

**UNIVERSITY OF DUNDEE****UNIVERSITY COURT**

A meeting of the University Court was held on 22 October 2007.

Present: Mr JR Milligan (in the Chair), Principal Sir Alan Langlands, Professor RJ Abboud, Mr M Arnott, Ms CA Bain, Mr WI Ball, Mr MPF Bogunovic (President of the Students' Association), Professor A Burchell, Mr R Burns, Dr JR Elliott, Mr BWM Johnston, Dr J Lowe, Ms A Newton, Mr IDM Wright.

In Attendance: Vice-Principals Professor DH Boxer and Professor J Calderhead, Secretary, Director and Deputy Director of Finance, Director of Information Services & Deputy Secretary, Director of Strategic Planning, Director of the Careers Service (Items 6-9), Mr R Isles and Clerk to Court.

The Chairman welcomed the new Director of Finance, Mr Robert Kennedy, to his first Court meeting.

**1. MINUTES**

**The Court decided:** to approve the minutes of the meetings on 11 June 2007 and 3 September 2007.

**2. MATTERS ARISING**Termination of Studies (Minute 56(2))

**The Court decided:** to note that, in light of the decision by the student concerned to decline a review by Court of a decision of the Termination of Studies (Appeals) Committee of Senate under the terms of Statute 9(5)(b), the *ad hoc* Committee composed for this purpose at the Court's meetings on 23 April and 11 June 2007 had been dissolved.

**3. CHAIRMAN'S BUSINESS**Clinical Pharmacology Trust

**The Court decided:** to homologate the Chairman's decision to extend the appointment of Professor Richard Olver as Trustee to 31 December 2007.

#### 4. PRINCIPAL'S REPORT

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

In presenting his report, the Principal highlighted the uncertainty remaining for the Higher Education sector in Scotland following the announcements in the Chancellor of the Exchequer's Comprehensive Spending Review. The details of its impact on public sector funding in Scotland would likely emerge in mid-November.

Other items of note were: the successful relocation of the School of Education, Social Work & Community Education to the City Campus; the renewal of the Life Sciences 4-year Wellcome Trust PhD programme and the award of a new Wellcome Trust Clinical PhD programme in the Medical School; the award of Wellcome Trust Centre status to the Division of Gene Regulation & Expression; the election of Professor Alan Vardy as a Fellow of the Royal Academy of Engineering; and the installation of the Rector on 26 September 2007.

Mr Wright held the view that high profile University events, such as the welcome for new students and the rectorial installation, were an opportunity for those connected with the University to be positive about its achievements. It was, he said, unfortunate that this view was not held by all; it was the Court itself which was the appropriate forum for criticism and debate.

In discussion, Mr Johnston brought to members' attention that if one excluded exceptional, non-core costs (such as Voluntary Severance costs, depreciation and interest payments) from the financial accounts then the underlying operational deficit projected for 2007/8 would show a significant improvement on the position for 2006/7. Whilst it was still the case that the University's expenditure was greater than its income, it was possible to see real improvements in the underlying financial position despite the forecast operational deficit for 2007/8.

#### 5. FINANCIAL PLANNING

##### (1) Finance & Policy Committee

The Court received the reports of the meetings of the Committee on 28 August (**Appendix 2**) and 8 October 2007 (**Appendix 3**).

The Director of Finance presented the case for the Option to Tax the TMRC building. The move, which would require the University to add VAT to any rent charged for use of the building, would allow the University to recover VAT on the construction costs. Because TMRI Ltd, the prospective tenant, was VAT registered, it would be able to recover VAT paid in rental charges. At this point, Ms Newton declared an interest, since she was acting in a professional capacity for TMRI Ltd.

The Director of Finance reported that the University had begun internal discussion on the implementation of the salary sacrifice scheme. The Court had approved entering into the supplemental deed of accession with the Universities Superannuation Scheme at its meeting on 3 September 2007. The Director also brought to Court's attention that the Committee had received reports on capital overspends of more than £250k on three projects (MSI Levels 2&3, New Teaching Block and Extension to the Institute of Sport and Exercise).

The Court was informed that the Dundee Student Villages (DSV) Board was considering proposals for addressing the operating difficulties being experienced by DSV in the face of strong competition in the student accommodation market. Members discussed at length the most appropriate mechanism for ensuring that the Court was happy with the proposals being considered by the DSV Board. In the University's view, all partners in the vehicle were as committed to its success as the University. The Principal made clear that whilst it was prudent for the University to make sure that it was comfortable with the proposals being considered by the DSV Board, the DSV Board as a whole must retain primary responsibility for ensuring the success of the vehicle.

- The Court decided:**
- (i) to approve the recommendation to Opt to Tax the TMRC building;
  - (ii) to set up a sub-group, consisting of Professor Abboud, Mr Bogunovic, Mr Wright, Ms Newton, Mr Sanderson, the Secretary and the Director of Finance, to examine proposals being considered by the DSV Board;
  - (iii) otherwise, to approve the report.

(2) Sustainability Review Follow-Up

The Court received a paper outlining the progress made to date against the recommendations contained in the sustainability review report, approved by Court at its meeting on 19 February 2007.

It was reported that applications were still coming forward for voluntary severance and that the scheme had been extended to 31 October 2007. There were a large number of applications still to be considered by the Senior Management Team, and it was hoped that these would be processed by the end of November. It was still too early to say whether the scheme would fully meet the staff savings targets set in the review. The savings achieved by the scheme would assist the University in reaching a break even position. However, it was likely that additional savings and income would be needed to provide a sustainable operating surplus. The Court asked what action was being taken to address this. The Principal assured the Court that

discussions were ongoing at a senior level on this matter. The Principal reported that organisational and business process reviews were being carried out in some areas of the University, and it was to be expected that these would lead to targeted savings and efficiencies. There was a lot of work going on throughout the institution, which was being led by the Senior Management Team. The Principal also noted that there was uncertainty around future funding levels as the University awaited the outcomes for Scotland of the spending review and that he hoped to be able to report back to Court at its December meeting. It was noted that in the short term a key focus was the completion of the University's submission for the Research Assessment Exercise, whose deadline was 30 November 2007 (Item 12 refers).

#### 6. UNIVERSITY OF DUNDEE BOTANIC GARDEN

The Court received the final report of the Botanic Garden Working Group, which had been chaired by Professor Peter Gregory, the Chief Executive of the Scottish Crop Research Institute. The Court was invited to approve recommendations that the University should retain the Botanic Garden, that it should define clearly the recurrent financial contribution it is prepared to make, that it revise the governance arrangements for the Garden, and that it should work with other interested parties to reduce costs and generate additional income. The Court discussed the merits of establishing a trust or other such vehicle to manage the Garden. In implementing the Business Plan's recommendations, the University would consider the suggestions of the Court. Given that one of the recommendations was for the University to define its recurrent contribution at a level of around £75-£100k, the Court wondered how the remaining savings (of around £100k), outlined in the sustainability review for the Botanic Garden, would be achieved. The Secretary responded that these would be found elsewhere within Estates & Buildings, partly through restructuring.

**The Court decided:** to approve that:

- (a) the University retain the Botanic Garden;
- (b) the University fix its recurrent annual funding for the Garden at approximately £75k;
- (c) the University work with interested parties and officers to improve the income and reduce the costs of the Botanic Garden;
- (d) the University establish an advisory or steering group involving other parties interested in the running of the Botanic Garden.

## 7. ESTATE MANAGEMENT IN HIGHER EDUCATION

The Secretary drew Court members' attention to a document summarising the results of a report by Audit Scotland into higher education estate management. The report's findings highlighted the need for a planned and affordable maintenance schedule and for more intensive use of space, both of which were consistent with the main strands of the University of Dundee's estate strategy. The strategy was currently being revised in line with recent guidance issued by the Funding Council, and a draft version of the document would be submitted to the Campus Services Committee at its next meeting on Tuesday 13 November 2007.

## 8. SCOTTISH FUNDING COUNCIL DOCUMENTS

### (1) Consultation: the report of the Joint Quality Review Group (SFC/04/2007C)

Professor Calderhead explained that, following completion of one cycle of the Enhancement-Led Institutional Reviews (introduced as a quadrennial quality assurance review mechanism), the Scottish Funding Council (SFC) had commissioned a Joint Quality Review Group, chaired by the President of the National Union of Students in Scotland, to review quality assurance arrangements in both higher and further education. The Group's report had identified three key principles, namely high quality learning, student engagement and quality culture. It also recommended that quality processes should continue to be 'institution-led', with an ongoing role for the Quality Assurance Agency in providing feedback to universities and other shareholders on the quality of provision, but proposed that Universities should provide annual reports endorsed by their governing body on the oversight of quality in learning and teaching and on plans for improvement. The SFC was now seeking views on the proposals.

In discussion it was clear that some members were concerned at what appeared to be incipient external control of an independent academic institution. The involvement of the Court in endorsing quality assurance arrangements was felt by some to risk undermining the distinction between the roles of the Court and the Senatus.

The Secretary proposed that officers would draft a response to the consultation document for circulation to Court members for comment, before its presentation to the Senatus at its meeting on 5 December 2007.

**The Court decided:** to agree that the Senatus approve the University's consultation response for submission to the SFC.

(2) Monitoring, evaluation and accountability (MEA) consultation update (SFC/48/2007)

The Secretary reported on a recent SFC consultation, the results of which showed that most universities would like the SFC i) to go further in reducing the workload associated with monitoring, evaluation and accountability, ii) to undertake data information collection more efficiently, and iii) to make more use of data submitted to the Higher Education Statistics Agency. The SFC was considering the responses from institutions and would be publishing revised arrangements following a meeting in January 2008.

