deferred; postponing elements of the capital programme; discussion with

external partners on the possibility of additional funding for capital projects.

There was discussion of the alleged costs of restructuring, and whether this had had an impact on the unfavourable financial position. The Principal stressed that it was the *academic* management of the University that had been restructured, and that the four College Heads had been appointed because of their international reputations and their proven track record in generating research income. Additionally, it should be noted that the restructuring process had reduced 29 departmental heads to 16 Deans of Schools.

Some concern was voiced in relation to the proposed freezing of posts. It was agreed that this had to be carried out in a sensible and judicious manner. The Director of Human Resources noted that this was being implemented at a College level, where each staffing case was being scrutinised for potential savings.

The Court decided: (i) to note the position and endorse the steps being taken to refine the projections and to improve the financial position by the year end;

(ii) to ask the Principal to provide the next meeting of Court with a report outlining the costs and benefits of restructuring the academic management of the University.

(2) Internal Audit Report – Review of Financial Management

The Principal introduced the report prepared by the University's internal auditors, PricewaterhouseCoopers. The report made a number of favourable comments on the financial governance of the University, but made wide-ranging recommendations in relation to management accounting and reporting processes. In response to the current, difficult financial position, the report set out a 30, 60 and 90-day action plan, starting with a detailed six month review of the financial position (hard-close), which would treat the half-year stage as if it were the year end. All of this work would be overseen by the auditors and a detailed follow-up report would go to the Finance & Policy and Audit Committees and thence to Court.

The report also provided advice on the future role of the Director of Finance, emphasising the need for clear financial leadership and linkage between the academic strategy of the institution and its financial management. Work had already started on the mechanism for appointing a new Director of Finance, and in the meantime the Deputy Director of Finance, Ms C Blake, had taken on the role of Acting Director, and an 'associate' Finance Director was likely to be appointed on an interim basis to provide back-up support.

Members of Court welcomed the report, which gave a clear analysis of some of the difficulties, and thanked the Principal for sharing its contents. Dr Lowe, in particular, was pleased that the report addressed issues raised by the Audit Committee.

The Court decided: (i) to accept in full the findings and recommendations of the review, to approve the 90-day action plan, and to expect regular reports on its implementation;

(ii) to agree to the appointment of a new Director of Finance and to the proposed interim arrangements in the Finance Directorate.

(3) Sustainability Review Group

The Court received a report from the chair of the Sustainability Review Group, Professor Davies (**Appendix 2**). The review had been instituted in June 2006, following the approval of the financial strategy 2006-11. The group was set up in September 2006 in order to carry out the review, and the report contained recommendations for ensuring the long-term sustainability of the University. Professor Davies began by describing the methodology of the review, in which a set of Key Performance Indicators (KPIs) had been derived from institutional data for 2005/6 which were then matched against external benchmarks from, *inter alia*, the Scottish Funding Council (SFC), the Universities and Colleges Admissions Service (UCAS), the Higher Education Statistics Agency (HESA) and comparator institutions.

The major findings were that there was a highly variable distribution of research income across the institution; that the research overheads recovered from sponsors were generally too low; that there were areas of the University that had difficulty in attracting sufficient numbers of sufficiently qualified students; and that not all opportunities for taught postgraduate provision were being pursued. These findings were set against a situation where the University had not been adequately maintaining its buildings and infrastructure for a number of years. One metric showed how, when measuring the University's total income per academic fte, the University of Dundee performed poorly against the Scottish and UK national means as well as against comparator institutions. Increasing the income per fte to the average for research intensive institutions would raise an additional £30m in income.

The University's long history of meagre surpluses or small deficits had meant the University had not been in a position to update its buildings and invest in its infrastructure. The prime recommendation of the review group was therefore that the University move to a position where it was producing regular surpluses of around 3% of turnover per annum. To achieve this by academic year 2010/11

would mean improving the financial position of the University by £6.85m. This should be achieved by a mixture of income generation and savings.

Income generation should focus on increasing research overhead income, with a target of £1.075m, and increasing overseas and taught postgraduate recruitment, with a target of £1.050m; both targets spread over the four colleges.

The review group recommended that the savings be achieved in a number of ways. Firstly, by improved workload planning, Colleges should be able to make staff savings of £2.1m over the period to 2010/11. This ought to be achievable through natural turnover, and through a voluntary severance scheme. Additionally, a series of focussed savings were recommended: £300k in modern languages, £200k in Town and Regional Planning, £300k in Community Education. For Student and Academic Support Services, across-the-board savings of £475k should be achieved along with the following targeted savings: £50k in Research and Innovation Services, £100k in the Library, £200k from Gardens and Grounds, and £100k from Continuing Education.

By delaying the filling of vacancies, a further £500k of savings should be achieved. A final mechanism for reaching the target surplus was through a scheme for the payment of pension contributions, whereby the employer and employee would both benefit financially.

The review group recognised that the University's expenditure on capital works needed to be kept in balance, and recommended that once the current major works were complete, the programme should focus primarily on long-term maintenance.

In drawing the presentation to a close, Professor Davies and Dr Duncan stressed that while the precise proportions between savings and income generation in the Colleges could be altered as long as the overall benefit was the same, the timescale for achieving the savings could not be compromised, and work would therefore need to begin as a matter of urgency to realise the targets.

Following the presentation, the Court engaged in lively debate on the recommendations. In doing so, the volume of correspondence from interested parties expressing their views about the proposals was acknowledged.

Some members felt that not enough consultation had taken place with staff and the campus unions and that therefore Court should not endorse the recommendations at the present meeting. The Director of Human Resources reported that as many as eight meetings with unions had taken place before the Court meeting, at each of which the review had been a topic for discussion. Indeed, the University and the unions had issued a joint statement agreeing 'to work together constructively and openly to strive to achieve the target in ways that

[protected] the interests of students and [avoided] compulsory redundancies'. The Principal reported that a balance had had to be struck between the primacy of Court, as commissioners of the report, and the right of affected areas to be made aware of the contents of the report. The University believed it had been as open as possible.

It was reported that staff in some areas were feeling threatened by the report's findings. The University needed to act sensitively with staff in targeted areas to ensure that the recommendations were implemented fairly.

There was some debate about the accuracy of the baseline figures used in the report, although these issues would be clarified as part of continuing consultation.

Some members were concerned that the proposals did not go far enough, particularly given that external factors would make the HE environment more challenging and competitive. There were also warnings that the University needed to get the recommendations right *now*; it would be difficult to introduce further savings later if the current proposals did not achieve their targets.

The President of the Students' Association reported on the level of student concern with the proposals, and in particular noted the petition from students on modern languages courses. It was crucial that current students did not suffer as a result of the savings, and that existing commitments were honoured.

Summing up, the Principal spoke of the University's responsibilities for the financial and academic management of the institution. The University had a responsibility for the wellbeing of both current and future students, and this was only possible if the institution was on a stable and sustainable footing. Additionally, the University had a responsibility for the wellbeing of its staff and that therefore it needed to deal fairly and transparently with them. In this, the University would strive as far as possible to avoid compulsory redundancies. Crucially, however, the University was accountable externally as well as internally and had to show the Scottish Funding Council and the banks that it was able to conduct its business properly and was addressing its financial position sensibly and strongly. As was common in the sector, expenditure was increasing faster than income and without urgent action the position would only deteriorate.

The Principal accepted that further consultation might lead to a refinement of the recommendations, but stressed that both the timescales and the targets must remain as proposed if the overall aims of the review were to be realised and long-term sustainability achieved.

The Court decided: (by a vote of 11 to 5, with no abstentions)

- (i) to accept the findings and recommendations of the Sustainability Review Group, subject to further consultation and discussion on the implementation of the recommendations;
- (ii) to keep the target improvement of £6.85m under review and to adjust it as necessary to accommodate changing circumstances;
- (iii) to expect regular progress reports on the implementation of the recommendations.

33. FINANCE & POLICY COMMITTEE

The Court received a report from the meeting of the Finance & Policy Committee on 29 January 2007 (**Appendix 3**).

The Court decided: to note the report, its business having been dealt with at Minute 32.

34. CAPITAL DEVELOPMENTS AT NINEWELLS

(1) CRC Update

The Court received a report from the Director of Strategic Planning on progress with the Clinical Research Centre. The project redesign had been successfully completed, and the changes were now being implemented. Whilst the space initially available had been reduced by a third, the Centre would be fully adequate to meet the projected demand. Discussions were also underway with NHS Tayside, and a funding request was being prepared for consideration by its Board.

(2) TMRC Update

The Court received a report from the Director of Strategic Planning on the progress with the Translational Medicine Research Collaboration. While construction costs had increased since the December Court meeting, the level of external contributions had also risen by over £1m and this meant that the maximum loan required for the project was within the borrowing request made to the Scottish Funding Council, approval of which was still awaited.

The Court decided: to approve, subject to the agreement of the Scottish Funding Council, the taking of a loan to allow the construction of the Research Laboratory building.

35. STUDENT RECRUITMENT

(1) UG and PG Taught Admissions

The Court received a report from the Director of Admissions and Student Recruitment which set out the current position with regard to recruitment for 2007/8. Whilst total numbers of undergraduate applications had fallen, this was entirely due to the raising of entry requirements in Medicine and Dentistry. The focus now was on converting applications into firm acceptances. It was too early to make a concrete assessment of the level of postgraduate taught applications, although numbers appeared to be at least comparable with 2006/7. Given the later cycle with postgraduate applications, and in view of foreign recruitment visits by the University in the coming months, the situation would be clearer by the next meeting.

The Court decided: to note the report.

(2) School of Nursing and Midwifery

The Court received a report from the Secretary in relation to the situation in the School of Nursing and Midwifery. The School had suffered significant under-recruitment in 2006/7, such that the usual January intake had been abandoned. To deal with the consequences of this, a recovery plan was in place to reverse the situation and boost recruitment for 2007/8. The University was committed to additional access courses for potential nursing entrants for the summer, although these had originally been linked to the recent job losses at NCR. Senior staff had had a productive meeting with the Chief Nursing Officer, who had proposed that any clawback of funds would be phased over three years, commencing in 2007/8, allowing the University the opportunity to improve its position. The reasons behind the situation appeared to be a mixture of the general situation in Scotland, potentially made worse for Dundee as a result of the discussions over the Kirkcaldy campus; the raising of entry requirements for Nursing and Midwifery entrants; and the possible decline of available candidates in the local area.

The Court decided: to note the report.

36. SUBSIDIARY AND OTHER RELATED COMPANIES

The Court received a summary report of subsidiary and other companies in which the University has a significant interest. Dr Marriage raised the question of whether there was any financial benefit in realising University holdings in any of the companies listed to provide a cash injection into University funds. The Principal agreed to bring an estimate to the next meeting of the Finance & Policy Committee, although at the same time sounding a note of caution that proceeds from early disposal would be at a reduced level.

Mr Murray raised concerns about Dundee Student Villages and sought more information on the financing and operation of this subsidiary.

- The Court decided:**
- (i) to ask the officers to provide the next meeting of Court with a paper outlining the financial and operating arrangements of Dundee Student Villages;
 - (ii) otherwise, to note the report.

37. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senatus on 7 February 2007 (**Appendix 4**).

- The Court decided:**
- (i) to approve the recommendation concerning conferment of the title of Professor Emeritus;
 - (ii) otherwise, to note the report.

38. COMMITTEE REPORTS

The Court received reports from the following:

Human Resources Committee	30 January 2007	(Appendix 5)
Ethical Review Committee	Annual Report	

The Court decided: to approve the reports.

39. STAFF

Professorial and Other Grade 10 Appointments

The Court noted the appointment of the following:

Dr Ruth Freeman	Chair of Dental Public Health Research	1 November 2006
Dr Sara Marshall	Chair of Clinical Immunology	1 December 2006
Dr Julie Taylor	Personal Chair of Family Health	1 January 2007
Dr Tim Broyd	Halcrow Chair of Construction Innovation	8 January 2007

APPENDIX 1

PRINCIPAL'S REPORT (Minute 31)

Financial Management & Sustainability Review

These are the major issues for discussion by Court and I have provided a separate covering note for Papers C, D & E.

Learning and Teaching

The January intake of freshers totalled 220 students – 127 of whom are full time. Of the 220, 89 are postgraduates.

Undergraduate applications are steady overall with a small net increase of 33 applications over disciplines outside Medicine Dentistry & Nursing. In Medicine and Dentistry applications have dropped by 332 following the raising of entry qualifications but applications per place stand at 6 for dentistry and 10 for medicine. Nursing applications were down in 2006 and a recovery programme is underway. This is the subject of a separate paper to Court.

Postgraduate applications are currently at almost the same level as last year. Home numbers are currently up by 45%. A decrease of 20% in overseas applications is largely due to a change in the process of dealing with late applications and, with the majority of overseas recruitment trips planned for the coming months, numbers are expected to grow.

Various agreements and Memoranda of Understanding have recently been signed including two in India following a recent visit by Professor Ravindra Dhir. They are with the National Institute of Technology, Jalandhar, Punjab and the University and Institute of Science and Technology, Chennai and will bring postgraduate students into civil engineering.

Preliminary MOUs have been signed with the International Law Institute of Wuhan University, China and Moscow State University of International Relations, both relating to CEPMLP.

An agreement between the University and Kazakhstan government organisation Bolashak has brought the first two fully funded scholarship students to Dundee where they have just completed their first semester. The students, one undergraduate and one postgraduate are studying social work and CEPMLP respectively.

A spinout from the collaboration recently initiated with the A*STAR Institute in Singapore, has led to agreements currently being negotiated with three further Singapore institutes – Nan Yang University, Ngee Ann Polytechnic and Singapore Polytechnic to bring undergraduates in life sciences to Dundee to complete level 3.

The University hosted the Royal Society of Chemistry Schools' Christmas Lecture in December attracting 300 S5 and S6 pupils.

Over 250 secondary pupils attended the Higher Biology Conference in the College of Life Sciences in December, introducing them to recent developments in research.

Teaching graduate Jane Chiverton was presented with the prestigious George D Gray Award by the General Teaching Council for Scotland for authoring Scotland's best BEd thesis: *Crossing the Great Divide: An Investigative Study into Children's Self Perceptions over the Period of Transition from Primary to Secondary School*.

The Enterprise Gym, which attracted 400 students within a month, staged a prize presentation to celebrate its success.

The first in a series of masterclasses by the Centre for Enterprise Management was well attended and highly successful. Dr Frank Walsh, Executive VP Discovery, Wyeth spoke on *The planning and managing of university-industry research partnerships*. The next in this series will be delivered by Sir Tom McKillop, Chairman, Royal Bank of Scotland on Tuesday 20 February.

Following the recent situation at NCR we are in discussion with the NCR Task Force chaired by Rev Erik Cramb, offering retraining opportunities for NCR staff via access courses for Nursing and Midwifery, Arts & Social Sciences and Engineering and Physical Sciences and places on the Access Summer School.

Research and Commercialisation

A new investment of £27 million has been announced by the Scottish Funding Council - to support SULSA, the Scottish Universities Life Sciences Alliance. The alliance will coordinate and integrate life sciences research strategies at the Universities of Aberdeen, Dundee, Edinburgh, Glasgow, St. Andrews and Strathclyde. SULSA will network internationally competitive research across the sector to create a critical mass of scientists to rival major centres across the world, to invest in world class facilities, make these accessible to all Scottish Life Scientists and to attract top scientists to relocate to Scotland. SULSA focuses on three themes in life sciences research: Cell Biology, Systems Biology and Translational Biology. The University of Dundee will lead the Translational Biology theme under the Directorship of Professor Peter Downes, Vice Principal and Head of the College of Life Sciences.

The Unit of Anatomy and Forensic Anthropology under the leadership of Professor Sue Black was awarded the contract to train police officers from all over the UK to form part of the new UK Disaster Victim Identification response capability. The first officers to train on the course will start later this year and the accompanying UK DVI Handbook will be published by Dundee University Press.

The University's international reputation in the life sciences was instrumental in attracting Swedish company Cellartis AB to Dundee in association with the ITI and Glasgow University. They are to establish a research, development and manufacturing facility in Dundee creating up to 75 high skill jobs.

The Translational Medicine Research Collaboration announced the first round of research projects funded through the initiative. Almost £8 million of medical research funding has been released to support 28 new projects covering a range of areas including cardiovascular and metabolic disease, the central nervous system, oncology, inflammation and women's health across Scotland. Nine projects attracting 26% of the funds have been won by the University of Dundee.

A new research institute was launched in December to look at social and health care issues for disabled people. IDRIS – the Interdisciplinary Disability Research Institute is based at the Queen Mother Building and led by Professor Jennifer Harris.

Leading professor of health care policy at St Andrews University, Professor Huw Davies was appointed as the new full time Director of the Social Dimensions of Health Institute tasked with building on the growth of the SDHI and developing its activity to the next stage.

A University of Dundee research group focussing on obesity has been launched chaired by Professor Annie Anderson of the University's Centre for Public Health Nutrition Research. The group aims to build an interdisciplinary network to expand research into the prevention and management of obesity.

Awards

Professor Roland Wolf, was honoured with a Scottish Enterprise Scottish Life Sciences Award for his outstanding contribution to the development of the life sciences sector in Scotland. Professor Wolf was awarded the prize at the Scottish Enterprise Life Sciences Annual Dinner on 8th February at the Edinburgh International Conference Centre in front of 700 guests active in the Scottish Life Sciences community.