9. **SURVEYS AND OTHER STUDENT ISSUES**

(1) Retention Strategy

Professor Calderhead presented a paper from the Senatus, approved by the Senatus's Learning & Teaching Committee, which set out a strategy for improving the University's retention figures. In recent published retention rates, the University had experienced a significant drop, although there were a number of internal factors which had contributed to the figures appearing worse than was actually the case, and these were being addressed to ensure they did not play a role in the future. It was noted that there were areas in the University where retention was a serious problem. The strategy laid out a comprehensive series of measures aimed at addressing retention issues from pre-arrival and induction of new students to study skills, family support and staff development. Court members noted that the issue was linked with the weaker elements highlighted in the National Student Survey (Item 9(2) refers), such as assessment and feedback. The Court encouraged the University to ensure that students and applicants had confidence from the outset in the University's desire to see them succeed. Mr Bogunovic emphasised the need for a robust personal tutoring system throughout the institution.

(2) National Student Survey & International Student Barometer

The Court received a report detailing the University's performance in two surveys of student opinion. The University had participated in the National Student Survey (NSS) for the first time in 2006/7. The survey canvassed the opinion of the 2007 graduating class on 22 questions across seven categories: teaching quality, assessment and feedback, academic support, organisation and management, learning resources, personal development, and overall satisfaction. Overall, the University achieved a 60% response rate. As the results of the survey would be accessible to students and applicants through the Unistats website ([www.unistats.com](http://www.unistats.com)), they would feed into most league tables, but they also provided useful direct feedback which Schools and Colleges were now digesting. Each School had been asked to provide a response to their own feedback. In terms of overall satisfaction the University had performed very well when compared

with other institutions, not only in Scotland but across the UK. The weakest area for the University was in the assessment of students' work and in providing feedback, but it was made clear that this was a problem felt across the sector. Nevertheless, the University was taking steps actively to address this issue.

The Court also received a report on feedback from international students, gathered using the International Student Barometer, administered by I-Graduate. This report showed that, in general, international students had a high level of satisfaction in the teaching and resources provided by the University of Dundee, and a high proportion of international students would encourage others to apply to Dundee.

(3) League Tables

The Court received a paper that explained the University's position in, and the methodology of, a number of league tables appearing in newspapers and elsewhere. The paper also showed a comparison with other institutions. One of the problems associated with league tables was that there was no agreed and consistent methodology for their compilation across the sector. This had led to Dundee's variable positioning in the tables. It was noted that now that the tables no longer used teaching quality scores, in which Dundee had performed particularly well, Dundee's position had been adversely affected.

The Court discussed the impact of the league tables on recruitment. The Principal confirmed that there was reliable anecdotal evidence that the league tables did affect international recruitment. There was also some impact on domestic recruitment as well as on prospective employers.

(4) Employability

The Director of the Careers Service presented a paper detailing the work of the service and its role in improving the employability of the University's graduates. He also explained the results of the Destination of Leavers from Higher Education survey administered by the Higher Education Statistics Agency (HESA). The University was leading the sector in providing web-based personal developing planning (PDP), which allowed students to reflect on and record their achievements, aspirations and goals. The Careers Service was also engaged in providing credit-bearing modules on career planning and internship, which studies had shown increased the likelihood of gaining a 'graduate track' job by as much as 32%. These modules were open to all students in level 2 where degree pathways allowed. The service also organised a number of careers fairs, both general and discipline specific.

The HESA data showed that, for 2005/6, 80% of the University's graduates went on to find employment within six months of leaving the institutions, with an additional 14% going into further study.

These figures had led to Dundee ranking 19<sup>th</sup> in the UK in the Good University Guide for employability.

The Director reported that whilst it was not presented here, information was available on the proportion of students entering graduate level employment. The Court commented that this information was critically important.

#### 10. **ENTRANT MATRICULATION FIGURES**

The Court noted figures compiled by the Registry giving the student intake at undergraduate and taught postgraduate levels, split into home/EU and overseas categories. The Court noted the measures that were being taken to address the shortfall in international recruitment, and which the Court had discussed at its retreat on 3 September 2007.

#### 11. **TMRC AND CRC**

The Director of Strategic Planning provided Court members with a brief update on progress with the Clinical Research Centre (CRC) and the Translational Medicine Research Centre (TMRC). For the former, he outlined the position in relation to the acquisition of MRI and PET/CT scanners, and for the latter he discussed the progress of the build and reported on the research projects that had been approved as part of the collaboration.

#### 12. **RESEARCH ASSESSMENT EXERCISE 2008**

Professor Boxer, Vice-Principal (Research & Enterprise), presented a report which explained the progress on the University's submission for the Research Assessment Exercise 2008. With the submission date of 30 November 2007 approaching, there was currently a lot of activity in finalising the submissions of the individual units of assessment. A handful of decisions on the inclusion of staff in the exercise were still outstanding, but these were expected to be resolved by the end of October. The number of staff being returned in the exercise had increased since 2001, with the University expecting to return around 500 staff in the exercise, compared with 430 in 2001. In his opinion, there had been a substantial increase since 2001 in the quality of research being submitted. This time there were separate submissions for Nursing and Architecture, and there were larger submissions for Medicine, Dentistry, Psychology, Geography and Accountancy. It was impossible to predict both the outcome of the exercise and the impact this would have on the University's core research funding, but Professor Boxer was confident that the University was making a very good submission.

One Court member raised concerns about the application of the University's equality and diversity policy in the staff selection process. Professor Boxer would look into the case in question, but Court made clear that such issues were not a matter for discussion at Court. The Senatus was the correct forum for debate of this kind.

### 13. COMMITTEE MEMBERSHIP

#### (1) Nominations Committee

The Court received a report from the meeting of the Committee on 3 September 2007 (**Appendix 4**).

- The Court decided:**
- (i) to approve the report and its recommendations regarding the membership of Court Committees for 2007/8;
  - (ii) to ask the Clerk to Court to provide an analysis by Court member of committee membership for 2007/8.

#### (2) Audit Committee

**The Court decided:** to homologate the Chairman's approval of Dr Marriage's full membership of the Audit Committee for its meeting on 3 December 2007 to avoid iniquity, such a decision being in line with the recommendations of the Nominations Committee (Item 13(1) above refers).

#### (3) Local Joint Committee – University/University and College Union (DUCU)

**The Court decided:** to approve the continued nomination of the Vice-Principal (Educational Development), the Secretary and the Director of Human Resources as the University representatives for meetings of the Local Joint Committee with DUCU, and to approve the nomination of the Vice-Principal (Research & Enterprise) and Professors AH Anderson and CP Downes, Heads of the Colleges of Art, Science & Engineering and Life Sciences respectively, as alternates.

### 14. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senate on 10 October 2007 (**Appendix 5**).

- The Court decided:**
- (i) subject to ratification at the Court's next meeting in accordance with the procedure prescribed in the Charter, to approve amendments to Ordinance 40 as follows:
    - (a) that 'The President of the Dundee University Students' Association

(DUSA)' be added to the list of authorised officers at paragraph 2(2);

(b) that a final sentence be added to paragraph 6(1): 'The delegated power to the DUSA President to apply any penalty only applies where he/she is acting as part of a Disciplinary Panel and does not extend to a power to act alone';

(ii) to approve the recommendations concerning conferment of the title of Professor Emeritus;

(iii) otherwise, to note the report.

## 15. COMMITTEE REPORTS

The Court received reports from the following:

Campus Services Committee	28 September 2007	(Appendix 6)
Audit Committee	3 October 2007	(Appendix 7)
Human Resources Committee	9 October 2007	(Appendix 8)

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

## 16. DISCLOSURE SCOTLAND CHECKS FOR GOVERNING BODY MEMBERS

Under the provision of the Protection of Children (Scotland) Act 2003, the members of governing bodies of children's charities, of which the University was deemed to be one, were required to undergo Disclosure Scotland checks. Members would receive documentation explaining how the process was to be completed over the next two months.

**The Court decided:** to note the requirement and await receipt of the documentation.

## 17. ENVIRONMENTAL TASK GROUP

The Secretary reported that the University had set up an Environmental Task Group under the co-convenership of Professor Colin Reid and himself. The Group would work to improve the University's green credentials in four areas in particular: i) waste management and recycling, ii) energy and utilities usage, iii) green travel, and iv) fair trade.

18. **STATUTE 16 – ACADEMIC STAFF – DISCIPLINE, DISMISSAL AND REMOVAL FROM OFFICE**

The Secretary informed the Court that the Principal had decided that a charge should be preferred against an unnamed member of staff and that it should be considered by a Tribunal to be appointed by the Court under paragraph 16 of Statute 16.

**The Court decided:** to delegate to the Secretary the authority, on behalf of the Court, to appoint the members of such a Tribunal, which, in accordance with Statute 16, would comprise a Chairperson, one member of Court (not being a person employed by the University), and one member of the academic staff nominated by the Senatus.

19. **PENSION CONTRIBUTIONS BEYOND 40 YEARS' SERVICE**

In light of a grievance raised by a now retired member of staff, the Secretary invited the Court to reconsider its decision of 12 June 2006 to approve a recommendation from the Finance & Policy Committee, endorsed by the Human Resources Committee, that employer contributions to USS should not be paid beyond 40 years.

**The Court decided:** to decline to reverse its earlier decision.

## APPENDIX 1

### PRINCIPAL'S REPORT (Minute 4)

#### Finance and Policy

Subject to audit, the 2006/7 financial accounts will record a modest bottom line surplus of £300k. This masks a £6m operating deficit (including expenditure of £1.2m on the voluntary severance scheme) and a £7m gain on disposals as a result of land and property sales. Borrowings were well within pre-agreed limits at £15m.