Dr Rami Abboud has been made a senior member of the Institute of Electrical and Electronics Engineers and also invited by the China Instrument and Control Society to be the foreign member for the Editorial Committee of the Chinese Journal of Scientific Instrument.

Duncan of Jordanstone graduate Jackie Anderson is this year's RSA Alastair Salvesen Scholar 2007. With the award money of up to £10,000 Jackie intends to travel to Trinidad and Tobago in the West Indies, researching her heritage.

Professor Dario Alessi delivered the prestigious Francis Crick Prize Lecture at the Royal Society.

Ranulph Glanville gave the fourth lecture in the Energising Cities series presented by the School of Architecture.

Professor Alan Newell was named a Fellow of the Association for Computing Machinery, one of only three in Europe to receive the honour in the class of 2006.

Professor Alan Fairlamb and Dr Susan Wyllie who are working on new drug treatments for leishmaniasis have been awarded this year's NC3R prize for their work.

Professor Tim Broyd has been appointed as the new Halcrow Chair of Construction Innovation in the School of Engineering and Physical Sciences.

We are grateful to the following trusts for recent gifts:

- The Mathew Trust for £50,000 in support of The Angiogenesis Research Centre under the direction of Professor Seth and Dr Ana Schor.
- The Leng Trust for a recent gift of £100,000 in support of The Diabetes Research Campaign under the direction of Professor Andrew Morris.

We also thank medical alumnus A H Davies who studied in the 1940s and 50s for his generous gift of £10,000.

Events

The University marked its 40th anniversary with a well attended ceremony on 9 February in the Caird Hall, recognising the links with the city and honouring town and gown figures for their contributions across a wide range of activity.

The University's most recently appointed professors gave a compelling account of their research in all its diversity at this year's Discovery Days 2007, attracting audiences of 250-300 across all sessions.

The University was commended by Times Higher Education Supplement for having 'one of the best records for appointing female professors' with women being appointed to 19 out of the 41 chairs in the last two years.

A full programme of Saturday Evening Lectures started on 3 February with Professor Paul Wilkinson, University of St Andrews on The Liberal State Responses to Terrorism and Their Limits. An excellent line up between now and the end of April includes Professor Chris Whatley; Baroness Onora O'Neill, President of The British Academy; Professor John Burn, University of Newcastle upon Tyne; Shonaig Macpherson, The National Trust for Scotland; Brian Wilson former Energy Minister and alumnus and Steve Bell, The Guardian cartoonist.

Alan Langlands
February 2007

APPENDIX 2

SUSTAINABILITY REVIEW GROUP (Minute 32(3))

REMIT OF GROUP

1. The sustainability review group was established following the 4 September 2006 meeting of the University Court. Its remit is to make recommendations that will ensure the long-term financial stability and sustainability of the University. The review was set up against a background of concern that the University had, over a long period, generated only meagre surpluses or small financial deficits. As a result, the University lacked sufficient resources to invest in new academic initiatives or in the physical and technological infrastructure. The Court was further concerned by the lack of contingency funds to protect the institution against the vagaries of multiple income streams, and by the impending increase in staff costs resulting from the national pay agreement.
2. Chaired by the Deputy Principal and Dean of Engineering & Physical Sciences, Professor Michael Davies, the review group was asked to report to the 19 February meeting of the University Court. It has been supported by a sub-group of Court members, chaired by the Convener of the Finance & Policy Committee, Mr Bruce Johnston.

MODE OF WORKING

3. In order to be able to make proposals that will lead to the University producing a surplus to fund strategic objectives, the group had first to establish the current profile of the University. Although at a high level the income and expenditure of different areas of the university have been well defined, information that has been used to inform and support management and planning has not in the past been presented in a consistent manner between areas of the University (e.g. the old Faculties). In addition, since units have obtained the base data for their planning from numerous sources, both within and outwith the University, there has been a lack of consistency in the nature of data provided. This has inhibited objective comparisons of the quality and financial sustainability of activities in different areas of the University. The review group deemed such comparisons essential for assessing the relative strengths of these activities.
4. As a first stage, therefore, the group set about the task of assembling a consistent set of management information data. It was decided to focus on data for the financial year 2005/6, this being the latest year for which full data sets could be obtained. Details of the data examined are presented below. The group recognised that whilst data for 2005/6 should provide a good 'snapshot' of activity, there would be areas where this activity was not static from year to year and where it would be necessary to look at the temporal variation of appropriate data.
5. As far as possible, and where appropriate, the assembled data were compared with external benchmarks to assess the relative performance of the University as a whole and that of its component areas of activity in both academic and support units. Benchmarking data was obtained from sources such as SFC, HESA and UCAS.
6. The data was used to develop a series of Key Performance Indicators (KPIs) that represent the sustainability of teaching and research activities across the disciplines in the University (Table 1). Trigger metrics were derived that are based on national norms and these have been used by the review group to assess the performance of each academic discipline or groups of disciplines in each of the KPIs. This allowed the group to identify activity that was (i) performing at a sustainable level, (ii) performing above minimum levels for sustainability but requiring improvement, and (iii) failing to perform at a sustainable level. This mechanism was used to identify areas of activity within each discipline that, from the 2005/6 data, appear to be underperforming and required further investigation. Where appropriate, the group also examined the temporal variation of KPIs to establish trends in performance. KPIs for each discipline are presented in annex A.

<u>KPI Number</u>	<u>Performance monitored</u>
1 a-b	Level of unfunded research
2	Undergraduate recruitment
3 a-c	Undergraduate progression rate
4 a-b	Student-Staff ratio
5	Research overhead
6 a-b	Undergraduate entry tariff scores
7 a-b	TPG and overseas student fee income

Table 1: Key Performance Indicators

7. In a parallel exercise, the sustainability review group reviewed the University capital programme together with the implications the rescheduling of this programme has on the University's borrowing and cash flow.
8. Prior to the sustainability review group making its proposals, the outcomes of this process were discussed with the SMT. Proposals from the group for each college have been discussed with the head of the relevant college and the entire proposal has been debated by the SMT. The review group has reported regularly to the Court sub-group and has considered advice from this body when developing its recommendations.

DATA EXAMINED

9. Data concerning all aspects of the University's activities were examined by the sustainability review group. Major sources of data included:
 - Institutional sustainability – SFC Trigger Metrics
 - Academic staff workload – Transparent Approach to Costing (TRAC) returns
 - Research performance – statistical data on income and overhead recovery
 - Teaching at undergraduate level – recruitment statistics; academic quality of students on entry; progression rates
 - Taught postgraduate (TPG) activity – TPG recruitment statistics; TPG overseas student numbers
 - Financial performance – University and Faculty budgets, together with end of year outcomes
 - Capital programme – schedules of current and proposed projects.

KEY FINDINGS FROM ANALYSIS OF UNIVERSITY'S FINANCIAL PERFORMANCE

10. Using the information revealed in the analysis to produce the KPIs and other institutional financial performance indicators, it is possible to draw the following conclusions about the financial performance of the University.

A: TOTAL FUNDING

11. In July 2006 SFC published a series of trigger metrics to allow institutions to compare their performance with other institutions in Scotland and elsewhere in the UK HE sector. One of the key indicators is Metric 5, 'Total income per academic FTE'. The data for the University is shown in Table 2 together with the mean values for SFC and UK institutions. Also shown in the table are the mean values for institutions selected as part of the TRAC process as being in the top two groups of research-led universities; Groups A and B, respectively. It is clear from this data that the income per academic FTE at Dundee is significantly lower than the mean for all the comparators. On average, the income earned for the University by each member of academic staff is £14k less than the SFC mean. If the average for Dundee was the same as the average for Group A institutions (that have a similar profile for teaching and research to the University of Dundee), then this would increase the total income of the University – which in 2004/5 was £154.9m – by £30.5m.

<u>2001/2</u>	<u>Dundee</u> <u>(£)</u>			<u>UK Mean</u> <u>(£)</u>	<u>SFC</u> <u>mean (£)</u>	<u>Group B</u> <u>mean (£)</u>	<u>Group A</u> <u>mean (£)</u>
	<u>2002/3</u>	<u>2003/4</u>	<u>2004/5</u>				
113,286	116,330	122,693	124,068	146,835	138,199	143,658	148,525

Table 2: Comparison of total income per academic FTE¹ in Dundee with other Institutions (SFC Metric 5)

B: FUNDING FOR RESEARCH

12. Although the total income earned per academic FTE is lower than the mean for the HE sector, it can be seen in Table 3 that research income per FTE is greater than the mean values for both the UK and Scotland and at a value that lies between that of the mean values of the Group A and Group B universities. While this observation is encouraging, the figures in Table 3 reveal that annual earnings per academic did not show any growth between 2001/2 and 2004/5. Since the costs of research (e.g. salaries of contract research staff) will have risen year on year, the figures indicate a clear reduction in the overall level of funded research activity over this period. This trend has also been reflected in stagnation in the level of research overheads on new contracts; these have remained at a level of c£3.8m for the last three years.

<u>2001/2</u>	<u>Dundee</u> <u>(£)</u>			<u>UK Mean</u> <u>(£)</u>	<u>SFC</u> <u>mean (£)</u>	<u>Group B</u> <u>mean (£)</u>	<u>Group A</u> <u>mean (£)</u>
	<u>2002/3</u>	<u>2003/4</u>	<u>2004/5</u>				
33,345	33,874	34,892	33,350	23,550	25,961	25,184	38,368

Table 3: Comparison of total research income per academic FTE in Dundee with other Institutions (SFC Metric 6)

13. As can be seen for the data for KPI 5 in annex A, the level of research overheads, as expressed as a percentage of the value of the award, is very low across the institution. TRAC analysis has shown that the level of indirect costs required to cover the cost of research fully is significantly greater than the levels currently being obtained. The implication of this is that other activities in the University (i.e. teaching) are heavily subsidising research activity. This is clearly unsustainable and is of particular concern when, as can be seen from Table 4, the University derives a high proportion of its total income from externally sponsored research when compared to other institutions.

<u>2001/2</u>	<u>Dundee</u>			<u>UK Mean</u>	<u>SFC</u> <u>mean</u>	<u>Group B</u> <u>mean</u>	<u>Group A</u> <u>mean</u>
	<u>2002/3</u>	<u>2003/4</u>	<u>2004/5</u>				
29%	29%	28%	27%	16%	19%	18%	26%

Table 4: Comparison of externally sponsored research as a % of total income in Dundee with other Institutions (SFC Metric 8b)

14. This level of cross subsidy from activities such as teaching, to research, is highlighted by KPI 1b (annex A), which indicates that in 2005/6 in all but two Faculties the costs of research (including unfunded research) exceed income significantly. The cost of research in this context includes the sum of the direct costs of conducting sponsored research and the cost of staff time engaged in both funded and unfunded research (obtained from TRAC data). Income for the

¹Staff with a Job Category of Academic or Research. Also, Teaching Fellows and Tutors who have a Job Category of Other Related and Hourly Paid Academics (with a Job Category of Tutor).

derivation of KPI 1b is defined as the sum of external sponsorship and the SFC QR allocation. Even in the areas where research is conducted at a net surplus, the overhead contribution generated is significantly less than that required to meet the full economic cost of the activity. This analysis shows also that the proportion of time spent by academic staff conducting unfunded (i.e. 'own-funded') research activity (KPI 1a) is unacceptably high in many disciplines, as funding from sponsored research and QR (KPI 1b) is insufficient to cover the full cost of this activity.

15. As has been highlighted above, although total income for externally sponsored research is high, overhead recovery is at unsustainably low levels. As can be seen from Table 5, a significant reason for this is that a large proportion of externally funded research conducted in the University is sponsored by charities. In 2005/6, which is also representative of previous years, research awards totalling £53.3m were won by the University, of which £23.3m (44%) represented awards from charities that carried minimal or no overheads. Whilst research grants from charities do not carry overheads, it is appreciated that charities such as the Wellcome Trust also provide support for senior research posts (that enhance QR funding) and the provision of infrastructure. Nevertheless, the review group believes that there is a clear requirement for the overhead earnings to be increased across all areas of the University.

<u>Source of Funding</u>	<u>Value with Overhead (£k)</u>	<u>Overhead (£k)</u>	<u>Overhead as % of Value</u>
Research Councils	15,641	2,410	15.4
Charities (UK & Non-UK)	23,297	34	0.1
EU Programmes	1,595	255	16.0
Government	7,702	716	9.3
Industry	4,544	402	8.8
Other	498	63	12.7
TOTAL	53,277	3,880	7.3

Table 5: Research Projects - overhead value as percentage of awards (Financial year) 2005/6

C: UNDERGRADUATE TEACHING

16. In recent years, the University has comfortably filled its funded places for home and EU undergraduates and has also admitted students on a 'fees-only' basis. In 2005/6 these categories represented 6,533 FTEs and 1,521 FTEs, respectively. These figures show that the University is not receiving full payment for the education of 19% of its home and EU undergraduates. Since the number of fees-only students is within the limits permitted by SFC this proportion will be similar to that at comparable institutions. However, whilst the headline figure for recruitment appears to be satisfactory there are concerns about the distribution of numbers between disciplines. KPI 2 (annex A) indicates that although recruitment to some courses appears to be very buoyant, others are failing to attract students in sufficient numbers to ensure sustainability.
17. The difference in attractiveness of programmes offered by the University is also reflected in a large variation in student:staff ratios (SSRs) across disciplines. The average SSR for the institution as a whole is 15.0 but, as can be seen from KPI 4a (annex A), there are considerable differences between disciplines. Whilst, because of the specific teaching demands of different disciplines, it is expected that there will be variations in SSR across the University, where SSRs are low this indicates that undergraduate teaching is being conducted at unsustainable staffing levels. Undergraduate teaching in these areas should not be continued unless these disciplines are sustainable as a result of earnings from other activities (e.g. fees from taught postgraduate programmes, earning overheads from externally sponsored research). The review group believes that sustainable levels of teaching across the institution can only be achieved if effective workload planning models are used to ensure that the contribution of each member of staff to the activities of the University is equitable.

18. Examination of the average tariff scores of students entering undergraduate programmes (KPI 6a) and how these compare with the average tariff scores for the UK (KPI 6b) indicate that in most disciplines, we are not attracting the most highly qualified cohort of students. This is reflected in progression rates (KPI 3a-b) which show that in much of the University, less than 85% of students successfully progress from one year to the next (KPI 3b). While good progress has been made in recent years in raising average entrance standards (from 299 UCAS tariff points in 2002 to 378 in 2005), there is a need to continue to raise the entry qualifications of students with the aim of improving retention.

D: POSTGRADUATE TEACHING

19. At present, fees from postgraduate teaching make only a minor contribution to the economy of the University (KPI 7b). There is only a small number of disciplines where fee income from postgraduate teaching represents a large proportion (>30%) of the teaching income of the discipline. The majority of overseas students studying at the University are enrolled on taught postgraduate (TPG) programmes and the income distribution from this source (KPI 7a) closely reflects that of the fee income from taught postgraduate programmes. Where student demand can be established for a new postgraduate programme, there is clearly capacity within the University to increase TPG activity (which the review group believes is currently too low for a research-led University). Since there are no restrictions placed on the University regarding the numbers of overseas students, new TPG programmes should be marketed both home and overseas.

E: FINANCIAL SUMMARY

20. Low levels of income per academic resulting from low SSR, low research overhead recovery and low numbers of TPG (and overseas students) have resulted in the University failing to generate a surplus sufficient to allow for necessary strategic development and investment required to maintain and update infrastructure. Table 6 shows that historically we have not been investing sufficiently in infrastructure and there is a significantly higher proportion of buildings in the University requiring repair or replacement in the short term than is the norm elsewhere in the UK HE sector. This has necessitated the current capital programme, which over the past few years has drawn on general funds, ring-fenced SFC grants and other external income to effect significant improvements to the University's estates and the IT network infrastructure. Further investment in capital expenditure and new academic initiatives is necessary but can only be sustained if the low levels of surplus generation are addressed.

<u>Dundee</u>				<u>UK Mean</u>	<u>SFC mean</u>	<u>Group B mean</u>	<u>Group A mean</u>
<u>2001/2</u>	<u>2002/3</u>	<u>2003/4</u>	<u>2004/5</u>		<u>2004/5</u>		
67%	68%	68%	71%	34%	46%	42%	32%

Table 6: Comparison of the proportion of buildings in conditions C and D in Dundee with other Institutions (SFC Metric 12a)¹

RECOMMENDATIONS

The Target: 3% by 2010

21. The data analysis suggests that the University of Dundee is simply not generating enough income to cover its costs. Moreover, the distribution of costs, income and academic performance is very uneven across the institution and there is scope for improving efficiency. The main recommendation of the review group is therefore that the University should seek to ensure its long-term financial stability and sustainability by improving income generation and making savings on recurrent costs. It should take as its headline target the achievement of a 3% annual surplus. On the basis of current turnover of c£175m, this means that the University should seek to generate surpluses of £5.25m per annum.

¹ Building condition C is defined as 'operational, but major repair or replacement needed in the short to medium term (generally 3 years)'; Condition D is defined as 'inoperable, or serious risk of major failure or breakdown'.

22. The surpluses are required in order to sustain reasonable levels of capital investment in both the estate and equipment, such as the core technologies required to support education and research; to provide funds for investment in new initiatives as part of the overall academic strategy; and to allow a measure of contingency against variations in income and expenditure across the University's diverse range of teaching and research activities. By generating surpluses, the University will be able to capitalise on recent successes, and build on its research strengths while maintaining a broad range of course provision in the professional disciplines and the general arts, sciences and visual disciplines.
23. The review group recognises that the University cannot move from an underlying deficit of £1.6m to a surplus of £5.25m overnight: it will take time to build up the required income and to achieve savings, both in pay and non-pay budgets. However, the group believes that it is reasonable to achieve this progressively over the next three and a half years, with 2010/11 being the first year in which the University will achieve a full 3% surplus. The surplus will be achieved through a combination of income generation and targeted savings in expenditure. By 2010/11, we should aim to reach a situation whereby the average income per academic member of staff is at least in line with the median for Scottish universities and support services are staffed at optimum levels to further the academic strategy of the institution.

HOW THE TARGET WILL BE ACHIEVED

A: INCOME GENERATION

(i) Postgraduate provision

24. The first means by which the financial targets can be achieved is through generating income from an expansion of postgraduate provision. Across the United Kingdom and internationally, there has been a growing demand in recent years for taught postgraduate courses in a range of disciplines. Many postgraduate courses provide a bridge for students, to assist them in making the transition from general undergraduate courses to more specific, career-related areas. Others allow students who have already chosen a career path and studied a professional discipline at undergraduate level, to deepen their knowledge of a particular field. Postgraduate courses can also provide opportunities to develop inter-disciplinary expertise by drawing on academics from two or more disciplines. In a world where some 50% of young people have higher education qualifications, postgraduate qualifications can serve to make individuals more employable, and give them an edge in a competitive labour market. Finally, such courses can provide an entrée to research work at doctoral level.
25. The University of Dundee has drawn on its expertise in both professional and general disciplines to increase the range of taught postgraduate courses, with a total of 88 being offered in 2006/7. Postgraduate numbers are also growing, from 3,287 in 2002/3, to 5,631 in 2006/7. While this is encouraging, it is also true that Dundee's postgraduate numbers in 2002 were relatively small compared to many of its competitors. Dundee now needs to build on its wide-ranging research expertise and its outstanding reputation for the quality of its learning and teaching (number 1 in the UK, according to the league table published by the *Times Higher Education Supplement* in 2005) by further expanding its taught postgraduate numbers. An additional 200 students should generate additional income of £1.050m by 2010/11. This breaks down by college as follows: Life Sciences: £250,000; Medicine, Dentistry & Nursing: £250,000; Art & Design, Architecture, Engineering & Physical Sciences: £250,000; and Arts & Social Sciences: £300,000. It should be stressed that these targets are net of any cost associated with offering postgraduate courses, and are additional to the targets already assumed in the University's financial forecasts for the period to 2010/11.
26. The postgraduate courses developed should focus on distinctive areas where the University of Dundee has established expertise. They should not be focused on specific overseas markets in a way that could make the University overly dependent in a financial sense on individual countries. The task of identifying suitable postgraduate courses and developing sound business plans will involve careful discussion between the College offices and Schools, and will require first-class support from market research and recruiting staff in Admissions & Student Recruitment, as well as other professional support staff. Campus facilities will need to continue to be adapted as the postgraduate population grows: dedicated study areas, social facilities and attractive residential accommodation for individuals and their families are all essential for this purpose. The recruitment of undergraduate students needs to be carefully

controlled to avoid recruiting fees only (or un-funded) students; this will free up some academic time, which would be better deployed on the development of postgraduate courses.

(ii) **Research overheads**

27. The second area where we believe the University can improve its financial performance is in the generation of income from research overheads. Dundee is firmly established as a research intensive institution. In 2005/6, its research income totalled £58.3m, of which £15.6m was from the Scottish Funding Council. Dundee has one of the highest rates of research income per capita academic member of staff in the United Kingdom. This reflects its world-class standing in the life and medical sciences and its high performance in many other areas of research across all four colleges. The University has been very successful in attracting strategic research development grants from the Funding Council (13 in the last eighteen months, 12 of which were in partnership with other Scottish universities). In the past year, Dundee has also benefited from the award of a total of £4.3m in research pooling funds in engineering and physical sciences, geography and economics and will be a key player in the forthcoming life sciences research pooling initiative, which could generate a further £7-8m.
28. However, while the total quantum of research activity is large, research income has not grown in the past three years (£41.6m in 2004/5, £42.7m in 2005/6 and a projected £40.0m in 2006/7). More significantly, as the previous section identified, the contribution that research makes to overheads has remained static (see above, paragraphs 13-15). The review group believes that the University can and should increase its research overhead income progressively over the next four years in addition to the targets already identified in the financial forecasts. Against a total research overhead income of £5.55m in 2005/6, we have identified targets of an additional £200,000 in 2007/8, £700,000 in 2008/9, £850,000 in 2009/10 and £1,075,000 in 2010/11. The college break down for the 2010/11 figures is: College of Life Sciences: £425,000; Medicine, Dentistry & Nursing: £375,000; Art & Design, Architecture, Engineering & Physical Sciences: £200,000; and Arts & Social Sciences: £75,000.
29. The increased research overhead income can be achieved by a variety of means. With the introduction of 'full economic costing', the UK-wide, government-sponsored research councils now pay an increased proportion of overhead with each research grant awarded. Second, heads of colleges are focusing closely on improving staff capability and skills in preparing research grant applications to research councils and other award-granting bodies. At the same time, the rate of applications is being carefully monitored and research-active staff are being encouraged and supported in submitting applications for research funding. The University of Dundee is also working with other research-intensive Scottish universities to argue the case for increased overhead support for charity-funded research, which traditionally pays a low rate of overhead. And finally, the creation of inter-institutional consortia through research pooling should provide new opportunities for Dundee to bid successfully for research grants to UK and overseas bodies. Taking all these factors into account, we believe that the targets recommended by the review are achievable.

B: SAVINGS

30. It is clear that income generation alone will not allow the University to reach a position of long-term financial sustainability. Savings will also need to be achieved. Assuming that £2.125m can be generated in income by the above means, a total savings target of £4.725m will need to be reached by 2010/11. The review group believes that this is attainable in the time period set, and recommends the following approaches.

(i) **Activity planning and modest staffing reductions**

31. The largest saving can be achieved through reductions in core staffing levels among both academic and support staff in each of the four colleges. The recommended financial targets for each of the four colleges are: College of Life Sciences: £400,000; Medicine, Dentistry & Nursing: £600,000; Art & Design, Architecture, Engineering & Physical Sciences: £500,000; and Arts & Social Sciences: £600,000. We anticipate that the savings will be achieved progressively over a four-year period, with £750,000 being saved in 2007/8, a further £300,000 saved in 2008/9, a further £550,000 saved in 2009/10, and an additional £500,000 saved in 2010/11.
32. The bulk of the work of identifying and implementing these savings will be taken forward at college level. Colleges are already reviewing the relative performance of schools and

disciplines in attracting high-achieving students, in developing and mounting successful postgraduate courses, in generating high quality research and research income, and in generating income from other knowledge transfer activities. They now need to engage in comprehensive workload and workforce planning using a standardised academic staff activity model, as shown in annex B. As part of this exercise, colleges will wish to consider the size of the staffing complements in each discipline against the number of students, the level of research income from the Funding Council, and the level of income from other sources. Thereafter, Colleges will need to review the distribution of workload. They will then reach a view on where staffing reductions should be made with least impact on students and on research activity. This will involve careful reflection on current and future patterns of course delivery at both the undergraduate and postgraduate stages, as well as a clear strategy for research. Information on where each college is seeking to make staffing reductions should then be made available freely to all staff.

33. While savings in staffing budgets need to be made, we do not recommend a complete freeze on new appointments. Indeed, over the period to 2010, we believe that the total size of the University staffing complement may well continue to grow. In particular, academic staff will be replaced in key disciplines; staff will be appointed to fill posts funded under research pooling and other externally funded programmes; and essential staff in support roles may also have to be recruited. At the same time, we should take every opportunity to redeploy and, if necessary, retrain staff where this can meet the needs of the individual and the institution. We should also consider the possible assisted transfer of staff to other institutions where this is practical.

(ii) **Specific areas**

34. As well as these general savings from the more rigorous application of workload and workforce planning in academic units, we recommend that specific reductions are made in three specified areas of academic provision.

Communication and Language Studies (CALs)

35. Although the University closed its Department of Modern Languages in 1992, it continued to offer modules in foreign languages to undergraduates through what became Communication and Language Studies in the School of Humanities (CALs). CALs also offers accredited and unaccredited language modules at several levels for the wider University community and general public, and two postgraduate Masters level courses. The unit provides foundation level courses and in-session support for students whose second language is English. The staffing budget of CALs for 2006/7 is £889,000, of which approximately half is devoted to modern foreign languages (9 teaching members of staff and 2.5 administrative staff). CALs receives no funded numbers and no direct allocation from the University's part-time incentive income, but receives a budget of £261,000 from general funds and pays no overhead, accommodation or utilities costs. It is projected to make a deficit of £113,000 in 2006/7.
36. The review group recommends that the University should rationalise its modern languages provision for undergraduates by integrating it with the 'languages for all' programme, and should seek to achieve better cost recovery from courses offered to the general public. In addition, CALs should only offer postgraduate courses and undertake other activities where these make a net contribution to income generation. The rationale for these recommendations is that:
- (a) only small numbers of students opt to take their degrees 'with' French, German or Spanish (currently 117, across all three languages and all four years of study)
 - (b) modern foreign languages play no discernible part in our research strategy
 - (c) although the 'languages for all' programme is undoubtedly popular (238 students currently enrolled and 906 students on non-credit bearing courses), it would be reasonable to ask individuals taking non-degree courses to make a larger contribution to the costs while continuing to offer discounted rates to University of Dundee students
 - (d) CALs currently engages in a number of activities, including postgraduate course provision, which do not make a surplus.

37. The group therefore recommends that net savings of £300,000 should be made in CALS' staffing budget, chiefly derived from the rationalisation of modern languages provision, with the full saving being achieved by the end of the academic year 2008/9.

Town and Regional Planning

38. Town and regional planning existed as an academic department within Queen's College and subsequently within the University from 1964 until 2006, when it became part of the School of Social Sciences. It offers an MA in town & regional planning, an MA in environmental management, an MSc course in European urban conservation and, as part of a consortium, a postgraduate course in local & regional economic development. Recruitment to the MA programmes is weak and has declined further in recent years (22 candidates for town & regional planning in 2004, 20 in 2005 and 16 in 2006). The department scored a 3b in the 2001 RAE, and at the end of 2005/6, lost three key research active academic members of staff, including its only professor. In 2006/7, the total staffing budget for town & regional planning is £477,000.
39. Over the past four months, the Head of College of Arts & Social Sciences, Professor Christopher Whatley, has been leading a review of the University's provision in town & regional planning. The broad recommendations are that the discipline should be retained as a component of academic provision in the college, with a focus on the environment and planning. The current undergraduate provision in town and regional planning should be reviewed, with resources being redirected towards (a) a new integrated programme drawing on other expertise within as well as from outside the School of Social Sciences, (b) strengthening current professionally accredited taught postgraduate provision, and (c) developing a new distinctive postgraduate degree possibly in association with another HE institution. Links with cognate disciplines, such as geography and architecture, should be strengthened. The sustainability review group supports these conclusions, and believes that they should be implemented. We feel that, by utilising expertise from cognate disciplines and by focusing more strongly on postgraduate provision, budget reductions of £200,000 from within the planning area are realistic over the next 18-24 months.

Community Education and Social Work

40. The University acquired a Department of Community Education when it merged with Northern College of Education (Dundee campus) in December 2001. The department now forms part of the School of Education, Social Work & Community Education in the College of Arts & Social Sciences. We offer a BA and a BA (Hons.) in community education and a postgraduate diploma in community education. The discipline was not entered in the last research assessment exercise. In 2006, 38 students enrolled in the full-time undergraduate community education programme. With an average entry tariff of 223 UCAS points in 2005, community education is well below the University average entrance standards of 378, though above the national average for the discipline (a further 50% of students entering Dundee had no recorded tariff points). In 2005/6, community education had a progression percentage of 69% against a University average of 79%. The total staffing budget for 2006/7 is £673,000.
41. The review group believes there is a strong case for integrating community education with education and social work as part of the ongoing process of academic reshaping which is taking place within the School of Education, Social Work and Community Education. This is in keeping with the move to more inter-disciplinary working in the wider policy context and in local authorities and voluntary agencies. This approach would also serve to provide a more focused learning experience for prospective professionals and ensure that the School continued to produce graduates in these important areas of social provision. There is also a case for raising entrance requirements and reducing the overall number of students; the funded numbers could be transferred to the B.Ed. programme, which remains the smallest and most over-subscribed B.Ed. course in any Scottish teacher education institution. By reducing student numbers in a strategic way in parts of the school, integrating elements of course provision across programmes offered by the school, and rigorously applying the academic staff activity model, the review group believes that savings of £300,000 per annum could be achieved by 2009/10.

Student and Academic Support Services

42. Alongside savings in academic units, it is right that savings should also be sought in student and academic support services. The review group is confident that savings of £475,000 per annum can be achieved in this area by 2008/9.

Research & Innovation Services

43. A saving of £50,000 can be made in research & innovation services by 2007/8, largely by transferring costs to the Knowledge Transfer Grant (a ring-fenced SFC grant distributed to the universities on a formula basis, which reflects the level of commercialisation activities in each institution). While the saving is modest, it is made at a time when increased resource has been allocated to support academic members of staff in preparing research grant applications, and when professional knowledge transfer staff have been embedded in each of the recently established college offices. This is an area that the senior management team will wish to keep under review, given the imperative of raising research overhead income, and the potential to increase Dundee's share of the KTG income.

Library

44. A saving of £100,000 can be achieved in library management and supervisory costs following the closure of the Gardyne Road campus and the relocation of staff and facilities to the city campus. Again, this saving can be achieved in 2007/8.

Gardens and Grounds

45. One of the principles adopted by the review group in considering support services has been that savings should only be made where they do not have a serious impact on services for students and academic staff. We have therefore felt obliged to look closely at areas that are not required for the purposes of student and academic support. One such area is the botanic garden.
46. The gardens lie on a site to the west of Harris Academy; they are partly owned by the University and partly by the residents of adjacent properties on Perth Road. When they opened in the 1970s, the gardens played a key role in supporting the teaching of plant sciences and in related research, but this is no longer the case. The gardens provide a very attractive social amenity for the citizens of, and visitors to, Dundee; they are ably managed by the Curator, and are strongly supported by the Friends of Dundee Botanic Garden. All possible use is made of the gardens to provide an educational resource for local schools. The professional gardening staff who work there also tend the gardens on the city campus; the total salary bill of the Gardens and Grounds staff is £360,000.
47. Notwithstanding the merits of the gardens and the uses to which they are put, the review group recommends that the time has come for the University to demit our responsibility for them. If possible, an alternative manager should be identified – for example, it may be that the local authority would be willing to assume responsibility and a trust could be established to maintain community support and involvement (useful models for partnerships of this kind exist in Glasgow, where the City assumed responsibility for the gardens in 1891, and St Andrews, where the local authority assumed responsibility in 1987). These and other possibilities should be vigorously followed up in collaboration with Dundee City Council, the Friends of the Botanic Garden and the Dundee Partnership in the coming weeks. The review group believes that, by this means and by reducing the overall staffing complement in Gardens & Grounds, a recurrent saving of £200,000 could be achieved from 2008/9.

Continuing Education

48. The University of Dundee has a long and impressive record of providing opportunities for members of the public to study a very wide range of accredited and unaccredited courses. Some 3,979 individuals are enrolled in the current academic year, exploring everything from Scottish architecture to wildlife welfare. The University currently provides a cash subsidy of £96,000 for continuing education, with some additional clerical support also being provided. Premises and facilities are made available without charge. The review group is aware that some UK universities regard continuing education as an opportunity to generate income. The review group does not recommend this approach at Dundee (except in the limited sense of

continuing to attract part-time incentive grants from the Funding Council), but we do recommend that the subsidy should be reduced over the next two years, with the aim of achieving a saving of £100,000 by 2008/9.

(iii) **Support services: shared savings**

49. In addition to the above savings, the same rigour and efficiency that is applied to academic units should be the rule in student and academic support services. Across a budget of more than £30m, the review group believes that shared savings of £475,000 could be achieved from a combination of pay and non-pay budgets. The savings will be identified with the benefit of benchmarking information drawn from comparable institutions. The review group recommends that the support services should be set the figure of £475,000 as a target; given the potential impact on front-line services for academic staff and students, the means by which the target is achieved should be subject to approval by the senior management team. Likewise, the overall efficiency of the support services should continue to be kept under review by the senior management team.

(iv) **Savings from vacancies**

50. Further savings in the staffing budget can be made in a relatively painless way by delaying the filling of vacancies at all levels. Often, these vacancies occur naturally, as it is difficult to fill posts within the period of notice given by outgoing members of staff. In other cases, the University may consciously choose to delay an appointment for a period of time, provided that this does not jeopardise essential business operations. The review group recommends that savings of £500,000 per annum be sought by this means.