The budgeted operating deficit for 2007/8 is currently projected at £6.8m with a predicted £6.4m gain on disposals. These figures are already under pressure as a result of difficulties with some aspects of student recruitment and a consequent drop in tuition fees. The aim is to move towards a 'break-even' operating position in 2008/9 and 2009/10 largely by implementing the recommendations of the sustainability review. Good progress is being made in implementing the sustainability review both in relation to specific disciplines and the voluntary severance scheme. To date (15 October) 61 voluntary severance applications have been approved at a cost of £2m with recurrent savings (at 2007/8 prices) of £2.1m per annum. The deadline for formal applications to the VSS scheme has been extended until 31 October 2007.

The financial context for the period 2008-2011 remains uncertain and in the coming weeks and months we will be tracking the outcome of the Comprehensive Spending Review (October/November 2007), the Research Assessment Exercise (Autumn 2008), national pay negotiations (Spring 2008) and Scottish Funding Council research allocation policies (January – March 2008). It is too early to interpret the Chancellor of the Exchequer's statement on the Comprehensive Spending Review but it is reasonable to assume a reduction in real terms growth in the University sector. The medium and long term policy for higher education and funding in Scotland also remains uncertain. The University's plan to achieve a 3% surplus of income over expenditure will therefore require further action to reduce costs and increase income and this will be a topic for discussion and negotiation in the University community during the second half of this academic year.

#### Learning and Teaching

The School of Education, Social Work and community Education has relocated to the main campus to refurbished accommodation in OMS/Carnelley and the OTI – the new teaching facilities at Heathfield have also been opened and further improvements have been made to postgraduate study facilities.

The National Student Survey Results – with Dundee participating for the first time – have been published. The levels of student satisfaction in the University are above the sector average for all aspects of the survey except for issues relating to the clarity and fairness of assessment and student feedback. The results of the International Student Barometer also indicate high levels of student satisfaction in the University as detailed in Paper J. A full report has been circulated to College Heads and Deans for detailed discussion and action.

Dundee projects were well represented in the Awards Ceremony of the Association for Learning Technology where Hannah Whaley won the Learning Technologist of the Year award.

SFC consultation on new arrangements for quality assurance and enhancement in Scotland's colleges and universities is now underway. The consultation report of the Joint Quality Review Group is available at [www.sfc.ac.uk](http://www.sfc.ac.uk), reference SFC/04/2007C. This issue will also be discussed by Court in Paper G.

20 Chancellor's Scholarships of £1k per annum for three years, have been awarded to new students from throughout the UK who demonstrate outstanding achievement.

Medical students and staff have established a new programme of four-month placements for fifth year students in Malawi contributing to medical care in Kamuzu Central Hospital.

## Research and Enterprise

Preparations for the RAE are well advanced as can be seen in detail in Paper O. A very small number of staff selection decisions have still to be taken and emphasis now is focused on refining the narrative RA5 submissions. Data collection is at the final refinement stage in most Units of Assessment. The University will return about 15% more staff for RAE 2008 than for the 2001 exercise. However, this promises to be the most competitive RAE to date. Across the University, we are concentrating our efforts on presenting our research portfolio in a straightforward manner that reflects our true strengths.

In the College of Life Sciences, the Division of Gene Regulation and Expression has been awarded Wellcome Trust Centre Status (£4.1m) and the drug discovery programme has been awarded additional infrastructure funds in excess of £1m.

Professor Bob Steele has been appointed Director of the National Screening Programme for bowel cancer – covering all people aged 50 to 74 in Scotland. The Programme aims to reduce the death rate of this common disease by c20%. The National Screening Centre has opened at King's Cross Hospital in Dundee and Professor Steele and his group have been awarded a major programme grant by the CSO to establish a University Screening Research Centre.

At a time when the University is aiming to strengthen its postgraduate research and postdoctoral communities, the College of Life Sciences has renewed its prestigious Wellcome Trust 4 year PhD programme and the Medical School working in partnership with the College of Life Sciences has been awarded a new Wellcome Trust Clinical PhD programme.

Vicki Hanson, one of the world's leading researchers on computing technologies for older and disabled people, has been awarded a prestigious Leverhulme Trust grant to become a Visiting Professor at the School of Computing. Professor Hanson is manager of Accessibility Research at IBM's T.J. Watson Research Center in Hawthorne, New York.

## Awards

Professor Eric Wright won the Weiss Medal and presented the Weiss Medal lecture at the International Congress of Radiation Research in San Francisco.

Professor Alan Vardy has been elected as a Fellow of the Royal Academy of Engineering, the highest honour accorded to British engineers.

Dr Miles Witham has been awarded the prestigious Scottish Clinical Scientist Award for 2007 from the Chief Scientist Office of the Scottish Government.

Dr Andrei Nikolaev of the College of Life Sciences has been named the winner of the 2006 Royal Society of Chemistry Award in Carbohydrate Chemistry.

Professor Kirsty Gunn has been awarded the Sundial Scottish Arts Council Book of the year 2007 fiction award for 'The Boy and the Sea'.

## Events

The Rector, Craig Murray was installed on Wednesday 26 September 2007.

Professor Richard Wiseman gave the Drever Lecture, organised by the School of Psychology, to a packed audience of 350 students and staff on Tuesday 2 October 2007.

The Dundee Masters Show – showcasing the work of postgraduate students at Duncan of Jordanstone - was held in September.

Successful alumni events have been held in the Schools of Law, Medicine and Dentistry to celebrate the 40<sup>th</sup> Anniversary of the University.

The Discovery Days 2008 welcoming up to 30 new professors will be held on 10 and 11 January 2008.

Alan Langlands  
Principal & Vice Chancellor

## APPENDIX 2

### FINANCE & POLICY COMMITTEE (Minute 5(1))

A meeting of the Committee was held on 28 August 2007.

**Present:** Mr BWM Johnston (Convener), Principal Sir Alan Langlands, Professor DH Boxer, Professor A Burchell, Dr H Marriage, Mr EF Sanderson.

**In Attendance:** Mr R Burns, Secretary, Acting Director of Finance, Director of Information Services & Deputy Secretary, Director of Strategic Planning, Associate Director of Finance, Director of Admissions & Student Recruitment (for Item 4), Mr C McNally (for Item 3) and Clerk to Court.

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting on 21 May 2007, subject to the insertion of the decision taken at that meeting to invite the President of the Students' Association to attend future meetings of the Committee.

#### 2. MATTERS ARISING

##### (1) Borrowing (Minute 3)

The Acting Director of Finance reported that the loan documentation for both the construction of the TMRC Research Laboratory and £9m overdraft facility had been signed. The Committee heard that while the year-end borrowing position was less than had been forecast, mainly as a result of working capital movements and slippage on capital works, borrowing to the levels provided for by the agreements was still anticipated during 2007/8.

In light of recent developments in global stock markets, the decision to postpone the cash injection through a ring-fenced loan into the University of Dundee Superannuation Scheme has proved to be timely.

##### (2) Budget 2007/8 (Minute 5)

The Committee received a paper from the Acting Director of Finance which confirmed that the high level budget presented to the Committee on 21 May 2007 was approved by Court on 11 June 2007. It was subsequently adjusted to reflect an additional £0.8m of fees income, devolution to the Colleges of certain budgets held by SASS directorates and revised assumptions relating to equipment capitalisation and the release of deferred income. However, the net effect of these adjustments is nil, with the deficit after disposals remaining at £0.8m.

Following the approval of voluntary severance applications before 31 July 2007, and thus their inclusion in the 2006/7 accounts, the Acting Director of Finance commented that the bottom line (after disposals) for 2007/8 was likely to be a modest surplus, rather than the deficit of £0.8m as laid out in the budget approved by Court in June. The FRS 17 adjustment for 2007/8 was likely to be similar to that for 2006/7, subject to any decision during the year to go ahead with the cash injection.

##### (3) Disability Equality Scheme (Minute 11)

The Committee received a paper from the Secretary which set out the responsibilities of the Committee in relation to the University's Disability Equality Scheme. A total budget of £294k (£112k from external grants and contracts) had been identified for disability equality initiatives for 2007/8. The paper set out a number of priority areas for 2007/8.

**Resolved:** to approve the contents of the paper.

### 3. MANAGEMENT ACCOUNTS AND CAPITAL PROGRAMME

#### (1) Management Accounts

The Acting Director of Finance presented management accounts for period 12. The overall position at this stage for 2006/7 was in line with that projected at period 11. The expected jump in expenditure during period 12 had been mainly due to: accounting for the additional costs of job evaluation in period 12; the approval of a number of voluntary severance packages in July; the deliberate scheduling of some maintenance work for July; and the accounting for two months of non-pay supplier expenditure in July (to change following the introduction of commitment accounting). Remaining uncertainties included: HERA costs, nursing clawback, irrecoverable Framework Agreement costs and construction cost overruns from Dundee Student Villages. It was expected that the University would achieve a modest surplus after disposals for 2006/7, though this was still subject to review by the external auditors.

The Committee discussed the suggestion that maintenance costs incurred in July should be accrued throughout the year, since these represented a high proportion of the cost of a full year's maintenance. It was agreed that the Acting Director of Finance and the new Director of Finance would consider this further and report back.

#### (2) Capital Programme

Mr C McNally, Capital Projects and Development Manager in Estates & Buildings, provided a progress report on expenditure on current projects. He made clear that the building boom being experienced in Dundee had led to contractors being highly selective as well as returning relatively high tenders. Projected additional costs of construction currently amounted to £1.22m and were concentrated in three specific projects. The Medical Sciences Institute (MSI) levels 2&3 had seen additional costs because of the age of the building and consequent health and safety issues. The New Teaching Block had seen increases because of amendments to the mechanical services scheme, which would however deliver reductions to future energy costs, and because of changes to the specification to the render as well as to the relocation costs of the School of Education, Social Work & Community Education. The extension to the Institute for Sport and Exercise (ISE) had experienced increases because of additional steelwork and underpinning. The Principal pointed out that when these overruns were set against the total capital expenditure, it was clear that Estates and Buildings had nevertheless performed extremely well.