C: NATIONAL INSURANCE SCHEME

51. A final mechanism for reaching the target surplus is through a scheme for the payment of national insurance contributions. In essence, such schemes permit the employer to reduce the payments it makes in national insurance. The employee suffers no detriment and indeed benefits from a slightly increased take-home pay. The Treasury has eschewed the temptation to prohibit schemes of this type, which are now common in many parts of the public sector. Based on figures from other institutions, the review group recommends that a scheme be implemented at Dundee, with a target saving of £400,000 from 2007/8.

APPROACH TO ACHIEVING SAVINGS IN STAFFING COSTS

52. Given the phasing of the recommended savings, we anticipate that most of the savings in staffing budgets can be achieved by normal turnover and voluntary means. We recommend that the University establishes a time-limited, voluntary severance/early retirement scheme, which should be open to all members of staff regardless of grade and role on the same terms. However, the decision on which members of staff are offered severance must remain with the University; staff should only be permitted to leave with enhancement where this is regarded as being in the university's interests. Where voluntary severance packages are agreed, the salary savings should only be counted once the costs of the package have been paid off. Further information on the recommended approach is given in annex C.

INCENTIVISING INCOME GENERATION

53. The review group is aware that the University's internal resource allocation model for the next financial year is under review. The group recommends that incentives are built into the model to encourage income generation. Where possible, academic units should see in-year benefits from the successful generation of income: the incentives should be easily understood, transparent and equitable across the institution.

CAPITAL EXPENDITURE

54. While the above savings will deliver the required surplus, it is clear that the University's expenditure on capital works will also need to be kept in balance to achieve financial sustainability. A number of major works are due to be completed in late 2007 and early 2008. Thereafter, the review group recommends that the capital programme should focus largely on refurbishment projects (for example, the Matthew, Crawford, Scrymgeour and Fulton buildings) and on long-term maintenance. We are hopeful that a very small number of new

projects, such as the campus green, can be accommodated in the capital programme in the near future. However, priority should be given to maintaining the campus and the IT network infrastructure, which is now an essential aspect of all our activities. The review group recommends that maximum limits agreed by the University Court should be set for the capital programme. This figure will need to be kept under regular review and will depend on the achievement of savings and additional income as well as the distribution of ring-fenced funds from the Funding Council. The senior management team, in the first instance, should make recommendations on which projects are taken forward. Court should continue to examine the detailed business plans for all projects over £1m.

CONCLUSION

55. The review group strongly recommends that the interests of existing students should be fully protected during the change process and that all staff – particularly those who are directly affected by the changes – should be treated in a fair and transparent manner at all times.
56. The review group recognises that, once these recommendations are examined and discussed by the wider University community, alternative means of seeking the required income generation targets and savings may be identified. As a result, the precise mix of income generation and savings may change. The group recommends that alternatives should be considered, but any proposed changes should not be allowed to delay the timetable set out in this paper (annex D). Moreover, any suggested substitution of increased income generation for savings should be scrutinised very carefully: the targets for income are already challenging, and could not be augmented easily. It would serve no useful purpose if we set targets which we know are unattainable; rather, the University must take hard decisions to secure long-term financial sustainability, and to invest in academic excellence.

KEY PERFORMANCE INDICATORS

Faculty	Discipline	Too much unfunded research		Recruitment too low	Progression rates too low		Student-Staff Ratios too low		Research overheads too low	Entry tariff scores too low		TPG / Overseas fee income too low		
		KPI 1a	KPI 1b		KPI 3a	KPI 3b	KPI 3c	KPI 4a		KPI 4b	KPI 5	KPI 6a	KPI 6b	KPI 7a
		% Own-funded research from TRAC returns (2004/05 survey)	Overhead contribution as % of income	UG entry - headcount (with joint courses pro-rated)	Pass Proceed (first attempt)	Progression	Retention	SSR - all core staff	SSR - Teaching element of core staff	Research overhead % - 4 year average	Average tariff scores	Average tariff score divided by UCAS national average	Overseas fee income as percentage of total fee income	TPG fee income as percentage of total fee income
M&D	Medicine	5%	-6%	284	82%	86%	95%	6.2	16.7	8%	430	1.1	52%	24%
	Dentistry			132	77%	91%	98%	9.6	25.9		431	1.0	54%	0%
N&M	Nursing	6%	-483%	565	76%	76%	83%	12.4	16.3		255	1.6	2%	15%
LA	Law	22%	-88%	175	70%	87%	90%	27.6	56.3	10%	371	1.2	14%	23%
	Accounting	21%		121	44%	71%	80%	21.5	47.7		334	1.4	67%	33%
	Education		-72%	149	65%	84%	92%		296		296	1.5	3%	57%
ESW	Community Education	4%		44	52%	69%	86%	23.2	31.4	12%	223	1.6	1%	36%
	Social Work			42	71%	74%	81%		211		211	2.0	3%	59%
	History	24%		60	67%	79%	85%	24.3	71.3		310	0.9	5%	5%
	English	30%		69	60%	76%	88%	17.3	40.1		313	1.0	7%	7%
	Politics	24%		73	63%	82%	91%	30.2	73.7		307	1.0	8%	7%
	Philosophy	31%		21	52%	77%	84%	25.7	62.8		303	0.9	8%	3%
	Geography	11%		63	65%	82%	89%	16.7	47.7		328	1.0	20%	7%
	Economics	31%		56	50%	74%	88%	18.9	51.0	16%	332	1.0	77%	38%
ASS	Town & Regional Planning	20%	-91%	29	61%	76%	88%	21.9	54.8		305	1.4	32%	18%
	CEM												51%	99%
	CEPMLP												94%	81%
	American Studies				58%	78%	86%				322	1.0	12%	21%
	Social Studies				47%	54%	75%				324	1.2	47%	0%
	Psychology	18%		144	60%	79%	87%	16.9	54.5		321	1.1	17%	5%
LS	Life Sciences	3%	13%	152	64%	77%	90%	15.8	45.2	9%	362	1.4	28%	2%
	Mechanical Engineering			27	34%	69%	77%		298		298	1.1	48%	13%
	Civil Engineering			65	49%	77%	83%		342		342	1.2	54%	37%
EPS	Electronic Engineering & Physics	10%	4%	40	41%	63%	76%	12.5	29.7	15%	341	1.1	64%	40%
	Mathematics			22	51%	69%	89%		360		360	0.9	32%	2%
	Computing			62	42%	67%	79%		319		319	1.9	41%	22%
	Design	10%		315	78%	90%	95%	18.3	28.5	17%	305	1.9	28%	15%
DOJ	Fine Art	31%	-68%	28	84%	90%	97%	17.6	36.7		275	1.4	9%	7%
	Architecture	21%		136	68%	76%	82%	36.4	80.9		344	1.1	33%	0%
	Language and Linguistic Studies			24	87%	92%	95%				331	1.0	81%	45%
	failing to perform at a sustainable level	>15%	<0%	<30	<50%	<75%	<85%	<15	<30	<10	<300	<1.0	<20%	<15%
	performing at a sustainable level	<10%		>60	>70%	>85%	>92%	>20	>50		>350	>1.2	>60%	>30%

KEY PERFORMANCE INDICATORS - SUSTAINABILITY

ACADEMIC STAFF ACTIVITY MODEL

1. BACKGROUND

The Senior Management Team set up a group to develop a tool to help academic managers assess the equitable and transparent distribution of academic activities. The members of the group were Professor Brian Burchell (resigned), Professor Michael Davies, Professor Rob Duck, Professor Malcolm Horner, Mrs Pamela Milne and Mrs Susan Rothwell Smith. This report presents their findings.

2. PURPOSE

An activity model might serve many purposes including:

- workload management at individual, school and college levels; and
- resource allocation within and across schools and colleges.

Recognizing the complexity of the challenge, the group decided that the primary objective should be a tool which would support workload management within colleges and schools.

3. GUIDING PRINCIPLES

The group agreed that the model should:

- take account of all teaching, administration, research, scholarship and, where appropriate, clinical activities undertaken on behalf of the University;
- where appropriate, be output-based, but judgements on the quality of outputs should be reserved to academic managers (e.g. deans of school, heads of college)
- not be used to make inter-school comparisons at this stage;
- enable comparisons of workloads between peers in cognate disciplines but should not be prescriptive;
- provide support for performance management;
- be applicable to all academic staff whether funded by SFC or from some other source;
- be transparent;
- impose the minimum data collection burden on staff, preferring simplicity to complexity.

4. WHY NOT A FINANCIAL MODEL?

The group considered a number of approaches, including a financially-based model but decided that the most acceptable was one that would balance the aspirations of academic staff and those with responsibility for the management of business units. Each member of staff should be encouraged to reflect on their contribution to the professional and financial welfare of the University. Accordingly, we recommend that in addition to the academic model proposed in this paper, each business unit should develop its own 'financial contribution model.

5. DEVELOPMENT OF THE ACADEMIC ACTIVITY MODEL

5.1 Introduction

The concept of 'notional units of staff effort' was agreed to be a useful approach, reflecting the concept of 'notional student effort'. A unit of effort is an estimate by the School of the amount of work which should be achieved in one hour under reasonable conditions.

It was recognized that judgment would be necessary in the development and application of the tool. The tool would help to indicate whether a member of staff's

contribution to the work of the University was below peer average, peer average or above peer average in each element of activity – teaching, administration and research. Deans and heads of college would then apply judgment in assessing the combined contribution across all three activities. In so doing, they might wish to assign different weights to different activities and to take account of professional activities such as editorships and roles in learned societies.

For teaching duties, the tool should recognize that there is a fixed element of effort which is independent of the number of students taking a module and an element which is proportional to the number taking the module. The fixed element covers preparation, delivery and assessment setting. The variable element covers marking, one-to-one support and mentoring.

For administrative duties, the tool should assign units of effort which may reasonably be required to carry out administrative tasks. These values should be agreed at the local level to reflect the particular situation in each school.

For research, it was agreed that the assessment of effort should be left entirely to the judgment of deans and heads of college.

5.2 Proposed model

5.2.1 Teaching

Teaching effort (E_i) is dependent on

- a) the number and length of modules taught, and
- b) the number of students on each module.

The concept of Scotcats is now widely accepted as a consistent approach to measuring learning loads in terms of notional student effort. It was therefore considered appropriate to use it in the academic activity model too.

It is proposed that for each taught module,

$$E_i = (f + vN)S$$

where, E_i = notional staff teaching effort
 f = fixed element independent of student numbers per Scotcat
 v = academic effort/student per Scotcat
 N = number of students
 S = number of Scotcat points for module

The values taken by the variables may differ from discipline to discipline, and from one mode of delivery to another. They need to be chosen on the basis of informed judgment and this is best determined at college level in collaboration with the dean of school. A check is possible by adding together the total notional staff teaching effort for a discipline and expressing it as a proportion of the total notional staff effort available (number of staff times 1768¹, the approximate number of notional hours available in a year). Annex B(1) offers some suggestions for the values of these variables.

It is suggested that all undergraduate, foundation, summer school, taught MSc/Diploma programmes, short courses and any other teaching activity undertaken on behalf of the University should be included in the calculation.

5.2.3 Research

The quality and volume of staff members' contribution to research should be assessed by college/school heads in relation to their peers. In making the assessment, academic managers could take account of the number and

¹ Notional 40 hours per week for 44.2 weeks (52 weeks less the standard 39 day holiday entitlement)

quality of publications, the number and size of successful grant applications and other indicators of peer esteem.

5.2.4 Administrative duties

The administrative load associated with particular roles will vary from school to school. The following values of notional staff effort are suggested as a starting point for a selection of generic responsibilities but academic managers will need to identify values which are appropriate for their own school given the volume of activity associated with each post locally.

	H _a
Dean of School	800
Deputy Head of School	350
Director of Teaching	350
Director of Research	350
Senior Admissions Officer	250
College Recruitment Officer	250
Adviser of Studies	150
Admission Tutors	150
Year Coordinator	150

5.2.5 Clinical duties

It is recognised that clinical academics have duties and obligations to the NHS and that this should be considered by college/school heads in their assessment of an individual's workload.

6. **TOTAL STAFF ACTIVITY**

The total staff activity for an individual will be the sum of the values for notional staff effort in teaching and administration together with activity in research and, where appropriate, clinical duties. In agreeing teaching and administrative workloads with members of their staff, based on the proposed model, heads of schools/colleges will take into account the staff members' contribution to research (including the supervision of research and Masters project students) and the time required for this to be achieved.

Because of the inaccuracies in the model and the extent of judgement which is required to apply it, it is suggested that any teaching and administrative workloads in the range of 'mean \pm 10%' should be considered to be 'average'. As a check, the average aggregated workload on a School must of course be 'average'.

It is an accepted limitation that this model does not permit cross-school comparisons because it relies on school specific averages. Nevertheless, once experience is gained in its use it may be possible to effect crude inter-disciplinary evaluations, particularly where teaching delivery methodologies are similar. In such circumstances, it should be expected that the average value for teaching and administrative workloads, in units which are not in receipt of high levels of research overheads and/or QR funding would be greater than in units that have a relatively high level of funding from research.

GUIDANCE ON VALUES OF VARIABLES

$$E_t = (f + vN)S$$

where E_t = notional staff teaching effort
 f = fixed element independent of student numbers
 v = academic effort/student
 N = number of students
 S = number of Scotcat points

If we assume that in a typical single module of 20 Scotcat points there will be 60 notional contact hours, and that each contact hour requires three hours' preparation including setting assignments and exams, then $f = 12$

Similarly, if we assume that in a single module there will be 3 assignments, each requiring 20 minutes per student to mark, one exam paper which takes 30 minutes per student to mark, and 5 minutes interaction per student in each of 15 weeks, then $v = 0.1375$ say 0.14.

$$\text{So, } E_t = (12 + 0.14N)S$$

Checks

If the most heavily loaded member of staff teaches 80 Scotcat points, and the average class size is 30, then H_t would be $(12 + 4.2) \times 80 = 1296$, which is approximately 75% of a notional full year's effort (1768hrs). For a 'teaching only' member of staff, the remaining time would be taken up with routine administration and advanced study.

If the average teaching load on a member of staff is 40 Scotcats, and the average class size is 30, then E_t would be $(12 + 4.2) \times 40 = 648$, which is just under 40% of a notional full year's effort.

HR STRATEGIES TO SUPPORT OUTCOMES OF THE SUSTAINABILITY REVIEW

The Strategic Review has highlighted the need to make financial savings through the reduction in the numbers of core staff employed. While it will be the aim to achieve these targets by voluntary means and other means which will avoid a redundancy situation, it may not be possible to achieve the required savings purely by these methods. While every effort will be made to avoid redundancies it is likely some staff will be made redundant. Given this situation an HR strategy has been outlined below which will support the outcomes of the sustainability review. Such strategies will adhere to the following principles:

- they will take account of existing employment legislation and current
- University policies, including our commitment to equality and diversity.
- there will be full discussion and consultation with staff and the trade unions about the issues, at the earliest opportunity.
- the University will only allow the staffing policies to be used when it is considered in the best interest of the University to do so.

The HR strategy to support the achievement of the financial savings required will include the following:

1. Natural turnover largely covers posts being vacated by individuals leaving the University. Such opportunities need to be scrutinised to see if any posts may not be required to be refilled or to see if they may be filled at a lower level. Deans, Heads of Colleges, HR Officers, Directors and the University Secretary will all have key roles in managing this process.
2. Retirement profiles will be scrutinised to identify any posts which may not be required to be refilled or may be refilled at a lower level. Deans, Heads of Colleges, HR Officers, Directors and the University Secretary will all have key roles in managing this process.
3. Redeployment should occur as a means of retaining skilled and experienced staff. This would mean the transfer of staff to other positions in the University from areas where reductions are required. This would be handled most effectively by suspending the advertising of posts and introducing a compulsory redeployment process for core funded positions. Rules for conducting this process would need to be clarified for example, the length of trial periods and what would be considered as a reasonable redeployment opportunity. This process may also require to be supported by additional training for staff to gain necessary additional skills or experience. This process would be managed by the HR Director, supported by the HR Officers.
4. Voluntary severance packages. Judgements will need to be made regarding the cost versus benefit of allowing staff to go under such a scheme and the position not being filled. The unions will need to be consulted over the package to be offered to staff. Whatever kind of package was approved, staff could have the choice as to whether they take this as a lump sum payment, whether they use the money to enhance their pension or a combination of both. Such deals would be agreed on the back of Compromise Agreements. Such a scheme should be time limited, after which time a compulsory redundancy situation would prevail if targets had still not been met. At this point therefore, only statutory redundancy payments would be made.
5. Transfer of staff to other institutions. In areas where reductions are being made enquiries should be made as to whether other Universities would be interested in taking on the activities and the staff supporting those activities.
6. Redundancy. In areas where activity ceases completely the pool for redundancy may be relatively easy to identify. In other cases where a general overall reduction is required, redundancy criteria will need to be identified.