- Resolved:**
- (i) to bring to the Court's attention that the following three projects had been reported to the Committee as a result of increases in excess of £250k as indicated, in accordance with Court's decision of 18 December 2006:
    - (a) MSI Levels 2&3: £250k
    - (b) New Teaching Block: £620k
    - (c) Extension to ISE: £350k
  - (ii) to ask that the Committee be provided with a list of projects that were complete, whether they were within budget and the proportion of external funding for each.

### 4. OVERSEAS RECRUITMENT AND STUDENT FEES

The Director of Admission & Student Recruitment introduced a paper which set out the position for student recruitment for 2007/8, in particular noting an anticipated shortfall in overseas undergraduate and taught postgraduate numbers. The paper also proposed a set of measures to improve overseas student recruitment. A number of causes were given for the shortfall in postgraduate taught applicants in particular. These were the increase in tuition fees (compounded by the strong pound), changes to the scholarship programme, the increase in entry requirements for English language and the introduction of a deposit scheme. It was hoped that this last cause would nevertheless mean a higher conversion of firm acceptances to full matriculations.

The potential effects of the shortfall in recruitment were being investigated by the Finance Office and College Accountants to ensure that the Colleges were identifying ways of mitigating any consequent shortfall in fee income. Precise figures for recruitment and fee income would only become clear once students had matriculated for the session towards the middle of September.

Measures that needed to be taken to improve the position for the next cycle for entry in 2008 were: working with Colleges and Schools to identify recruitment targets for individual programmes, online recruitment to postgraduate courses through UKPAS, the development of specialist strands within a general degree framework (e.g. the LLM in Law), the need for focussed articulation with overseas institutions and the review of the pricing and scholarship structure for overseas students.

#### 5. **YEAR-END TIMETABLE AND PROCESSES**

The Acting Director of Finance reported that changes to the timetable for the preparation of the year-end accounts and financial statements meant that the auditors would be involved three to four weeks earlier than usual. The University was therefore in a good position to present full and final accounts by the end of November.

#### 6. **RESIDENCES AND DUNDEE STUDENT VILLAGES**

The Committee welcomed a useful paper from the Associate Director of Finance which laid out in detail the situation relating to the University's residences and in particular to Dundee Student Villages (DSV). One of the main concerns was that cost overruns on the project, principally due to the increased cost of steel and delays leading to increased interest charges, would mean that around £1m would need to be written off to the Income and Expenditure account. It was to be remembered that the cost overruns were not due to the nature of the partnership at the heart of DSV but would have happened whoever was financing the project. The disposal of former residences, however, had created higher than projected receipts, the total now standing at £16m.

Additionally, there was concern of over-supply in the student housing market, and it was reported that the DSV board was actively considering a number of options to address this. The Committee made a number of helpful suggestions in this regard.

It was re-stated that the University was the funder of last resort for the residences vehicle.

#### 7. **VOLUNTARY SEVERANCE SCHEME**

The Acting Director of Finance presented a paper which provided a progress report on the projected effects of and response to the voluntary severance scheme. 33 applications had been approved to date, out of over 150 formal applications received, with a further 99 notes of interest which might still convert to formal applications. Extrapolating from the decisions taken by the Senior Management Team to date, it was possible that full-year savings could amount to £5.1m. Whilst this was promising, an evaluation on whether compulsory redundancy could be avoided would have to wait until the end of the scheme at the earliest.

The Principal made clear that the University would have to think carefully about the management of staff losses and redeployment. The University needed to identify permanent organisational solutions for running its operations more sustainably with fewer staff. The Convener was concerned that the Committee should continue to measure the achievement of the targets contained in the original sustainability review. The Committee was updated by the Secretary on developments in a number of named areas in the sustainability review: Town & Regional Planning, CALS, Social Work & Community Education and the Botanic Garden. Progress was being made on all fronts.

#### 8. **TMRI AND CRC UPDATE**

The Director of Strategic Planning provided the Committee with updates on both projects. NHS Tayside had provided £2.5m, alongside its original grant of £0.5m, for the CRC project, and work was continuing on identifying sources for the remaining shortfall. The construction of the building was proceeding to its anticipated November completion date. The donation of

£2.1m from Brian Souter would enable the University to purchase and operate an MRI scanner in the centre.

The TMRC project was also proceeding smoothly, with the building contract awarded and with construction planned for completion in October 2008.

9. **OPTION TO TAX THE TMRC BUILDING**

The Acting Director of Finance presented a paper which set out the case for Opting to Tax the TMRC building. The move, which would require the University to add VAT to any rent charged for use of the building, would allow the University to recover VAT on the construction costs. The Option to Tax would remain in place for 20 years. As the prospective tenant, TMRI Ltd, was VAT registered, it would be able to recover VAT paid in rental charges.

**Resolved:** to recommend to Court that it agree to Opt to Tax the TMRC building.

10. **DEED OF ACCESSION FOR THE IMPLEMENTATION OF A SALARY SACRIFICE SCHEME WITHIN THE UNIVERSITIES SUPERANNUATION SCHEME (USS)**

The Acting Director of Finance presented a paper setting out the steps requiring to be taken before implementation of a salary sacrifice scheme. Such a scheme had been one of the recommendations in the sustainability review, approved by Court on 19 February 2007, but in order to be able to put such a scheme in place, the University was required to conclude a supplemental deed of accession with the USS. The scheme would enable the University to reduce both employees' and employer's National Insurance contributions, thereby increasing the net salary of staff taking advantage of the scheme. The Committee was assured that the deed was a procedural matter, and that necessary further discussions with staff and the Unions would take place before the scheme itself was introduced.

**Resolved:** to recommend to Court that, at its business meeting on 3 September 2007, it approve entering into the Supplemental Deed of Accession with the Universities Superannuation Scheme.

11. **MERGER OF THE COLLEGES OF NURSING & MIDWIFERY AND UNIVERSITY OF DUNDEE SUPERANNUATION SCHEMES**

The Committee received a note of an Emergency Committee of Court meeting which had decided to approve the payment of £200k to allow the merger of the two superannuation schemes to proceed in accordance with Court's decision of September 2005. The Committee heard that the increase in the payment had been as a result of the necessary time taken to settle regulatory matters in relation to the merger.

12. **CAR PARKING CHARGES 2007/8**

The Committee received details of the car parking charges for 2007/8, which it had approved by correspondence and under delegated powers during July 2007.

**Resolved:** to homologate its resolution to approve the car parking charges for 2007/8.

13. **DIRECTOR OF FINANCE**

The Committee was informed that Mr Robert Kennedy would be taking up the post of Director of Finance from 1 October 2007, until which time Ms Blake would continue as Acting Director of Finance. The Committee recorded its thanks and appreciation to Ms Blake for her industry and commitment over the past eight months.

### APPENDIX 3

#### FINANCE & POLICY COMMITTEE (Minute 5(1))

A meeting of the Committee was held on 8 October 2007.

**Present:** Mr BWM Johnston (Convener), Principal Sir Alan Langlands, Mr JR Milligan, Mr EF Sanderson

**In Attendance:** Mr WI Ball, Mr MPF Bogunovic (President of the Students' Association), Mr R Burns, Mr IDM Wright, Secretary, Director of Finance, Deputy Director of Finance, Director of Strategic Planning and Clerk to Court

#### 1. MEMBERSHIP

The Convener welcomed Mr Ball, Mr Wright, Mr Bogunovic and the new Director of Finance, Mr Robert Kennedy, to their first meeting of the Committee. He also drew new and existing members' attention to the Committee's remit, terms of reference and delegated powers, in particular noting that it was not the Committee's role to decide on the allocation of the University's budgets to individual budget centres.

**Resolved:** to note the proposed new membership of the Committee, which would be considered by the Court at its meeting on 22 October 2007.

#### 2. MINUTES

**Resolved:** to approve the minutes of the meeting on 28 August 2007.

#### 3. MATTERS ARISING

##### 2006/7 Out-turn (Minute 5)

The Deputy Director of Finance presented draft financial statements for the year ended 31 July 2007. The statements showed that the operating deficit for 2006/7 was just under £6m. Mitigated by gains on disposals, the Group was showing a modest surplus of around £0.3m.

A revaluation of the University of Dundee Superannuation Scheme had, in common with schemes at other universities, produced an actuarial gain of over £6m in the statement of consolidated total recognised gains and losses. As a result the University's net pensions liability had dropped from over £19m to £12.2m.

The large figure of £23m in net current liabilities represented, amongst others, the expected costs emanating from the HERA job evaluation exercise, from the cost of voluntary severance and from exceptional leads in the payment of research grants.

There was some discussion on the lower level of depreciation despite the new buildings. This was explained by the fact that i) a number of the new buildings (residences) were not part of the University's stock and therefore did not feature in the accounts; ii) some buildings did not impact on the 2006/07 depreciation costs because of delays in completion; iii) depreciation now commenced from the beginning of the month following the asset being brought into use rather than providing for a full year's depreciation in the year it comes into use.

Asked how the Scottish Funding Council (SFC) viewed the University's current financial position, the Deputy Director of Finance reassured the Committee that the Council welcomed the steps the University was taking to address its financial position.

It was noted that the external auditors were investigating the mechanisms for consolidating the DSV results in the University's accounts.