SAVINGS AND INCOME GENERATION

Savings and income generation to 2010-11

	2006/07	2007/08	2008/09	2009/10	2010/11
Areas of activity					
TRP	200	100	200	200	200
Modern Languages	300	150	300	300	300
Continuing education	100	50	100	100	100
Community Education & Social Work	300	150	150	300	300
	900	0	750	900	900
Savings from vacancies					
Saving from NI scheme	500	250	500	500	500
	400	400	400	400	400
SASS					
Gardens & Grounds:	200		200	200	200
RIS:	50	50	50	50	50
Library management:	100	100	100	100	100
Shared savings:	475	475	475	475	475
	825	0	825	825	825
Workforce / workload planning					
Saving	2,100	750	1,050	1,600	2,100
Income generation					
Research overhead	1,075	200	700	850	1,075
Overseas students & TPG	1,050		850	1,050	1,050
	2,125	0	1,550	1,900	2,125
Total					
	6,850	250	2,775	5,075	6,125
					8,100

Confidential

Savings and income generation by College/SASS

Areas of activity	CLS	CMDN	CADAEPS	CASS	SASS	UNALLOC
TRP				200		
Modern Languages				300		
Continuing education				300	100	
Community Education & Social Work	0	0	0	800	100	0
Savings from vacancies	90	110	90	110	100	500
Saving from NI scheme						400
SASS						
Gardens & Grounds:					200	
RIS:					50	
Library management:					100	
Shared savings:					475	
					<u>825</u>	
Workforce / workload planning						
Saving	400	600	500	600		2,100
Income generation						
Research overhead	425	375	200	75		1,075
Overseas students & TPG	250	250	250	300		1,050
	<u>675</u>	<u>625</u>	<u>450</u>	<u>375</u>		<u>2,125</u>
Total	<u>1,165</u>	<u>1,335</u>	<u>1,040</u>	<u>1,885</u>	<u>1,025</u>	<u>6,850</u>
Research overhead 2005-2006 (budget)	2,372	2,420	515	243		5,550
Proposed RO increase by 2010, %	18	15	39	31		19

MEMBERS OF SUSTAINABILITY REVIEW GROUP

Professor Michael Davies, Deputy Principal and Dean of Engineering & Physical Sciences (Chair)

Professor David Boxer, Vice Principal (Research & Enterprise)

Professor James Calderhead, Vice Principal (Educational Development)

David Duncan, University Secretary

Pete Cooper, Director of Finance

Pamela Milne, Director of Human Resources

Graham McKee, Director of Strategic Planning

Catriona Blake, Deputy Director of Finance

MEMBERS OF COURT SUB-GROUP

Bruce Johnston, Convener of Finance & Policy Committee

John Milligan, Chair of Court

Esther Robertson, Convener of Human Resources Committee

Richard Burns, Convener of Audit Committee

Eric Sanderson, Member of Finance & Policy Committee

APPENDIX 3

FINANCE & POLICY COMMITTEE (Minute 33)

A meeting of the Committee was held on 29 January 2007.

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

In Attendance: Mr R Burns, Secretary, Director of Strategic Planning, Director of Information Services, Deputy Director of Finance, Mr G A Campbell, Ms J Thomson, Ms S Brown, Ms E Robertson (for Item 4) and Mrs P A Milne (for Item 4).

1. MINUTES OF PREVIOUS MEETING

Resolved: to approve the minutes of the meeting on 20 November 2006.

2. MATTERS ARISING FROM PREVIOUS MEETING

(1) Borrowing (Minute 2(1)) (Commercial – In Confidence)

- Resolved:**
- (i) to note that it was hoped that Mr Chris Smith of Thomas Miller would attend the next Committee meeting to give background on future interest rate prospects and the University's future borrowing needs;
 - (ii) to note that the necessary approvals had been received from the Scottish Funding Council for the pensions borrowing.

(2) Management Accounts Improvements (Minute 3 (vii))

The Principal reported that the Internal Auditors (PricewaterhouseCoopers) were continuing to review the actions necessary to improve financial controls and forecasting.

The University was considered to be in a strong position in terms of Financial Governance arrangements. The Sustainability Review exercise has been applauded and it was noted that the recent reorganisation had streamlined the University's management structure.

It was noted that some actions had been taken to improve financial controls and forecasting. It was clear, however, that further progress was required. 30 and 90 day plans are being compiled to address this matter. A detailed review of the University's financial position is to be carried out as at 31 January 2007, half way through the financial year.

In conclusion, the Principal noted that the External Auditors (Ernst & Young) have been kept fully informed.

Resolved: to note that a full report on the Internal Audit review will be presented to Court on 19 February 2007.

3. MANAGEMENT ACCOUNTS

The Convener reminded Committee members that at the October 2006 meeting, it had been reported that the year-end position was a deficit rather than the modest surplus forecast. The academic trade union had made comments to the local press that the financial management of the University was wanting. The Committee agreed, however, that a distinction needed to be made between the executive management of the University (which was sound) and the management of the University's accounting systems (where problems had been encountered, but corrective action was being taken). In terms of the year-end adjustments for 2005/6, it was

noted that around £1m related to adjustments necessitated by accounting standards. Around £400k related to items which had been capitalised, and there had been a £500k additional charge for repairs and maintenance.

Resolved: to note that urgent remedial action is being taken to improve the University's accounting systems.

The Deputy Director of Finance reported that revenue budgets were showing a break even position to-date with compensating unfavourable and favourable variances on income and expenditure respectively.

The projected worst case scenario year-end forecast shows a deficit before disposals of £6m. If urgent management action were not to be taken, this would represent an unfavourable variance of £4.5m before account is taken of FRS17 costs. The main reasons for the variance are:

- a worsening of the unfavourable variance on College Core budgets, particularly pay.
- a favourable variance to-date on College Research and Other budgets becoming a significant unfavourable variance (£712k).
- an under-recovery of the building levy (£300k).
- a double-counting of the Funding Council grant income for Nursing (£1.9m).

Noted:

- (i) that staff vacancies which have been carried during the early part of 2006/7 are projected to be filled before the year-end. By tightly managing the filling of vacancies, however, it is hoped to bring the year-end variance on pay closer to the variance to-date;
- (ii) that until commitment accounting is fully implemented later this session, non-pay expenditure tends to be one month behind budget;
- (iii) that it is hoped to have periodisation of budgets in place for the last quarter of 2006/7. This will assist in monitoring timing differences (on both income and expenditure) in non-core areas of activity as well as allowing Heat, Light and Power budgets to reflect resources used to-date;
- (iv) that, as a cash injection is due to be made shortly into the pension scheme, a provisional estimate of zero net costs has now been reflected in the forecast (compared to the provision of £1m previously made for FRS17 costs);

Mr Burns pointed out the significant drop in research income. Whilst falling research income will lead to reduced research expenditure, the overhead issue remains. It was agreed that research income is a key performance indicator.

The Convener noted that the format of the Management Accounts information presented matches the format of the Annual Accounts and the reports made to the Funding Council. In some cases, however, it was agreed that the Committee requires additional information.

The Committee wished to record that the shortcomings disclosed above in the period management accounts made them an inadequate basis for proper monitoring of ongoing performance and underlined the urgency for the remedial actions already noted to be implemented.

Resolved:

- (i) to accept the Principal's suggestion that the more detailed information presented to the Senior Management Team should be distributed to members of the Finance and Policy Committee;
- (ii) to invite the Deputy Director of Finance to consider how the narrative to the Management Accounts might be improved;

- (iii) to invite the Convener and the Director of Finance to consider discussing other issues in greater detail at future meetings (Research finance or staffing would be examples of issues).

The Principal noted that it was inevitable that the National Pay Agreement would lead to reductions in staffing. Whilst ambitious, the capital programme has not been profligate. Indeed significant further investment will be required across the University estate.

While noting that 9 Scottish Universities are projecting deficits for 2006/7, the Principal stressed that the University needs to focus on its own issues.

The Deputy Director of Finance reported that a slowing down of expenditure on the major capital schemes had been off-set by the inclusion of the cash flow associated with the building levy and also the impact of the capitalisation of equipment purchased out of revenue funds. The projected net cash outflow has increased from £36.3m as reported at the November meeting, to £37m.

The Deputy Director of Finance reported that the revised total cash flow for the year was £28.2m, leading to a projected net debt of £36.7m as at 31 July 2007 (compared with £8.9m the previous year). This was very much a worst case scenario. Capital slippage and replacement funding for the Clinical Research Centre could have a significantly favourable effect.

- Resolved:**
- (i) to note the current financial forecasts with concern and to continue to monitor progress;
 - (ii) to agree with the urgent management action being taken in order to bring the operating deficit down from £6m to £2.9m;
 - (iii) to invite the Director and Deputy Director of Finance to consider whether borrowings were likely to reach a higher level during 2007/8 than the projected year-end value.

4. FINANCIAL SUSTAINABILITY

The Convener noted that, contrary to media reporting, the Sustainability Review Group was established prior to the reported deficit for 2005/6. The Review was set up against a background of concern that the University had, over a long period, generated only meager surpluses at best. As a result, the University lacked sufficient resources to invest in new academic initiatives or in the physical and technological infrastructure. The lack of contingency funds gave the University little protection against the vagaries of multiple income streams, or from the impending increase in staff costs resulting from the 2006 National Pay Agreement. The substantial adverse effect of this agreement on the University's financial projections up to 2010/11 had been reported to Court at its June and July 2006 meetings and had given the work of the Sustainability Review Group impetus and urgency.

In the absence of Professor Michael Davies, the Secretary presented the report. Analysis of data collected showed a number of challenges, some unique to Dundee and others common to the sector. The strongest academic areas are not necessarily the strongest financially.

- Resolved:**
- (i) to note the main recommendation of the Review Group that the University needs to generate surpluses of at least 3% of turnover by 2010/11 if it is to ensure long-term financial stability and sustainability;
 - (ii) to note that the Review Group's recommendations were on the basis of an underlying deficit of £1.6m which, in the light of the updated 2006/7 forecast, may be optimistic;
 - (iii) to continue to encourage cross-institutional working;
 - (iv) to note the underlying issues about the inadequacy of funding for higher education in Scotland;

- (v) to invite the Review Group to strengthen the wording of Paragraph 32 of the report covering workload planning;
- (vi) to note that academic staff contributions take varied forms, but that there may be merit in making staff more aware of the activities which are financially advantageous to the University;
- (vii) to invite the Secretary and the Director of Human Resources to draft a response to the letter received from the Dundee University and College Union;
- (viii) to recommend that the paper be considered by Court at its February meeting.

5. RESIDENCES

The Deputy Director of Finance reported that the University's share of the cumulative DSV Ltd. deficit to the end of 2005/6 was £386k compared with the forecast of £334k. The financial model is currently being reworked to incorporate all rental increases and assumptions concerning room occupancy and length of lets. Whilst the University is required to reflect the performance of DSV Ltd. in its accounts, there is no cash impact.

6. TMRI UPDATE

The Director of Strategic Planning reported that work continues on the design, costing, planning, leasing and funding arrangements for the new TMRC Research Laboratory building. 27 translational programmes have now started, of which nine are Dundee based (with a value of £2.01m).

- Resolved:**
- (i) to note that provision has been made for VAT for the Clinical Research Centre as it is as yet unclear what reliefs might be available;
 - (ii) to note that the new accommodation would be suitable for alternative use as wet laboratory accommodation in the event of the project ceasing;
 - (iii) to note that discussions continue with partners to seek further improvements in external contributions and rental levels, and with the planning authority to obtain planning permission and satisfactory leasing terms;
 - (iv) to approve, subject to the agreement of the Funding Council, that a loan agreement be entered into with a bank on the best terms available to provide funding for the construction of the TMRC building.

7. CAPITAL EXPENDITURE

The Principal reported on the increase in costs relating to the Clinical Research Centre.

- Resolved:** to note that in future, where an approved capital project has increased costs of £250k or more, then this will be reported to the Finance and Policy Committee, and to Court.

APPENDIX 4

COMMUNICATIONS FROM THE SENATUS ACADEMICUS
(Minute 37)

1. PRINCIPAL'S REPORT

The Senatus decided: to note the report.

2. FINANCIAL SUSTAINABILITY

The Principal presented the background to the work of the Sustainability Review Group (SRG). The Group was established following the meeting of the University Court on 4 September 2006 as a reaction to growing, future financial pressures arising from increases in pay, pensions and utilities costs, a more competitive research environment, demographic changes in the major student population group and changes to national resource allocation policy. Its remit was to make recommendations to the Court which will ensure the long-term financial stability and sustainability of the University. Its report, which was not yet finalized, would be presented to the next meeting of the Court on 19 February 2007. The membership of the Group was Professor Michael Davies (Convener), Professors Boxer and Calderhead, the Secretary, the Directors of Finance, HR and Strategic Planning and the Depute-Director of Finance.

Professor Davies, assisted by the Secretary, then made a presentation to the Senatus on the work of the Group thus far. Its emphasis was upon long-term sustainability and not a short-term response to any perceived, immediate crisis and its progress since last September had been monitored by a Sub-Group of Court consisting of five lay members.

The Group started its work with an analysis of base-line data to establish the University's position in 2005/6. It looked at finance, RIS, staff and student data disaggregated where possible to the discipline level and used SFC benchmarks (trigger metrics) to compare ourselves to others in the sector. It also took account of academic staff workloads via transparent approach to costing (TRAC) returns and research performance in terms both of income and overhead recovery. Student data was also included: at the undergraduate level consideration was given to recruitment statistics, the quality of intakes and progression rates; at the taught postgraduate level, activity, recruitment and overseas numbers were analysed. In terms of financial performance, the Group examined University and Faculty budgets together with end of year outcomes as well as schedules of current and proposed projects within the capital programme over the next five years or so.

Following the establishment of baseline data a series of comparisons were made with other HE institutions:

(i) total income per academic FTE 2004/5

Dundee	£124,068
UK mean	£146,835
SFC mean	£138,199
*Group B mean	£143,658
*Group A mean	£148,525

(*referring to levels of research intensity)

(ii) total research income per academic FTE 2004/5

Dundee	£33,350 (27% of income)
UK mean	£23,550 (16% of income)
SFC mean	£25,961 (19% of income)
*Group B mean	£25,184 (18% of income)
*Group A mean	£38,368 (26% of income)

While this indicated a good level of achievement, £23M from a total of £53M came from charities and attracted only £34K in overhead. In overall terms, overhead amounted to only 7.3% of the total value of research income. It was clear that there were high levels of unfunded

research in some areas of the University and that research was being subsidized from teaching income.

- (iii) With regard to the context for the capital programme, the Group noted that 71% of the University's buildings fell into SFC categories which were regarded as unfit for purpose in comparison with a range across Scotland and the UK of 32% to 46%: an emphatic illustration of a local history of infrastructure underfunding.

Thereafter the Group established a series of discipline profiles using KPIs derived from the baseline data: unfunded research activity, undergraduate recruitment and progression statistics, student:staff ratios, research overheads, entry tariffs, overseas student income and taught postgraduate activity. The resulting major findings were: a highly variable distribution of research income across the University; research overhead recovery at too low a rate; some areas with significant difficulties in recruiting students; many disciplines failing to recruit the most highly qualified students; and, in a number of areas, opportunities to develop postgraduate programmes not being taken.

The main recommendation arising from these findings was to achieve a 3% surplus by 2010/11; to be achieved by:

- (i) increasing research income by £1.075M;
- (ii) increasing income from postgraduate courses by £1.050M;
- (iii) efficiency and work-load planning savings of £2.1M in the Colleges (A&SS: £600K; LS: £400K; ADAEPS: £500K; MDN: £600K) to be achieved in the most painless way possible;
- (iv) specific areas thus far identified for savings in academic areas were:
 - (a) modern foreign languages: £300K
 - (b) town & regional planning: £200K
 - (c) community education: £300K
 - (d) continuing education: £100K
- (v) general savings in support services of £475K with specific savings of £200K in gardens and grounds, £100K in the Library and £50K in RIS;
- (vi) savings from staff vacancies of £500K;
- (vii) savings of £400K from a national insurance and pensions scheme;
- (viii) in addition, the capital programme would decline in 2007/8, have stricter limits attached to projects and a greater emphasis upon refurbishment and maintenance of existing buildings.

The likely proposed timescale for the implementation of this package of savings and income generation was:

	<u>2007/8</u>	<u>2008/9</u>	<u>2009/10</u>	<u>2010/11</u>
Savings	2,575	3,525	4,225	4,725
Income generation	200	1,550	1,900	2,125
Total	2,775	5,075	6,125	6,850

In conclusion, it was indicated that the Group would welcome alternative proposals but that there could be no compromise on either the timescales or the financial targets which had been established. The Group's final recommendation would be for the adoption of a voluntary severance scheme.

Following the presentation, there was a general discussion of the Group's findings. The view was expressed that the overall targets might be considered to be too soft and that more draconian measures might be necessary. In that context it was noted that there were a number of unpredictable factors facing the HE sector in the near future: the outcome of the next

comprehensive spending review and the RAE as well as the issue of student contributions to tuition fees. What was clear, was that we were seeing the early stages of a process of virtually continuous change for higher education across the UK.

A member noted the announcement of the Scottish Universities Life Science Alliance (SULSA) and the contribution to it by the six participating institutions of £50M and wondered if that would be a further cost to the University. In response it was reported that the University's contribution, as one of the three main players, was £21M of current investment in terms of recent appointments and the establishment of the James Black Centre but did not involve additional, recurrent expenditure. In five to seven years' time however, when the SFC research pooling contribution ceased, the issue of generating future income to achieve sustainability would have to be addressed.