**Resolved:** to note that a complete set of financial statements with notes and the convener's statement would be provided for the Committee's next meeting on 26 November 2007.

#### 4. MANAGEMENT ACCOUNTS – PERIOD 1

The Deputy Director of Finance presented management accounts for period 1 of the new financial year. It was still early in the year to identify trends with any certainty and many patterns of expenditure were not yet evident, but there was some early indications regarding staff costs and tuition fees. Decisions on voluntary severance taken since 1 August 2007 were now having a positive effect on budgets but there had been a drop in overseas taught postgraduate tuition fee income, in particular, in the Colleges of Art, Science & Engineering and Arts & Social Sciences. Additionally, the delay in the completion of the new facilities in the Institute of Sport and Exercise (ISE) would have a negative impact on its projected income. It was noted that a large part of the projected operating deficit for 2007/8 was attributable to interest charges and depreciation.

The Deputy Director of Finance explained changes to the layout of the capital expenditure report, which included an indication of those projects that were now operational as well as an indication of the building levy associated with individual projects.

The Committee once again urged caution on the question of the University's projected borrowing levels for 2007/8. The University was in constant dialogue with the banks, but was also looking at other sources of income, including opportunities for further disposals of assets.

Looking forward, the Principal shared his thoughts on the imminent announcement by the Chancellor of the Exchequer on the Comprehensive Spending Review. The Principal thought it likely that there would be little additional revenue, although there might be better news in relation to the provision of capital funding.

On the issue of tuition fees, it was noted that there was a need for improved fees projections during the budget-setting round. It was also noted that it was not yet clear whether the downturn in overseas taught postgraduate students was a feature of the Scottish market or whether it was related to the University's pricing structure, which was now being reviewed.

The Secretary reported that, following concerns from students on the pricing strategy for the facilities offered by the ISE, the University had proposed modifications, together with the introduction of monthly subscriptions.

The Committee briefly discussed whether the markets were now stable enough to reconsider the cash injection into the pension scheme. It concluded that the markets were still too volatile for such a move to be recommended.

#### 5. SUSTAINABILITY

##### (1) Sustainability Review

The Committee received a paper outlining the progress to date against the targets contained in the sustainability review, approved by Court at its meeting on 19 February 2007. It was noted that the University was broadly on schedule to meet the cost savings targets in the sustainability review, apart from the national insurance saving scheme, but because the financial deficit was actually larger than that on which the review was based, additional savings over and above those contained in the review were still necessary. Additional income generation had still to be achieved.

Mr Wright urged caution over the projected savings resulting from the introduction of the national insurance salary sacrifice scheme (pension plus). It was conceivable, he said, that the Government might end such a scheme, particularly if the numbers of organisations taking advantage of it became unsustainable. However, other members pointed out that, on a number of occasions, the Government had declined to take such a step. A number of UK universities had already taken up such a scheme or were considering doing so. It was noted that the local branch of the University and College Union had expressed reservations about the scheme.

The Principal pointed out that once the outcome of the Comprehensive Spending Review was known, as well as its effects on the funding priorities of the SFC, and once the likely effects of the Research Assessment Exercise were clearer, the University would be in a better position to be able to address the question of the

additional savings required to achieve a 3% recurrent surplus. The University was actively engaged on this issue.

(2) Voluntary Severance Scheme

The Committee received an updated paper on the impact of the voluntary severance scheme. The paper revised the projections contained in the paper presented to the Committee at its meeting on 28 August 2007. In particular, because of the way the consideration of applications to the scheme had been prioritised the expected conversion rate of those still to be considered was likely to be lower than previously thought. The projected full-year saving from posts lost under the scheme was now £3.5m. The Committee learnt that the Senior Management Team had decided to extend the scheme to the end of October 2007, and it was therefore expected that a final picture of the outcome of the scheme would be presented to the December Court meeting.

The Committee discussed the University's strategy for ensuring that, over time, posts lost under the scheme were not recreated. It heard that there was an effective system of staffing sub-committees for each College and for the Student and Academic Support Services, but that it was also clear that individual units needed to exercise strict financial self-discipline.

The Secretary warned the Committee that there was a possibility of renewed difficulty over pay negotiations as the period covered by the last agreement in spring 2006 neared its end.

(3) University of Dundee Botanic Garden

The Convener introduced an independent report prepared by Mr John Barnett setting out recommendations for the future of the University's Botanic Garden. The document would be considered in depth by the Botanic Garden Working Group, chaired by Dr Peter Gregory of the Scottish Crop Research Institute, which would be reporting to the Court meeting on 22 October 2007. The Committee made a number of general comments and looked forward to the report being presented to the Court.

6. **RESIDENCES AND DUNDEE STUDENT VILLAGES**

The Secretary provided the Committee with an update on the situation with Dundee Student Villages (DSV) and the residences in general. He reported that occupancy levels for 2007/8 were currently at 89.5% for DSV (against a target of 97.5%) and 66% for Taymills. The Secretary reported that the DSV Board was actively considering a number of options to improve the situation. These included: improving the marketing of accommodation to students, reducing the stock of residences, changing the use of some of the stock and reducing running costs.

The Committee had been made aware at the previous meeting of the sharp increase in competition in the market for student accommodation, with more buildings planned. This was making it harder for the University to reach the desired occupancy rates. The Committee discussed whether the offer of a place to study at the University could be linked to the offer of a room in a residence. Further research would need to be carried out to ascertain the effects of this on recruitment. The Committee considered whether there was sufficient differentiation in the type and price of accommodation offered by the University.

It was suggested that the DSV Board appoint a managing director to address the operating difficulties of DSV in a more focussed way. There was currently no dedicated resource to take forward the management issues of DSV. Nevertheless the Committee did note that the DSV Board understood the degree of urgency in rectifying the current situation. The Committee urged the officers to identify concrete plans by the end of December 2007.

The Secretary and the Director of Finance would take the suggestions back to the DSV Board.

**7. TMRC AND CRC UPDATE**

The Director of Strategic Planning provided the Committee with an update on these two projects at the Ninewells campus. The Clinical Research Centre (CRC) was due to be completed by late November, with an MRI scanner due to be installed early in 2008. Discussions were progressing on the use of the third floor, which was available for biomedical research purposes. Discussions were also ongoing with NHS Tayside and the Scottish Government on funding for a PET/CT scanner.

Work on the Translational Medicine Research Centre was also well underway for an estimated completion date of October 2008. 17 research projects had now been approved for the collaboration and a number of appointments had been made.

**8. SCOTTISH INSTITUTE FOR LIFE SCIENCES (SCILS)**

The Principal informed the Committee that discussions were taking place on the proposed Scottish Institute for Life Sciences to be located in Dundee. The initiative had received backing from both of the largest parties in the Scottish Parliament prior to the recent elections, and the Scottish Government had now indicated a willingness to provide some initial funding.

**APPENDIX 4****NOMINATIONS COMMITTEE  
(Minute 13(1))**

A meeting of the Committee was held on 3 September 2007.

**Present:** Mr JR Milligan (Convener), Principal Sir Alan Langlands, Professor A Burchell, Mr R Burns, Mr BWM Johnston, Dr J Lowe.

**In Attendance:** Secretary, Clerk to Court.

1. **MEMBERSHIP OF COURT COMMITTEES 2007/8**

The Committee considered proposals for changes to the memberships of the Audit, Nominations, Remuneration, Finance & Policy, Campus Services and Human Resources Committees.

It recommended, *inter alia*, the appointment of the Rector to the Nominations Committee, the strengthening of the Court membership of the Audit Committee to four lay members plus two other external members, and the invitation to the President of the Students' Association to attend the Finance & Policy Committee.

- Resolved:**
- (i) to recommend to the Court that it approve the membership of its Committees for 2007/8 (annex);
  - (ii) and, in the meantime, to instruct the Clerk to Court to invite new members to attend respective committee meetings in anticipation of the Court's approval of the proposed new memberships at its meeting on 22 October 2007.

**MEMBERSHIP OF COURT COMMITTEES 2007/8**

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

**1. Audit Committee**Members

Mr Richard Burns (Convener)  
Mr John Barnett  
Dr Janet Lowe  
Mr Howard Marriage  
Ms Alison Newton  
Ms Jacqui Thomson

Officers normally in attendance

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

**2. Campus Services Committee**Members

Dr Larry Rolland (Convener)  
Professor Rami Abboud  
Mr Mike Arnott  
Dr Jim Elliott  
Professor Sonja Gallhofer  
Mr John Milligan  
Professor Simon Unwin  
President of Students' Association  
Vice-President (Education & Careers), Students' Association

Officers normally in attendance

University Secretary  
Director of Campus Services  
Director of Finance  
Head of Estates  
Ms Sandi Hamilton (Secretary)  
Other officers at the discretion of the Director of Campus Services

**3. Ethical Review Committee**

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

Professor John McEwen (Convener)  
Dr Simon Arthur  
Professor David Balfour  
Mr Derek Black  
Professor Julian Blow  
Professor Ann Burchell

Dr Jim Elliott  
 Professor Alan Fairlamb  
 Professor Nick Fyfe  
 Dr Colin Henderson  
 Mr Ian Hunter  
 Dr Clare McGraw  
 Dr Alasdair Maclean  
 Mr John MacLeod  
 Mrs Lorraine Malone  
 Ms Vicki Murray-Tait  
 Mr Andrew Newman  
 Mr Sami Shimi  
 Mr Gordon Tennant  
 Professor Colin Watts  
 Professor Eric Wright  
 Rev Dr Fiona Douglas  
 Deputy Secretary (Mr P D Evans)  
 Director of Biological Services

Officer normally in attendance

Ms Edna Finnie (Secretary)

4. **Finance & Policy Committee**

Members

Mr Bruce Johnston (Convener)  
 Principal  
 Vice-Principal (Professor David Boxer)  
 Mr Ian Ball  
 Professor Ann Burchell  
 Dr Alison Goligher  
 Mr John Milligan  
 Mr Eric Sanderson  
 Mr Iain Wright

Officers normally in attendance

Convener of Audit Committee  
 University Secretary  
 Director of Finance  
 Deputy Director of Finance  
 Director of Information Services  
 Director of Strategic Planning  
 President of the Students' Association  
 Clerk to Court (Secretary)

5. **Human Resources Committee**

Members

Dr Janet Lowe (Convener)  
 Vice-Principal (Professor James Calderhead)  
 Vice-Principal (Professor Pete Downes)  
 Professor Rami Abboud  
 Ms Carolyn Bain  
 Professor Gary Mires  
 Dr Howard Marriage  
 Dr Angela Roger

Officers normally in attendance

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

6. **Nominations Committee**

Members

Mr John Milligan (Convener)  
Principal  
Rector  
Mr Ian Ball  
Professor Ann Burchell  
Mr Bruce Johnston  
Dr Janet Lowe  
Mr Richard Burns

Officers normally in attendance

University Secretary  
Clerk to Court (Secretary)

7. **Remuneration Committee**

Members

Mr Richard Burns (Convener)  
Dr Janet Lowe  
Mr John Milligan  
Ms Alison Newton

Officers normally in attendance

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

8. **Senior Management Team**

Members

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

Officers normally in attendance

Other Directors of Student & Academic Support Services (at the discretion of the University Secretary)  
Clerk to Court (Secretary)

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

University Members

Principal  
Head of the College of Medicine, Dentistry & Nursing  
Dean of Dentistry  
Dean of Medicine  
Dean of Nursing & Midwifery

## APPENDIX 5

COMMUNICATIONS FROM THE SENATUS ACADEMICUS  
(Minute 14)

## 1. PRINCIPAL'S REPORT

The Principal highlighted the importance of the National Student Survey, the results of which had recently been made available. The University had taken part in this for the first time in 2007, and the results were encouraging, although there was also no room for complacency, particularly in the areas of assessment and feedback. The Principal urged members to encourage their students to participate in the 2008 survey.

The Principal also focused on the Scottish Funding Council consultation on the final report of the Joint Quality Review Group, which had proposed new arrangements for quality assurance and enhancement in colleges and universities. One of the main proposals contained in the document concerned the role of governing bodies in monitoring a university's quality assurance process. It was proposed that governing bodies would provide an annual report on quality assurance to the Funding Council. The Principal emphasised that, through its committee structure, the Senatus already looked after these processes effectively, and the Senatus would therefore wish to follow these developments closely.

On the financial situation, the Principal noted that the probable outcome for Scottish universities from the Comprehensive Spending Review (CSR) was not optimistic, with likely projected growth in revenue of no more than 2%. The final picture for Scotland was, however, far from clear at this stage. In terms of the University's current financial position, the Principal noted the drop in taught postgraduate recruitment and also the extension of the voluntary severance scheme until 31 October 2007. Asked about how the University would be dealing with the financial position in view of the fact that the savings and measures contained in the sustainability review would not achieve the intended 3% surplus, the Principal anticipated further measures to control expenditure. However, given the uncertainty in the sector about external factors such as the CSR, RAE and Funding Council allocations, it was still unclear what kind of environment the University would be operating in.

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

## 2. HONORARY DEGREES COMMITTEE

The Senatus received a report of a meeting of the Committee held on 25 September 2007.

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

## 3. ORDINANCE 40 – STUDENT DISCIPLINE

**The Senatus decided:** to recommend to Court the following changes to Ordinance 40:

*Under Authorised Officer 2(2) add:*

'The President of the Dundee University Students' Association (DUSA)'

*Under Penalties 6(1) add after final sentence of first paragraph:*

'The delegated power to the DUSA President to apply any penalty only applies where he/she is acting as part of a Disciplinary Panel and does not extend to a power to act alone'

## 4. PROFESSORES EMERITI

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

Professor R Olver  
Professor A Robb  
Professor P Stevens

**FOR INFORMATION**

5. **COMPLAINTS PROCEDURE**

**The Senatus decided:** to approve the revised Complaints Procedure (annex).

**UNIVERSITY OF DUNDEE****GENERAL COMPLAINTS PROCEDURE FOR STUDENTS, PROSPECTIVE STUDENTS AND MEMBERS OF THE PUBLIC****Background**

The University welcomes comments and suggestions from individuals and groups with whom it has contact, reflecting its commitment to enhance the quality of its provision. If you have a complaint about the University, please follow the University's general complaints procedure which is described below, to obtain a timely response.

Responsibility for administering this procedure lies with University Secretary but any comments on this procedure should be addressed, in the first instance, to the Academic Affairs Directorate at [k.f.smith@dundee.ac.uk](mailto:k.f.smith@dundee.ac.uk).

Given the difficulties in accurately determining the circumstances related to an anonymous complaint, this procedure cannot be used to deal with that type of complaint.

Should any criminal activity be detected as a result of a complaints investigation, the University is required to bring this to the attention of the police.

**Aim of the Procedure**

This simple, three stage procedure aims to provide an accessible, transparent and straightforward method of resolving legitimate complaints concerning the University. The overriding preference is for all reasonable steps to be taken to promptly resolve the complaint, as close as possible to the point of origin, and with the minimum of formality and effort on the part of the complainant.

**What is the difference between an academic related complaint and an appeal?**

An academic related complaint is a specific concern about the *provision* of a programme of study or related academic service, including teaching and academic facilities.

An appeal is different. It is a request for a review of the *decision of an academic body* charged with making decisions on student progression, assessment and awards etc.

Complaints will be considered under the procedure in this note. However, if a complaint is deemed by the Director of Academic Affairs to be an appeal, the University may then deal with it under the appropriate appeal procedures, or other appropriate mechanism.

Please note that *matters of academic judgement are in general not open to review* either by complaint or by appeal, and that the Undergraduate, and Postgraduate, Appeals Procedures deal with appeals ([http://www.somis.dundee.ac.uk/academic/Senate\\_policies.htm](http://www.somis.dundee.ac.uk/academic/Senate_policies.htm) refers).

**Who can complain?**

Universities in Scotland are required by law to accept a complaint from any person whether or not they are a student including complaints from applicants to the University. However complaints relating to the areas specified below are not covered by this procedure and are subject to alternative procedures (see URLs shown below for further details):

*Admission to the University:* <http://www.dundee.ac.uk/admissions/>

*Bullying and harassment issues including race discrimination, under the University Dignity at Work and Study Policy:* <http://www.somis.dundee.ac.uk/hr/policies/dignity.html>

*Freedom of Information/Data Protection:* <http://www.dundee.ac.uk/recordsmanagement/>

*Complaint relating to Dundee University Students' Association (DUSA):* <http://www.dusa.co.uk/>

*Complaint from University staff:*

[http://www.somis.dundee.ac.uk/hr/POLICIES/grievance\\_ctm\\_2006.pdf](http://www.somis.dundee.ac.uk/hr/POLICIES/grievance_ctm_2006.pdf)

### What is the time limit for making a complaint?

If you wish to complain you should do so as quickly as possible. Normally complaints will not be considered outwith a **3 month period** from the date of the last incident relating to the problem occurring unless there are valid reasons for the complaint not being raised sooner.

### How do I make a complaint?

The University has a three stage complaints handling procedure to consider and respond to complainants' issues which is summarised below.

#### Stage 1- Informal Resolution to the Complaint

- (i) If you do not understand something or think there may be a problem, seek an explanation right away from the member of staff most closely involved with the source of your complaint. This may be by contacting the member of staff with whom you were originally in contact or other person who is immediately concerned with the complaint which has arisen. They will be most familiar with either your case or the circumstances leading to the complaint and may be able to quickly clear up any misunderstanding. If you are unsure who to approach, contact either the relevant School Secretary or the Director of the relevant Student & Academic Support Service who will be able to advise you. The relevant staff may be identified from: <http://www.dundee.ac.uk/main/depts.htm>.
- (ii) If the approach described in (i) above does not result in an acceptable response to your complaint, contact either the Dean of the relevant School or the Director of the relevant Student & Academic Support Service. That person will make enquiries with those concerned, and report back to you, in a reasonable time, on the outcome.
- (iii) The School or Student & Academic Support Service may make arrangements by organising joint or individual meetings as appropriate. The focus at this stage is on arriving promptly at an outcome that is mutually acceptable to all concerned rather than making a judgement about whether the complainant's case is right or wrong.

#### Stage 2- the Formal Complaint Route

If you consider the stage 1 approach has either been unsuccessful or is considered to be inappropriate, you can submit a formal complaint in writing to the relevant Dean of School or the Director of the Student & Academic Support Service concerned. You may use the standard complaint form (see **Appendix**) to help you structure your complaint. On receipt of the written complaint, the Dean or Director will:

- contact you and, if possible, meet with you to discuss your complaint;
- have the matter investigated; and
- report back to you; we aim to do this as expeditiously as possible and normally within **one month** of the date of the Dean's or Director's receipt of the written complaint.

Possible outcomes of this stage are either:

- a mutually acceptable outcome is agreed; or
- the matter is reported to the College Vice Principal or the University Secretary, who either decides what further action may be taken, or that it has been heard fairly and all appropriate actions have been taken.

If you disagree with the decision of either the College Vice Principal or the University Secretary that your case has been heard fairly and that all appropriate actions have been taken, you then have access to the third stage of this procedure, the appeal process, as described below.