It was suggested that if income targets were exceeded, savings targets might be reduced as an incentive to motivate staff. While incentives were acknowledged to be vital and should be included in a revised resource allocation process, it was necessary to be realistic about the environment facing higher education and the probable downward pressure on public spending for the foreseeable future.

Members suggested the inclusion of CPD activity in the income generation targets and noted that charity funded research often brought other kinds of infrastructure support over and above the non-recovery of overheads. It was also suggested that all activity in town and regional planning might be abandoned thus making additional savings though, in response, it was noted that the general shortage of planners in Scotland might make it viable to refocus on postgraduate activity and to continue with a professional undergraduate programme with support from elsewhere in the School of Social Sciences. In the general context of ceasing to offer academic programmes it was stressed that commitments to students currently on-course must be honoured. Comment was made that it had been inappropriate to identify specific academic areas for savings particularly in terms of damage to the University's reputation, though it was noted that any such process of change inevitably involved unwelcome publicity as a result of internal discussions being reported to the press.

On the issue of modern foreign languages, Dr Borthwick stressed CALS' wish to review their current activities and to plan for a sustainable future within the context of international recruitment and collaboration with other disciplines. It was noted that there was a process of dialogue and discussion taking place that should result in the retention of level 1 and 2 provision for undergraduates along with some evening classes although the continuation of levels 3 and 4 was unlikely given the low numbers of students.

On the Botanic Garden it was noted that the University spent £400K pa on gardens and grounds and that it had been agreed to work with the Dundee Partnership, the City Council and the Friends to examine ways of reducing costs.

The Principal indicated that he would consult on the question of releasing the final report to Senators and to the Trades Unions in due course, but he noted that it was a Court document which would be considered by the Court at its meeting on 19 February, the outcome of which could not be prejudged. Finally he thanked Professor Davies and his colleagues for their work.

The Senatus decided: to note the report.

3. PROFESSOR EMERITUS

The Senatus decided: subject to the concurrence of Court, to confer the title of Professor Emeritus upon Professor D R Stirrups (from 31 March 2007).

4. RECTORIAL ELECTION

The Senatus decided: to note that the two candidates are Craig Murray and Andrew Nicol.

APPENDIX 5

HUMAN RESOURCES COMMITTEE (Minute 38)

A meeting of the Committee was held on 30 January 2007.

Present: Ms EA Robertson (Convener), Dr RJ Abboud, Mrs C Bain, Professor J Calderhead, Professor CP Downes and Dr J Lowe

In Attendance: Dr DJ Duncan, Mrs PA Milne and Mrs JM Strachan

1. MINUTES OF PREVIOUS MEETING

Resolved: to approve the minutes of the meeting on 3 October 2006.

2. MATTERS ARISING

(1) Restructuring (Minute 3)

It was noted that the Dean of Medicine position had been re-advertised internally. One member raised the concern that there had been no communication in the College regarding the current acting-up arrangements and requested clarification for members of staff in the College regarding this.

Resolved: the Director of Human Resources to raise this issue with the Head of College and request that the current interim arrangements are communicated to staff.

(2) Gardyne Road Campus (Minute 4)

The Director of Human Resources confirmed that re-deployment issues relating to Campus Services staff, based on the Gardyne Road Campus, were continuing to be discussed with the unions and staff. Open meetings had taken place with staff before Christmas and it was hoped that approximately 10 staff would be re-deployed to the main campus. Discussions were on-going with the relevant Directors on the main campus regarding these posts. The University recognised that it would have difficulty re-deploying other Campus Services' staff and staff had been formally notified of this position.

Resolved: to note the position

3. FINANCIAL SUSTAINABILITY REVIEW

The briefing paper on the Sustainability Review was discussed and it was noted that this paper had already been circulated widely throughout the University via HERMES.

The discussions then focused on the Human Resource strategies that had been proposed to support the outcomes of the Financial Sustainability Review, and the financial savings required. These included identifying posts which did not need to be refilled when falling vacant. It was confirmed that robust approval systems were already in place within the Colleges and SASS, to consider the issue of replacement posts, and that these systems would support this process.

The Director of Human Resources proposed that the University should seek to introduce a rigid re-deployment policy which would allow the transfer of displaced staff to suitable vacancies in other areas of the University. The Committee was supportive of this approach and recognised that this would help to reduce the impact of staffing reductions in certain areas.

It was confirmed that voluntary severance packages would also be considered in an effort to avoid redundancy situations. Any proposed scheme would be discussed with the unions and would only be available for a limited period.

It was noted that if financial savings could not be achieved entirely through voluntary means, compulsory redundancies would then have to be considered. In relation to this, it was confirmed that redundancy criteria would be developed. It was recognised that effective communication with staff and consultation with the unions would be critical over this period.

Consideration was given to an Academic Staff Activity model, which had been submitted to the Committee for comments. It was anticipated that this paper would be included as an Appendix to the Sustainability Report. The model had been developed to provide a framework to manage workloads at individual, School and College levels and to ensure effective use of resources. It was recognised that some areas of the University were already successfully operating a similar type of model. The Committee supported the principles of the model and felt it would ensure equity and avoid work overload; however, it was suggested that more detail was required on the purpose of the model and how it was to be used, before consultation on the model commenced.

It was noted that a letter from the Dundee University and College Union had been received by all Committee members, enclosing a copy of a letter sent to the Finance Committee. It was confirmed that the Convener of the Finance Committee would respond to the queries raised, in consultation with the Convener of the Human Resources Committee.

Resolved: to support the Human Resources Strategies proposed to support the outcomes of the Financial Sustainability Review.

4. HUMAN RESOURCES

(1) Framework Agreement

The Director of Human Resources reported that final amendments to the Framework Agreement had been agreed and decisions now had to be made by Unison and Amicus regarding when to ballot their members. It was confirmed that the University would organise meetings with clerical, technical and manual staff prior to the next ballots to promote the Framework Agreement. It was hoped that this would assist towards achieving positive ballots for both Unison and Amicus.

Resolved: to note the position.

(2) Job Evaluation

It was reported that the pilot of HERA had been extended and 70 posts in the School of Medicine had now been selected for evaluation. It was confirmed that the HERA sub-group had been undertaking detailed analysis of data collected through the initial pilot and had reported on this to the Framework Agreement Working Group. The projected end point for the implementation of HERA was October but it was highlighted that the timescales were dependent on union agreement at various stages of the evaluation process.

Resolved: to note the position.

(3) Report to Funding Council

A report on the Framework Agreement for the Scottish Funding Council was noted.

Resolved: to request the University Court to endorse the Framework Agreement report for Scottish Funding Council (annex A).

5. EQUALITY AND DIVERSITY

A report from the Equality & Diversity Officer was received. Dignity at Study and Work statistics indicated a small increase in the number of complaints, but this number was still considered very small in relation to the number of staff at the University. It was noted that initial discussions had taken place about establishing a group to represent ethnic minorities. The Committee was supportive of this and confirmed that the Group should report to the Equality & Diversity Working Group. It was noted that the Equality & Diversity Working Group had 3 representatives from the same Directorate and suggested that the membership

should be reviewed. The draft Code of Practice for the Employment Equality (Age) Regulations was discussed.

- Resolved:**
- (i) to support the Equality and Diversity Officer in the establishment of a Committee to represent ethnic minorities;
 - (ii) to approve the Code of Practice for the Employment Equality (Age) Regulations (annex B).

6. PERSONAL AND PROFESSIONAL DEVELOPMENT

Reports from the Director of Management and Professional Development, the Director of Academic Professional Development and the Generic Skills Training Co-ordinator were received.

The reports highlighted the breadth and volume of training and development activity being led from the Centre. It was also recognised that a significant amount of training and development activity was also being carried out at School and College level.

There was some discussion about the statistics submitted as part of the Generic Skills report and it was suggested that the presentation of information could be modified slightly.

7. HEALTH AND SAFETY

A report from Safety Services and minutes from the Safety Sub-Committee were received. The Committee noted the changes to the Health and Safety Policy, including membership of the re-named Health and Safety Sub-Committee. The Committee supported the proposal that an annual report should be submitted to Court but, as agreed at the previous meeting (Minute 8), this report would be submitted to Court through the Human Resources Committee, to add another level of scrutiny and to ensure stronger governance.

The Committee noted the reduction of accidents reported over the period 2005/6 and agreed this was very positive. The Committee noted that effective Health and Safety networks were in place to ensure accidents were reported.

The Committee was also pleased to note that the figures for staff experiencing work related mental health issues were relatively low (11 cases, with 6 out of the 11 off work) and it was confirmed that Occupational Health staff were working hard with academic staff and colleagues to reduce stress-related absence.

The Committee did feel that the statement indicating that stress related sickness absence was 'considered the major cause of absence' was misleading, as only 6 staff were absent due to these reasons. It was suggested that cold/flu and/or bad backs may be the major causes of absence in the University.

The Committee was pleased to note the expansion of the Occupational Health Service with the addition of a new Occupational Health nurse in December.

It was highlighted by one member that the reports from Occupational Health did need to reflect the facts of the case and situation and not just outline what the individual member of staff would like to happen. The Director of Human Resources confirmed that this issue had been raised previously with Occupational Health and the situation was being monitored.

- Resolved:** to approve the amendments to the Health and Safety Policy and to request that the full Policy is circulated to members of the Committee (annex C).

8. LOCAL JOINT COMMITTEES

- (1) University/Amicus-MSF Joint Committee

The minutes of the meeting, held on 5 December 2006, were received.

(2) University/UNISON Joint Committee

The minutes of the meeting, held on 11 January 2007, were received.

(3) University/DUCU Committee

Draft minutes of the meeting held on 22 September 2006 were received. It was noted that approved minutes would be submitted to the next meeting of the Committee.

FRAMEWORK AGREEMENT: REPORT TO SFC

1. BACKGROUND

In order to facilitate implementation of the Agreement, a Framework Agreement Working Group has been established, comprising representatives from the three campus unions, DAUT, Unison and Amicus-MSF, the University Secretary and the Director of Human Resources. The main features of the group's work are to devise and agree a new unified pay structure, to agree and implement job evaluation for all staff and to harmonise working hours and holiday entitlement.

The group has been meeting since September 2004 and progress is being made on all key areas. The purpose of this report is to outline progress to date.

2. KEY AREAS

In summary, the working group has agreed the main elements of the Framework Agreement and is currently finalising some detailed points. The Agreement has been subject to ballot by UCU whose members voted in favour and to a ballot of Amicus members, who narrowly rejected the proposals. UNISON are still to ballot. For these reasons, this report will necessarily be an interim report on progress to date.

The following are considered further in the remainder of this report:

- Grading structure
- Progression within and between grades
- Job Evaluation
- Role Profiles
- Working hours and holiday entitlement
- Assimilation of existing staff to new structure
- Pension arrangements
- Equality issues

3. GRADING STRUCTURE

The working group has agreed a 10-grade scale based on the 51-point scale with one additional point. The structure has been developed in accordance with relevant JNCHES guidance.

4. PROGRESSION WITHIN AND BETWEEN GRADES

In line with JNCHES guidance, progression within each grade will depend in part on an individual's length of service in the grade and in part on an assessment of their contribution; although staff will have a normal expectation of annual progression up to the contribution threshold for their grade. All proposed grades have contribution related points (crps) at the top of the service maximum. The Working Group has agreed the principles for the awarding of crps. Further details on the procedures are being prepared.

Progression to a higher grade will in general follow current established principles and will essentially depend upon the outcome of job evaluation.

5. JOB EVALUATION

The Working Group has endorsed the University's decision to proceed with the Higher Education Role Analysis (HERA) system of job evaluation. A small sub-group of the Framework Agreement Working Group with representation from UCU, Unison and Amicus are overseeing the process. A series of pilot job evaluations have been completed in a variety of schools/units. In total, to date around 90 posts have been job evaluated. The plan is for this selection of posts to be extended to 200-250 posts. Thereafter all posts within the University will be matched to a grade on the new structure utilising the benchmarked posts. Staff will then have an opportunity to appeal their evaluation. A team of about 30 role analysts/appeal

panel members has been trained and is in the process of carrying out the evaluation. A project plan for HERA is attached (annex A(1)).

6. **ROLE PROFILES**

The University and UCU have agreed to utilise a slightly amended set of the nationally agreed academic role profiles. The Framework Group has also discussed academic-related role profiles. UCEA have indicated that they are to make available academic-related role profiles developed by other institutions but as yet this has not happened. The University takes the view that role profiling for academic-related posts is not straightforward given the significant differences in job specifications and configurations of academic-related posts across the HE sector. However, it has been agreed that available academic-related profiles will be considered further.

7. **WORKING HOURS AND HOLIDAY ENTITLEMENTS**

Staff in manual, technical and clerical grades currently work fixed hours per week. Manual staff were previously generally on a 38 hour week, technical staff on 37 hours and clerical staff on 36.25 hours per week. With effect from 1 January 2006, hours for manual staff reduced to 37 hours and with effect from 1 August 2006, hours for technical and manual staff reduced to 36.25 hours per week.

Staff in manual, technical and clerical grades have holiday entitlements that increase from 34 to 37 days per annum depending on length of service and no change to these arrangements have been agreed.

8. **ASSIMILATION OF STAFF TO NEW STRUCTURE**

All staff on standard University contracts have assimilated to the new structure with effect from 1 August 2006. There are issues regarding some existing staff which require specific transitional arrangements to be made which will not apply to newly appointed staff. For example, some staff, through the mapping process, assimilated to points on the new structure that under the new structure are contribution related points. In such cases, the assimilation point is being treated as a non-contribution related point. In addition, through job evaluation, some staff will be placed in a higher grade ('green circled') and some placed in a lower grade ('red circled'). The Framework group have agreed procedures in relation to both red and green circled staff.

9. **PENSION ARRANGEMENTS**

For staff currently within USS (Universities Superannuation Scheme), that is primarily Academic and Academic Related, and staff currently within Manual, lower Technical and Clerical grades, no change to current pensions arrangements are envisaged.

USS have indicated that some staff currently in higher Clerical and Technical grades may be permitted to transfer to USS, subject to the outcome of confirmation through job evaluation to new grades under the Framework Agreement, and subject to payment by the University of a sum yet to be determined to USS. This would happen on the basis of a one-off bulk transfer. However, such a move would need to be agreed by the Trustees of the University of Dundee scheme (SCAMPI). The costs of such a move will need to be evaluated and the Trustees of the University of Dundee scheme will need to consider the impact of such a move on the remaining scheme members in relation to loss of future income to the scheme. The University will also have to consider the costs of the move which would require to be paid to USS.

The current situation is that no changes have yet been considered given that the Agreement has not been signed off and implemented and that job evaluation has yet to be completed

10. **EQUALITY ISSUES**

The University is committed to the modernisation of pay structures as the basis for the achievement of equal pay for work of equal value. In addition, the University needs to ensure that the new pay structure has improved any current inequalities on the basis of gender, race and age. In order to measure this, an equal pay audit will be carried out following the completion of job evaluation.