#### Stage 3- Appeal Process

You may only appeal on grounds of:

- substantial new information where this was not available at Stage 2 for good reason;
- evidence of a defect in the way the procedure was followed at Stage 2; or
- evidence of prejudice or bias.

Such an appeal must be submitted in writing, within **one month** of the completion of stage 2 of the procedure, to the Director of Academic Affairs (also the Academic Secretary) who will decide whether grounds exist.

Should grounds for appeal be established, a Complaints Appeals Committee may be convened to hear the complaint. Members comprise those persons who have delegated authority in terms of the University's Ordinance 40 (<http://www.somis.dundee.ac.uk/academic/ord40.htm>) and who are not the same individuals who were involved in Stages 1 and 2. Appeals are either upheld or not upheld and actions and / or recommendations made as appropriate.

If they are not upheld, you will be advised of your right to refer the matter to the Scottish Public Services Ombudsman.

### **Guiding Principles for a Stage 2 type formal complaint investigation**

- Investigations will be made, and any necessary evidence sought and considered.
- It is likely that those who have been involved in Stage 1 above will be asked to indicate their involvement in it to ensure impartiality and transparency in Stage 2.
- The person investigating your complaint may decide either 1) to hold a meeting with you or 2) to deal with it by correspondence, provided 2) is agreed with you. You will be given the opportunity to attend the meeting. Should you choose not to, then the matter will be decided in your absence.
- You may be accompanied to any meetings regarding your complaint by someone of your choosing. Details of representation in relation to other procedures may be set out in the appropriate regulations.
- Any person using the complaint's process may do so without concern that they will be disadvantaged by complaining.
- Due regard to privacy, confidentiality and the interests of any third parties will be borne in mind as appropriate.
- Following the independent investigation and consideration of your complaint, a written report outlining the reasons for the decision will be sent to you.
- You have the right of appeal. Recommendations on any final decision following appeal may be issued by any authorised University officer or body, either to member(s) of staff or to the appropriate University Committee, depending upon the outcome.

In the course of the investigation, if any issue involving disability, race or other equal opportunities issue arises, any Committee or University officer has discretion to adjourn proceedings to seek a report from any University or external adviser and/or to consider such a report or any related submission by any person. This action may take place at any stage, but is at the sole discretion of the Committee or member(s) of staff involved.

### **Help available to you with the Complaints Procedure**

For University students, the following are available to provide assistance and support:

- the Students' Assessor (Mr Stuart Cross, School of Law [s.r.cross@dundee.ac.uk]);
- Student Services [studentservices@dundee.ac.uk] including Disability Services [disability@dundee.ac.uk] and the Counselling Service [counselling@dundee.ac.uk];
- the Chaplaincy [f.c.douglas@dundee.ac.uk].

The President of DUSA [president@dusa.co.uk] may also offer you advice and representation.

For those who are not students of the University, general advice on this procedure may be sought from the Directorate of Academic Affairs [k.f.smith@dundee.ac.uk].

### Scottish Public Services Ombudsman (SPSO)

From 1 October 2005, in circumstances where all the University's own internal procedures have been exhausted and where the complainant is still dissatisfied, the Scottish Public Services Ombudsman (SPSO) has responsibility for investigating complaints against the University [[www.scottishombudsman.org.uk](http://www.scottishombudsman.org.uk) refers].

In these circumstances and at the end of an internal complaints process, the University will notify the complainer of his/her right of referral to the Scottish Public Services Ombudsman in terms of the attached [letter](#). This is in line with the text provided by the Ombudsman's office and circulated (Circular 03/06) by Universities Scotland.

The Ombudsman can consider complaints if injustice or hardship is caused as a result of –

- administrative failure
- failure to provide a service
- failure in that service

Matters which the Ombudsman cannot consider are –

- where the University has considered the matter properly and come to a properly made decision but where you disagree with that decision (unless new information was available, decided complaints will not be re-examined).
- a commercial or contractual matter or a personnel issue relating to staff.

Only in exceptional circumstances will the Ombudsman consider complaints which could be taken to court or to an independent tribunal (not at all if you have begun legal proceedings or where a period of more than 12 months has elapsed from the complaint matter).

If you do contact the Ombudsman, all relevant documents should be sent to him/her with an explanation of the complaints procedure used by the University. Please note it is also possible for such complaints to be submitted by staff or members of the public (including parents of students) as well as prospective students, former students or current students. This Ombudsman service is independent of the University and free.

There will also be ongoing dialogue between the Ombudsman's office and the University to highlight good practice or summarise trends and general issues in any complaints raised with that Office against the University.

In terms of the Scottish Public Services Ombudsman Act 2002, the University is under an obligation to make arrangements for members of the public to inspect or obtain copies of any reports of an Ombudsman investigation against it and this will be done by confirmation of the issue of any report on this website and a link for further information on the Scottish Ombudsman's website below.

The Ombudsman can also make available its standard complainants' forms to the University for use by complainants.





I agree that information about my complaint may be gathered by members of staff in either the School or the relevant Student & Academic Support Service to investigate and evaluate my complaint. Experience has shown that in order to investigate complaints properly, and to balance fairness with the rights of person about whom the complaint is made, disclosure is needed, and accordingly I agree that my name and other necessary information about the complaint may be disclosed to others as necessary in order to investigate it. I also understand and accept that the outcome of formal complaints must be recorded for the purposes of monitoring and analysing complaints generally, and for reporting to Senate for monitoring and evaluation in terms of quality assurance as the University is required to do under the Quality Assurance Agency for Higher Education (QAA) Code on Appeals and Complaints (<http://www.qaa.ac.uk/academicinfrastructure/codeOfPractice/section5/default.asp> refers).

I confirm that I have disclosed any information which I wish to on this form regarding any disability or any other equal opportunities issue including race. I consent to this information being used and passed on in confidence to other members of staff who require to be advised of it in investigating and dealing with my complaint.

**Signed:** ..... **Date:** .....

**Name (in block capitals):** .....

**Address:** .....

**Postcode:**.....

**Phone number:**.....

**(If applicable) Matriculation number:** .....

**(If applicable) School and Programme of Study:** .....

.....

*Academic Affairs  
July 2007*

## UNIVERSITY OF DUNDEE

### GENERAL COMPLAINTS PROCEDURE FOR STUDENTS, PROSPECTIVE STUDENTS AND MEMBERS OF THE PUBLIC

#### GUIDANCE FOR STAFF

##### Background

- 1 The University welcomes comments and suggestions from individuals and groups with whom it has contact, reflecting its commitment to enhance the quality of its provision. As a public sector body, the University has a responsibility to offer a general complaints procedure and responsibility for administering it lies with the University Secretary. Full details of the general complaints procedure are available from the Academic Affairs website at: [~~http://~~ *to be added*]. This guidance is aimed at providing staff with a brief overview of the procedure.
- 2 Members of University staff offer a professional service and are expected to assist in dealing expeditiously with legitimate complaints on the services that they have responsibility for providing.
- 3 Although it is expected that most complainants will be fluent in English, it should be noted that English might not be the complainant's first language or they may have a disability that affects their communication. Staff should be aware of this possible factor, as the complainant might have difficulty in clearly expressing their complaint at a time of distress. It should also be noted that complainants might lack an awareness of the distinctions between the structures of Colleges, Schools and Student & Academic Support Services, academic/administrative functions and appeals/complaints. To assist in the resolution of any problems relating to the aforementioned, complainants should be directed to the various sources of advice and support identified in the general complaints procedure.
- 3 The University has a Monitoring & Advisory Group on Complaints under this procedure which meets biannually to review the effectiveness of the current procedure and identify any trends relating to its application [*add web link to the page giving access to the Group's minutes*].

##### General Complaints Procedure

- 4 The three stages of the general complaints procedure is described in full below:

##### Stage 1- Informal Resolution to the Complaint

If you do not understand something or think there may be a problem, seek an explanation right away from the member of staff most closely involved with the source of your complaint. This may be by contacting the member of staff you were originally in contact with or other person who is immediately responsible for the complaints situation. They will be most familiar with either your case or the circumstances leading to the complaint and may be able to quickly clear up any misunderstanding. If you are unsure who to approach, contact either the relevant School Secretary or the Director of the relevant Student & Academic Support Service who will be able to advise you. The relevant staff may be identified from: <http://www.dundee.ac.uk/main/depts.htm>.

If the approach described above does not result in an acceptable response to your complaint, contact either the Dean of the relevant School or the Director of the relevant Student & Academic Support Service. That person will make enquiries with those concerned, and report back to you, in a reasonable time, on the outcome.

The School or Student & Academic Support Service may make arrangements by organising joint or individual meetings as appropriate. The focus at this stage is on arriving promptly at an outcome that is mutually acceptable to all concerned rather than making a judgement about whether the complainant's case is right or wrong.

##### Stage 2- the Formal Complaint Route

If you consider the stage 1 approach has either been unsuccessful or is considered to be inappropriate, you can submit a formal complaint in writing to the relevant Dean of School or

the Director of the Student & Academic Support Service concerned. You may use the standard complaint form to help you structure your complaint. On receipt of the written complaint, the Dean or Director will:

- if possible, meet with you to discuss your complaint;
- have the matter investigated; and
- report back to you; we aim to do this as expeditiously as possible and normally within **one month** of the date of the Dean's or Director's receipt of the written complaint.

Possible outcomes of this stage are either:

- hopefully a mutually acceptable outcome is agreed; or
- the matter is reported to the College Vice Principal or the University Secretary, who either decides what further action may be taken, or decides that it has been heard fairly and all appropriate actions have been taken.

If you then disagree with the decision of either the College Vice Principal or the University Secretary that your case has been heard fairly and that all appropriate actions have been taken, you then have access to the third stage of the procedure, the appeal process.