HERA PROJECT PLAN

Task Name	Duration	Start	Finish
Full Job Evaluations			
Job evaluations: College of Medicine and Dentistry	30 days	23/01/07	05/03/07
Job evaluations:Duncan of Jordanstone	30 days	08/01/07	16/02/07
Job evaluations : Arts and Social Sciences	30 days	19/02/07	30/03/07
Job evaluations: Support Services	30 days	19/02/07	30/03/07
Clerical and Technical Staff			
Issue Role Outline Forms to Clerical and Technical Staff	2 days	19/12/06	20/12/06
Role Outline Forms returned from Clerical and Technical Staff	29 days	13/12/06	22/01/07
Chase up period for Clerical and Technical Staff RoF returns	20 days	23/01/07	19/02/07
HERA Sub-Group identification of clerical and technical benchmark roles/profiles	30 days	20/02/07	02/04/07
Matching of clerical and technical staff to benchmark roles	30 days	12/03/07	20/04/07
HERA Sub-Group review of matching and full job evaluations of clerical and technical staff	15 days	23/04/07	11/05/07
Clerical and Technical role matches issued to staff	2 days	14/05/07	15/05/07
Clerical and Technical staff review of matching and agree/appeal	20 days	16/05/07	12/06/07
Manual Staff			
Produce role profiles for manual staff w line managers, supervisors	20 days	03/01/07	30/01/07
Draft matching of staff to role profiles	20 days	31/01/07	27/02/07
HERA Sub-Group review of matching and full job evaluations of manual staff	35 days	05/03/07	20/04/07
Manual role matches issued to staff	2 days	23/04/07	24/04/07
Manual staff review of matching and agree/appeal	20 days	25/04/07	22/05/07
Academic Staff			
Draft match of academic staff to academic role profiles prepared	30 days	18/12/06	26/01/07
Matched academic role profiles reviewed by Academic HoDs	30 days	29/01/07	09/03/07
Academic Role profile matches discussed w HERA Sub-Group/DUCU	15 days	12/03/07	30/03/07
Academic Role profile matches issued to academic staff	2 days	02/04/07	03/04/07
Academic staff review of matching and agree/appeal	20 days	04/04/07	01/05/07
ALC/Other Related Staff			
Issue Role Outline Forms to ALC/Other Related Staff	2 days	05/02/07	06/02/07
Role Outline Forms returned from ALC/Other Related Staff	20 days	07/02/07	06/03/07
Chase up period for ALC/Other Related Staff RoF returns	20 days	07/03/07	03/04/07
HERA Sub-Group identification of ALC/Other Related benchmark roles/profiles	20 days	26/03/07	20/04/07
Matching of ALC/Other Related staff to benchmark roles	15 days	23/04/07	11/05/07
HERA Sub-Group review of matching of ALC/Other Related staff	15 days	14/05/07	01/06/07
ALC/Other Related l role matches issued to staff	2 days	04/06/07	05/06/07
ALC/Other Related staff review of matching and agree/appeal	20 days	06/06/07	03/07/07
Appeals Process			
All HERA appeals to be notified by	0 days	04/01/07	04/01/07
Completion of informal appeals procedures	1 day	03/07/07	03/07/07
College/ SASS appeal panels to meet	20 days	04/07/07	31/07/07
Notification of appeal outcomes to be complete by	30 days	01/08/07	11/09/07
	7 days	12/09/07	20/09/07

DRAFT

University of Dundee: demonstration of how increased SFC resources supports our HR approach		
Deliverable	Recurrent costs, 2006-07	Outcomes supporting our HR approach
Harmonisation of working hours	£150,000	Contributes to meeting statutory requirements on equal pay for work of equal value
Assimilation of staff to new pay and grade structure, including oncosts e.g. pensions and National Insurance	£1,000,000**	Contributes to meeting statutory requirements on equal pay for work of equal value
Additional pay and oncosts from regradings	£900,000***	Contributes to meeting statutory requirements on equal pay for work of equal value
	£2,050,000****	
**This figure excludes assimilation costs for research staff estimated at £300,000		
*** This figure is estimated as job evaluation has not been completed		
	Additional recurrent resources from SFC from 2006-07*: £1,850,000	
	The additional SFC resource specifically for HRM modernisation is therefore estimated to have contributed 90% of costs of our HR approach. (Excluding framework and job evaluation costs applicable to research staff)	
****Figures exclude costs of restructuring		

**EMPLOYMENT EQUALITY (AGE) REGULATIONS 2006
CODE OF PRACTICE (Draft)**

1. INTRODUCTION AND BACKGROUND

1.1 The University of Dundee is fully committed to providing a positive learning and working environment free from discrimination, harassment, or victimisation on the grounds of sex, race, disability, sexual orientation, religion or belief and age, where the entire University community is treated with respect and dignity. The University of Dundee will not discriminate against any staff member, job applicant, student or prospective student because of age, or perceived age. The University of Dundee will not use age related criteria in any recruitment or publicity material or for any advertisements unless it is to take positive action. The University of Dundee will ensure that all staff members are treated on the basis of their relevant merits and abilities, and are given equality of opportunity. The University values diversity and recognises that a diverse staff and student group contributes to its continued achievement in teaching and research.

1.2 From 1 October 2006 the Employment Equality (Age) Regulations make it unlawful to discriminate against workers, employees, job seekers and trainees from discrimination, harassment and any other unfair treatment (for example relating to recruitment, training, pay, promotion, retirement and pensions) on the basis of their age. The Code of Practice describes the regulations and gives guidance on how to implement them. The regulations apply to all employees, students and visitors to any of the University campuses and should be read as part of the wider set of policies, relating to equality and diversity, within the University. This includes:

- Equal Opportunities Policy
- Recruitment Policy
- Retirement Policy
- Redundancy Policy
- Dignity at Work and Study Policy (Harassment & Bullying policy and procedures)
- Disciplinary and Grievance procedures for staff/ students
- Race Equality Policy/Action Plan
- Disability Equality Policy/Scheme

2. SUMMARY OF LEGISLATION AND TERMS

2.1 The regulations make it unlawful on the grounds of age to:

- (1) **Discriminate directly against anyone** – that is, to treat them less favourably than others because of age – unless objectively justified, e.g. decide not to employ someone on the grounds of age, retire an employee before the employer's usual retirement age or retire an employee before the default retirement age of 65 without an objective justification.
- (2) **Discriminate indirectly against anyone** – that is, to apply a criterion, provision or practice which disadvantages people of a particular age unless it can be objectively justified, e.g. through selection criteria, policies, benefits, employment rules or any other practices which, although applied to all employees, disadvantages people of a particular age. Indirect discrimination is unlawful whether it is intentional or not.
- (3) **Subject someone to harassment.** Harassment includes behaviour that is offensive, frightening or in any way distressing. It may be about the individual's age or it may be about the age of those with whom the individual associates. It may not be targeted at an individual(s) but consist of a general culture which, for instance, appears to tolerate the telling of ageist jokes.

- (4) **Victimise someone** because they have made or intend to make a complaint or allegation or have given or intend to give evidence in relation to a complaint of discrimination on grounds of age.
- (5) **Discriminate against someone**, in certain circumstances, after the working relationship has ended (example, writing references).

2.2 Lawful Discrimination

2.2.1 There are limited circumstances when it is lawful to treat people differently because of their age. It is not against the law to discriminate on the grounds of age if there is an **objective justification** for treating people differently; for example:

- (1) It might be necessary to fix a maximum age for the recruitment of employees (this maximum age might reflect training requirements of the post or the need for a reasonable period of employment before retirement).
- (2) Where a person is older than, or within six months of, normal retirement age, or aged 65 there is a specific exemption allowing employers to refuse to recruit the person.
- (3) If there is a **genuine occupational requirement** (GOR) that a person must be of a certain age.

2.3 Implications of the legislation particularly affect and extend to:

- Recruitment and selection
- Education and Training
- Pay and benefits
- Performance appraisals
- Promotion
- Dismissal
- Redundancy
- Retirement
- Pensions
- Work-related social activities
- The general conduct of everyone in work, and their awareness of their responsibilities within the regulations
- And therefore all documentation, systems and processes used in the above

As well as giving people protection, the UK age discrimination legislation also places certain responsibilities on individuals and it should be noted that the regulations also allow for individuals to be held responsible for certain types of discriminatory behaviour against others (and to be pursued for compensation), aside from the responsibility of the employer or organisation.

3. APPEALS

- 3.1 Any member of the University community who feels they have been treated in ways that breach the Employment Equality (Age) Regulations should first discuss it with their Line Manager or College/SASS HR Officer.
- 3.2 If no resolution is agreed then an individual can raise a grievance under the existing Grievance Procedures.

HEALTH AND SAFETY POLICY

1. POLICY STATEMENT

As the governing body of the University of Dundee, the University Court accepts its responsibility for the health, safety and welfare of staff, students and others affected by the University's activities. To discharge this responsibility Court provides leadership and support to sustain the importance of health and safety as part of the University's programme of good governance and risk control. The Court ensures that all staff are competent and accept their health and safety responsibilities.

The University Court has adopted this policy to promote excellence in the health and safety performance of the University's activities of teaching, research and associated undertakings. The University will work proactively to ensure full compliance with all health and safety legal requirements. The University aims to effect continual improvements in the health and safety of staff, students, and other people affected by the University's activities.

The University Court requires all staff and students to co-operate in achieving a high standard of health and safety performance, and encourages and rewards all staff in pursuit of this goal.

The University Court will ensure that it is kept informed of health and safety risk management issues, and that overall health and safety performance is periodically reviewed. The Health and Safety Policy will be kept under review through the Health and Safety Sub-Committee.

This Health and Safety Policy Statement was approved by Human Resources Committee.

Sir Alan Langlands
Principal

John Milligan
Court Chairperson

2. POLICY ORGANISATION

The University Court has adopted this Health and Safety Policy Organisation to implement the policy statement above and to ensure effective management of health and safety issues. The organization of health and safety is outlined in annexes C1 and C2; these show the way health and safety are managed within the University of Dundee, and the inter-relationship between committees, professional support services and line management.

2.1 Managerial Structure

Within the line management hierarchy health and safety tasks can be delegated, but the responsibility for ensuring these are properly undertaken remains with the delegating manager. Ultimate responsibility for implementation of this policy and of legal compliance resides within the University Court.

The University Court is responsible for ensuring that all staff have a clear understanding of their health and safety responsibilities, and that they are adequately resourced and trained to fulfil these. It is responsible for identifying key health and safety priorities, setting performance targets, reviewing progress to meet these targets and taking further action if necessary. To fulfil these responsibilities, the Court receives regular reports from the Human Resources Committee on policy arrangements, training programmes and performance.

On behalf of the Court the Principal takes overall responsibility for the University's health and safety management, and as such represents the corporate body of the University in compliance with health and safety legislation. The Principal has nominated the University Secretary as the senior manager who holds the specific responsibility for management of health and safety.

The Heads of College and University Secretary are responsible for the implementation of the University's Health and Safety Policy in Colleges and Support Services, and for ensuring that adequate resources are made available for this. They are responsible for drawing up short, medium and long term plans in the drive to improve continuously health and safety performance and in response to audits that identify poor performance. They provide reports to the Health and Safety Sub-committee on the measures they have taken to implement Policy, and to continuously improve standards. They are also responsible within their Colleges or Support Services for ensuring that duties are shared between an adequate number of delegates who have been trained for this work. They are Conveners of College Board/Directors' Group which reports to the University Health and Safety Sub-Committee.

Deans/Heads of Directorate are responsible for the management of health and safety within their School/Directorate. They are responsible for the management of their staff and for resourcing the health and safety needs of their School/Directorate. They ensure that good performance by their staff is recognised and that staff who fail to meet standards receive additional support and appropriate encouragement. They ensure that a School/Directorate Health and Safety Policy detailing relevant local rules to control health and safety risks in their areas is written and updated regularly. Deans/Heads of Directorates chair School Boards and Directorate Management teams which report to the College or Directors' Group Committee.

Where appropriate, some Deans of School and Directors of Support Services will establish Safety Committees within specific units under their line of management, and will ensure that they are properly convened and recorded.

Academic Supervisors, and others with direct supervisory responsibility for staff or students must ensure the safe conduct of activities within their areas of control, and draw to their manager's attention health and safety matters requiring action which they are unable to fulfil themselves.

All staff are legally required to conduct themselves at all times so as not to endanger their health and safety or that of any other person who may be affected by their acts or omissions. They must comply with all relevant health and safety requirements and

follow the rules and guidance from their managers. They must report any health and safety concerns they have to their manager or Unit Safety Co-ordinator.

All students must behave responsibly at all times, and comply with rules issued by teaching staff.

2.2 **Committee Structure**

The University Court works through the Committee structure shown in annex C3 to ensure effective communication and consultation at all levels within the University regarding safety policy arrangements, training programmes and performance monitoring.

In outline, the Health and Safety Sub-Committee receives reports from College Boards and Directors' Group, the Genetic Modification and Biological Safety Committees and the Radiological Safety Committee and may co-opt additional members for working parties as necessary. Health and Safety Sub-committee reports to the Human Resources Committee. The composition of the Committee is given in annex C3.

2.3 **Professional Support Structure**

The Head of Safety Services and his team provide competent advice and specialist expertise to School/Directorate Safety Personnel (ie School Safety Representatives, Unit Safety Co-ordinators, Biological Safety Advisers, Radiation Protection Supervisors, Fire Marshals), and strategic guidance to senior management to enable them to carry out their responsibilities effectively. They draft policy, arrange training and carry out systematic auditing at all levels in the University. Head of Safety Services provides an annual report to Court via the Human Resources Committee.

Heads of School/Directorate appoint suitable School/Directorate Safety Representatives and ensure they are competent, and that they are given adequate resource to fulfil their duties. One of their key roles is to advise Heads of School/Directorate on Safety Policy Arrangements, and the measures they must implement to comply with them.

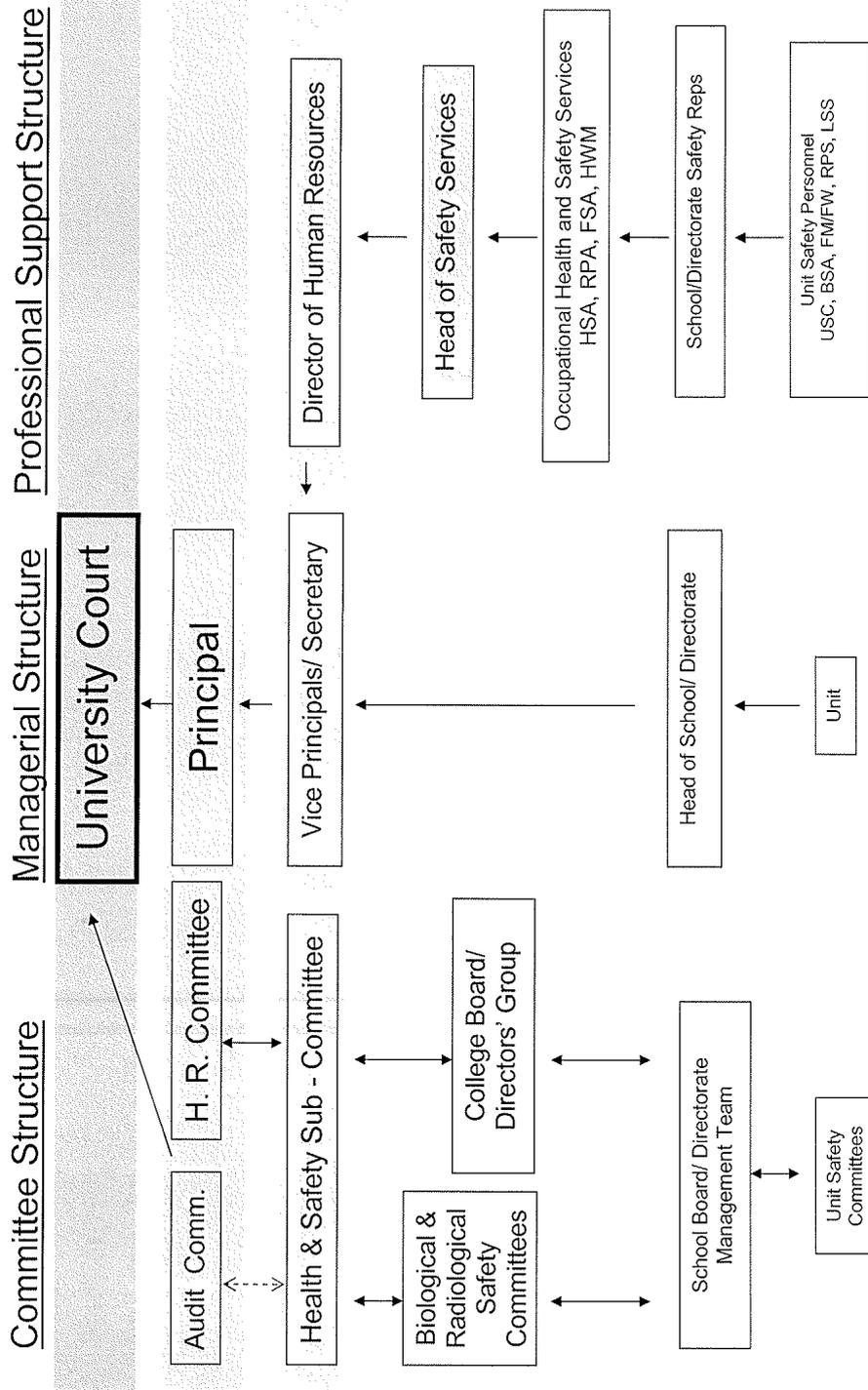
Heads of School/Directorate appoint suitable Unit Safety Personnel and ensure that they are competent, and that they are given adequate resource to fulfil their duties. One of their key roles is to assist School/Directorate Safety Representatives in the implementation of Safety Policy Arrangements.

3. **POLICY ARRANGEMENTS**

The University Court has approved the Safety Policy Arrangements given in annex C4. These are intended to ensure all activities within the University comply with relevant legislation and accord with best practice. Policy Arrangements drafted by Safety Services, agreed by Health and Safety Sub-Committee are approved by Human Resources Committee on behalf of Court.

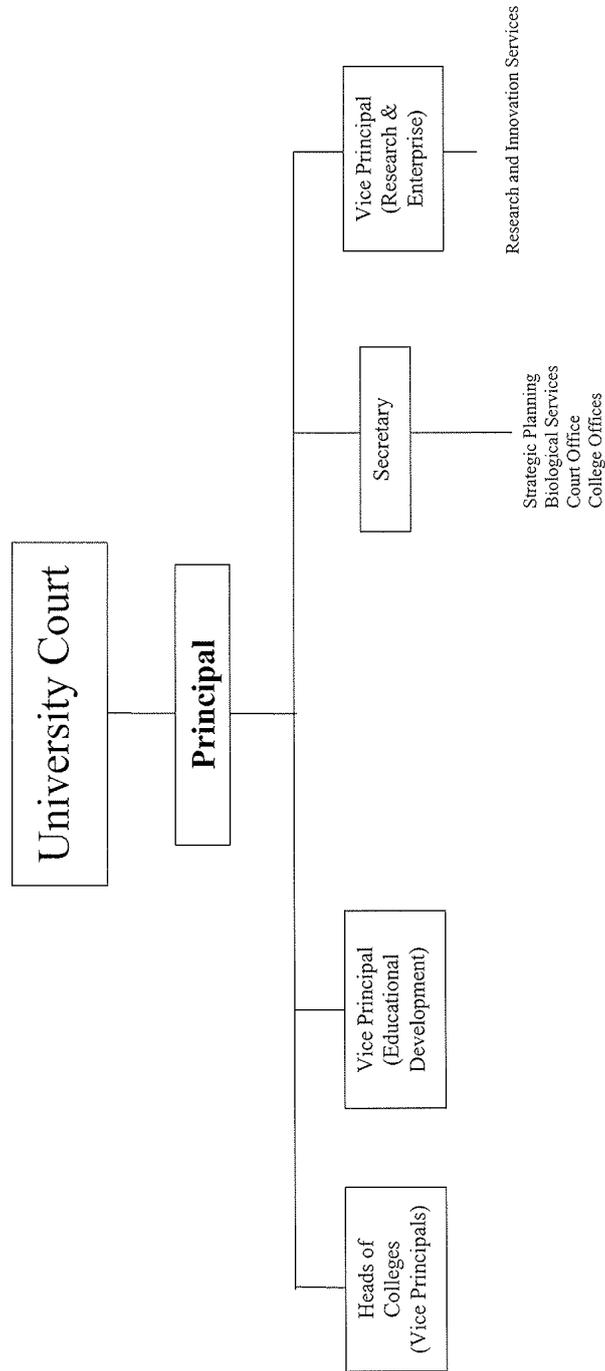
The Health and Safety Sub-Committee reviews the Health and Safety Policy Organisation and Arrangements and alters them as necessary to comply with changing legislation.

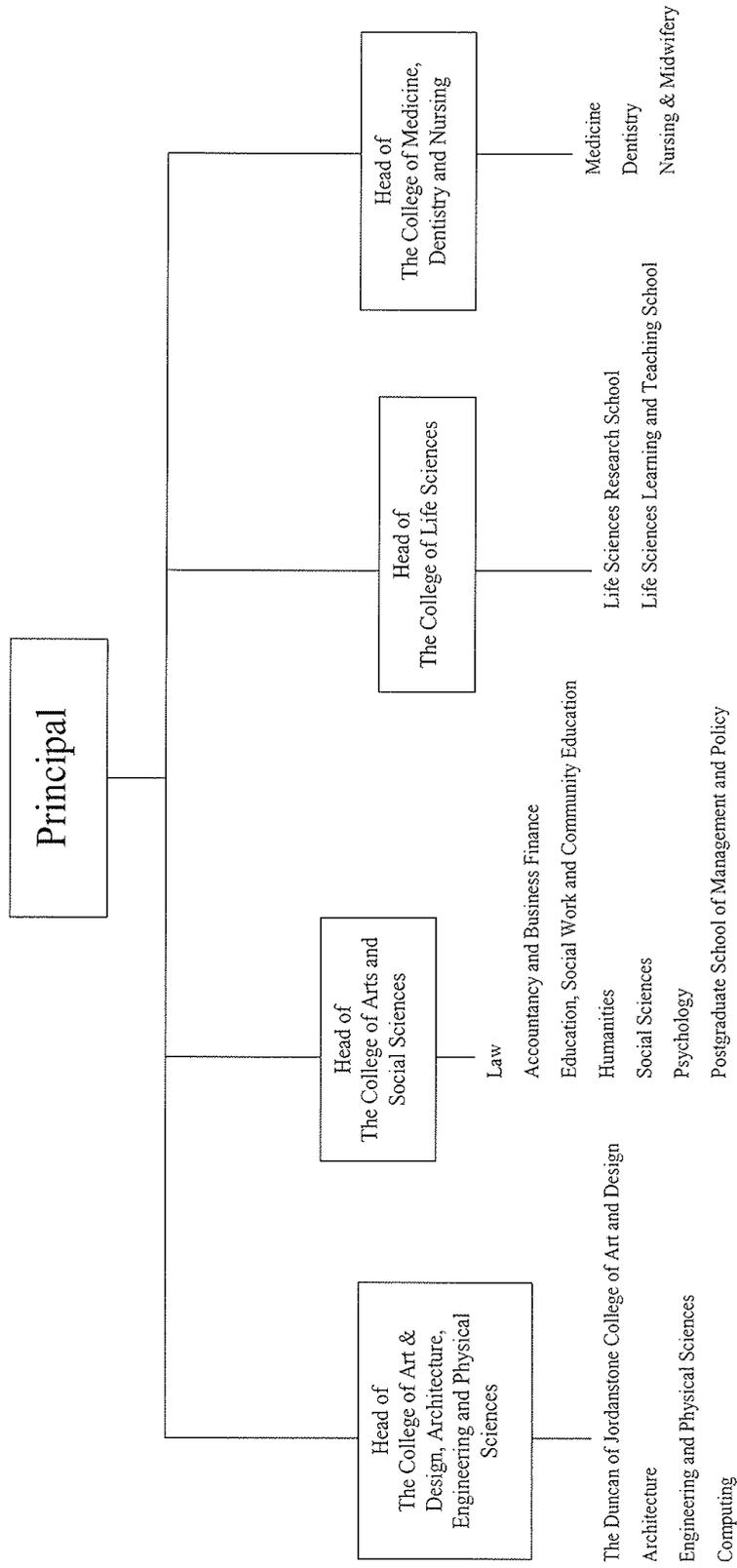
UNIVERSITY OF DUNDEE SAFETY ORGANISATION

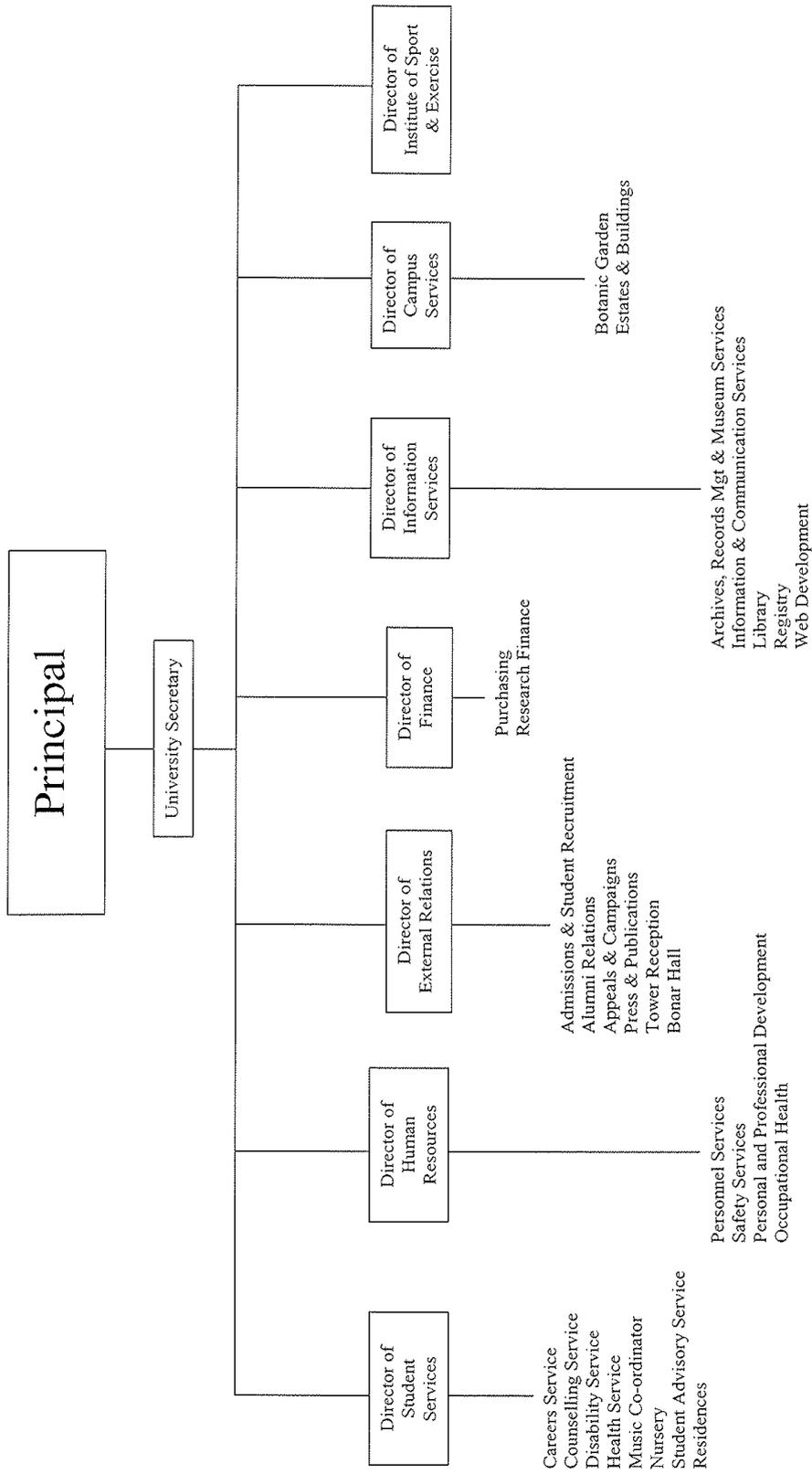


Key: Shading indicates level of accountability
 HSA: Health and Safety Adviser, RPA: Radiation Protection Adviser, FSA: Fire Safety Adviser, HWM: Hazardous Waste Manager, USC: Unit Safety Co-ordinator,
 BSA: Biological Safety Adviser, FM/FW: Fire Marshal/Warden, RPS: Radiation Protection Supervisor, LSS: Laser Safety Supervisor

HEALTH AND SAFETY MANAGEMENT REPORTING LINES







COMMITTEE STRUCTURE

1. UNIVERSITY COURT

1.1 Membership

Chancellor and his/her Assessor
 Principal
 Rector and his/her Assessor
 President of the Students' Association
 Lord Provost of Dundee City Council or his nominee
 2 representatives of the Graduates Council
 7 co-opted lay members
 4 staff elected from among the members of the Senatus
 2 members of the Academic Council elected by the Council
 a member of non-academic staff elected by the non-academic staff

1.2 Responsibilities

The University Court is the governing body of the University and its powers and functions are set out in the University Statutes. It has particular responsibility for the employment of staff and the management and administration of property and finance. Through its Committee structure and appointed officers the Court manages health and safety by approving policy, providing visible and active leadership, developing plans and ensuring adequate resource to meet health and safety objectives, and reviewing progress toward their achievement.

2. HUMAN RESOURCES COMMITTEE

2.1 Membership

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

2.2 Terms of Reference (with regard to health and safety matters)

1. to maintain and review a human resources strategy for the University in support of the institution's wider objectives and to promote staff welfare;
2. to monitor and review all health and safety arrangements within the University affecting staff, students and visitors and to advise the Court on statutory and other requirements relating to its responsibilities for health and safety;
3. to sponsor programmes of action in support of the policy;
4. to oversee the staff consultative process with the recognised trades unions and to advise the Court accordingly.

3. HEALTH AND SAFETY SUB-COMMITTEE

3.1 Membership

University Secretary
 Heads of College or their nominees
 Director of Human Resources
 Amicus Safety Representatives
 Unison Safety Representatives
 DUCU Safety Representatives

Officers normally in attendance

DUSA president or nominee
 Director of Estates
 Director of Student Services
 Head of Safety Services
 Health and Safety Adviser
 Other officers at the discretion of Head of Safety Services

3.2 Remit

1. report to Human Resources Committee on measures being taken to ensure compliance with health and safety legislation;
2. formulate and approve safety policy arrangements;
3. revise safety policy arrangements after review of reports from Colleges and Support Services Committees, from specialist sub-committees, Enforcing Authorities, Safety Representatives, and accident, incident and notifiable disease statistics and trends;
4. advise on training needs and approve training programme;
5. approve audit programme to monitor performance, and review audit reports;
6. meet at least once a semester.

4. COLLEGE BOARDS/DIRECTORS' GROUP

4.1 Membership

As defined by College Board Regulations: Directors of Support Services.

Separately minuted standing item on College Board/Directors Meeting.
 School/Directorate Safety Representatives in attendance.

4.2 Remit

1. report to Health and Safety and Sub-Committee on measures being taken by College/Support Services to implement University Safety Policy Arrangements;
2. ensure co-ordination between Schools/Directorates on health and safety issues;
3. Ensure best practice is shared and adopted by Schools/Directorates;
4. Identify health and safety objectives, develop plans to meet them and review progress to their achievement;
5. Comment upon draft safety policy arrangements formulated by OH and Safety Services.

5. SCHOOL BOARDS/DIRECTORATE MANAGEMENT TEAM

5.1 Membership

As defined by School Board Regulations: head of unit and senior managers in support services directorate.

Separately minuted standing item on School Board/Directorate Meeting.

5.2 Remit

1. report to Health, Safety and Welfare Committee on measures being taken by Unit to implement University Safety Policy Arrangements;
2. ensure co-ordination between Units on health and safety issues;
3. ensure best practice is shared and adopted by Units;
4. identify health and safety objectives, develop plans to meet them and review progress to their achievement;
5. comment upon draft safety policy arrangements formulated by OH and Safety Services.

6. UNIT SAFETY COMMITTEES (where appropriate)

6.1 Membership

Low risk Units e.g. office based activities

Head of Unit
Heads of Group
Unit Safety Co-ordinator

Standing item on staff meeting

High risk Units e.g. laboratory and workshop based activities

Head of Unit
Heads of a Group
Safety Co-ordinator
Biological Safety Adviser if appointed
Radiation Protection Supervisor if appointed
Laser Protection Officer if appointed
Fire Marshal
Technical representative
Student representative

6.2 Remit

1. report to School/Directorate Safety Committee on measures being taken to implement University Safety Policy Arrangements;
2. monitor implementation of University Safety Policy Arrangements through formal inspections, day to day checks, concerns raised and accident/incident investigations;
3. review and give advice on local rules to implement University Safety Policy Arrangements
4. review training needs;
5. comment upon draft safety policy arrangements formulated by OH and Safety Services.

7. GENETIC MODIFICATION AND BIOLOGICAL SAFETY COMMITTEES

Ninewells Medical School and City Campus Committees7.1 **Membership**

Head of Safety Services
BSA
Student Representatives
Technical Representative

7.2 **Remit**

1. report to Health and Safety Sub-committee on risks posed to people and the environment by biological hazards created by the undertakings of the University, and the safety measures adopted to control these risks to an acceptable level
2. formulate, develop and revise biological safety policy arrangements
3. monitor the implementation of safety measures to control biological hazards within all Units
4. oversee the training requirements to control biological hazards within all Units and monitor the effectiveness of training programmes
5. review accident/incident reports involving biological hazards and amend safety measures if required
6. review risk assessments
7. give authorisation for work involving genetically modified organisms to proceed after consideration of:
 - (a) risk assessment
 - (b) laboratory facilities
 - (c) staff and student training and supervision
 - (d) local rules
 - (e) arrangements for testing control measures such as microbiological safety cabinets and autoclaves
 - (f) statutory notification and consent requirements
8. assess and monitor the provision of occupational health for University employees exposed to biological hazards
9. provide advice on safety implications of biological research within the University

8. RADIATION SAFETY COMMITTEE

8.1 **Membership**

University RPA
University Radiation Safety Technician
TUHT RPA
Radiation Protection Supervisors

8.2 **Remit**

1. report to Health and Safety and Sub-committee on risks posed to people and the environment by ionising and non-ionising radiation created by the undertakings of the University, and the safety measures adopted to control these risks to an acceptable level
2. formulate, develop and revise radiation safety policy arrangements
3. monitor the implementation of safety measures to control ionising and non-ionising radiation risks

4. oversee the training requirements to control ionising and non-ionising radiation and monitor the effectiveness of training programmes
5. review accident/incident reports involving ionising and non-ionising radiation and amend safety measures if required
6. review risk assessments
7. give authorisation for work involving ionising and non-ionising radiation to proceed after consideration of:
 - (a) risk assessment
 - (b) laboratory facilities
 - (c) staff and student training and supervision
 - (d) local rules
 - (e) statutory notification and consent requirements
8. assess and monitor the provision of occupational health for University employees exposed to ionising and non-ionising radiation

SAFETY POLICY ARRANGEMENTS

<u>Number</u>	<u>Name</u>
1/2002	Accident/Incident Reporting and Investigation
2/2002	Asbestos
3/2002	Electricity
4/2002	Emergency Procedures
6/2002	First Aid
7/2002	Induction Health and Safety Training
8/2002	Lone Working and Out of Hours Working
9/2002	Manual Handling
10/2002	Reporting Health and Safety Concerns and Follow-up
11/2002	Risk Assessment
12/2002	Slips Trips and Falls
14/2002	Display Screen Equipment
16/2002	Latex Allergy
18/2002	Gas Safety
19/2002	COSHH
20/2002	University Smoking Policy
21/2003	Autoclaves
22/2003	Unit Health & Safety Policy
23/2003	Staff Health and Safety Handbook
25/2003	Controlling Contractors
26/2003	Personal Protective Equipment
27/2003	Traffic
28/2004	Annual Health & Safety Reporting
29/2004	Occupational Health Policy
30/2005	Stress
32/2006	Children
33/2007	Work Equipment