### Stage 3- Appeal Process

You may only appeal on grounds of:

- substantial new information where this was not available at Stage 2 for good reason;
- evidence of a defect in the way the procedure was followed at Stage 2; or
- evidence of prejudice or bias.

Such an appeal must be submitted in writing, within **one month** of the completion of stage 2 of the procedure, to the Director of Academic Affairs (also the Academic Secretary) who will decide whether grounds exist.

Should grounds for appeal be established, a Complaints Appeals Committee may be convened to hear the complaint. Members comprise those persons who have delegated authority in terms of the University's Ordinance 40 (<http://www.somis.dundee.ac.uk/academic/ord40.htm>) and who are not the same individuals who were involved in Stages 1 and 2. Appeals are either upheld or not upheld.

If they are not upheld, you will be advised of your right to refer the matter to the Scottish Public Services Ombudsman.

### **Comments on the procedure**

- 6 Comments from staff on any aspect of this general complaints procedure and this guidance are welcomed and these should be addressed to the Academic Affairs Directorate at [k.f.smith@dundee.ac.uk](mailto:k.f.smith@dundee.ac.uk).

## APPENDIX 6

### CAMPUS SERVICES COMMITTEE (Minute 15)

A meeting of the Committee was held on 28 September 2007.

Present: Professor S Unwin (Acting Convener), Dr J Elliott, Professor S Gallhofer, Mr M Arnott, Mr M Bogunovic (President of the Students' Association).

In Attendance: Dr D Duncan, Mr D Yule, Mr G Davies, Mr C McNally, Ms C Blake, Ms S Hamilton.

The Convener welcomed the following new members to the Committee:

Professor Sonja Gallhofer, School of Accountancy & Business Finance,  
Mr Mike Arnott, Rector's Assessor  
Mr Milan Bogunovic, President of the Students' Association

#### 1. MINUTES OF PREVIOUS MEETING

**Resolved:** to approve the Minute of the meeting held on 15 May 2007.

#### 2. MATTERS ARISING

##### Capital Project Authorisation Procedures (Minute (2(1)))

The Head of Estates advised that the procedures as outlined in the paper presented to the last meeting are working well. Once the new Director of Finance has time to endorse these procedures they will be put fully into practice.

#### 3. CAPITAL PROGRAMME & CAPITAL REPORTS ON PROJECTS OVER £2M

Mr McNally gave a detailed update on each of the projects, namely New Teaching Block, TMRC, CRC, OMS/Carnelley, Library Extension, Sports Centre Extension, Refurbishment of Levels 2 & 3 MSI and IMSaT.

The Committee suggested that more detail be given in future on the report sheets in terms of the history of consideration of budgets and any overspends.

The Secretary advised the Committee on the role of the Finance & Policy Committee which was to advise of the scope and shape of the capital programme and its priorities.

The Convener expressed his desire to visit the Library and Sports Centre projects and it was suggested that Committee members may wish to have a tour of each of these sites on the day of the next meeting on 13 November 2007.

A name for the New Teaching Block was discussed and the Secretary invited members to forward their suggestions.

**Resolved:** to produce more specific cost information in future Capital Report sheets.

#### 4. ESTATE STRATEGY

The Director of Campus Services updated the Committee on progress with the Estate Strategy. He advised that he had met with College Heads, some School Secretaries and other senior members of the University community to gather views on the future of the University. He has also met with representatives of the University of Abertay, Dundee College, Dundee City Council and the NHS Trust to ensure the strategy is set appropriately in its city context.

The recently issued Audit Scotland report showed a backlog maintenance of £700m across Scottish Universities and estimated our share to be in the region of £60m. One of the objectives of the Estate Strategy would be to address how we tackle this backlog.

The SFC requires that Universities produce their Estate Strategy document by the end of 2007 and the Director of Campus Services advised that he would meet this target, though additional drafts may be necessary after that date.

He informed the Committee that the Principal has set up a Steering Group which comprises the Secretary, the Director of Campus Services, the Deputy Director of Finance and the Director of Strategic Planning. The main objective of this Group is to oversee the work as it is produced.

**Resolved:** to produce a graphic and more specific outline of the Estate Strategy for the November Campus Services Committee.

#### 5. **BOTANIC GARDEN**

The University Secretary provided the Committee with a verbal update. The Working Group which had been set up to look at the future of the Botanic Garden would submit the Business Plan part of its report to Finance & Policy Committee on 8 October and University Court on 22 October 2007. The key recommendation from the Group is that the Garden should be retained but that the University should seek to reduce its running costs partly through various efficiency measures and drawing in other partners such as Dundee College, Dundee City Council and Friends of the Botanic Garden. He further added that the Curator of the Gardens at Oxford University had recently looked at the Botanic Garden. He had offered the view that we had a world class collection of plants which should be preserved.

#### 6. **TRAFFIC MANAGEMENT**

The Capital Project and Development Manager introduced Mr A Currie of Dougall Baillie Traffic Management Consultants who have been commissioned to look at traffic management and pedestrianisation on the Campus.

Mr Currie outlined the proposed vehicle and pedestrian routes throughout the Campus in particular around the Old Hawkhill / Hunter Street junction, Park Place, and a new proposed junction between Old Hawkhill and the by-pass. It is proposed to develop a new vehicular access onto the by-pass which would service the western side of the Campus. This in turn would allow the pedestrianisation of the Old Hawkhill adjacent to the New Teaching Block. Committee members expressed concerns about the Old Hawkhill and Hunter Street junction and asked that consideration be given to putting traffic calming measures in place from Hunter Street to Park Place.

The Convener requested that thought be given to using the opportunity of reorganising traffic arrangements to enhance the top of Airlie Place.

The next step is to further explore the proposal to open Old Hawkhill onto the by-pass with the Council and, if funds permit, thereafter a make formal application. Measures to reduce congestion emanating from the Park Place Primary School will also be further explored.

**Resolved:** to keep the Committee advised of the developing traffic management situation.

#### 7. **ENERGY MANAGEMENT**

The Head of Estates provided the Committee with a verbal report. He informed the Committee that despite the increase in the size and complexity of the Estate it is expected that the Heat, Light & Power budget expenditure will be contained at the previous year's level.

He advised the Committee of the imminent Energy Awareness Campaign which will be launched to encourage staff and students to think before switching on and off and to become more aware of their surroundings in terms of electricity and power consumption.

The Deputy Director of Finance described the proposed resource allocation model which will attribute energy use to Colleges. She reported that Finance and Campus Services have met to discuss how to take this forward. In the early period of this new arrangement, Colleges would be incentivised to reduce their energy use.

8. **ANY OTHER BUSINESS**

- (1) Future Agenda Items
  - a) Resource model to effectively maintain the Estate
  - b) Estates Management Information
  - c) Campus Green
- (2) The Director of Campus Services informed the Committee that the new 210 space Heathfield Car Park was due to open during the week commencing 5 October 2007.

## APPENDIX 7

### AUDIT COMMITTEE (Minute 15)

A meeting of the Committee was held on 3 October 2007.

Present: Mr R Burns (Convener), Mr J Barnett, Dr H Marriage.

In Attendance: Mr BWM Johnston, Secretary, Director of Finance, Deputy Director of Finance, Mr A Gray (PricewaterhouseCoopers) and the Clerk to Court.

#### 1. MEMBERSHIP

The Convener welcomed Dr Marriage and the new Director of Finance, Mr R Kennedy, to their first meeting of the Audit Committee. The Convener reported that he had written to Ms Brown, who had stepped down from the Committee, thanking her for her contributions. The Committee recorded its thanks to the Deputy Director of Finance, Ms C Blake, for taking on the role of Acting Director for the last seven months.

**Resolved:** to note the proposed new membership of the Committee, which would be considered by the Court at its meeting on 22 October 2007.

#### 2. MINUTES OF PREVIOUS MEETING

**Resolved:** to approve the minutes of the meeting on 2 May 2007.

#### 3. INTERNAL AUDIT

##### (1) Review of Financial Management

The internal auditors gave a report outlining the progress being made in implementing the recommended changes contained in their review of financial management and business processes presented to the last meeting of the Committee (Item 4(1) of 2 May 2007 refers) and as laid out in the subsequent action plan circulated to members in early June.

The Deputy Director of Finance explained the actions being undertaken to address the recommendations. The review of the structure and roles of the Finance Directorate as well as the review of the finance system had been left until the new Director of Finance was in post, and would therefore begin to be addressed in the near future. In respect of the review of the finance system it was the Deputy Director's view that the current system was fit for purpose but that the coding structure would require to be revised.

Progress was being made on the implementation of payroll forecasting, on the phasing of budgets and on cashflow forecasting. In relation to the last, the Committee discussed the need to remain within cashflow forecasts for 2007/8, particularly to ensure that the University did not exceed its borrowing limits. The Deputy Director of Finance reassured the Committee that to address this issue there had, *inter alia*, been significant changes in the way capital expenditure was assimilated into the budget and in the accommodation of leads and lags in research funding.

In terms of the recommendations for Colleges and Schools, the Deputy Director of Finance reported that she had now met with all the College teams to discuss the role of the College accountants. There had also been a great deal of dialogue on the issue of departmental reserves, proposed expenditure from which had been clearly built into the budgets for 2007/8. Expenditure from these accounts at the end of 2006/7 had been much lower than in 2005/6, and this was a positive sign that account holders were beginning to understand the relationship between reserves and the overall financial position.

It was noted that the implementation of Phase 1 of the Commitment and Advanced Procurement Service (CAPS) project was now complete. CAPS would be rolled out to all major budget-holders by summer 2008.

The Committee noted that the internal auditors would carry out one further update on progress against the action plan for presentation to the Committee at its meeting on 3 December 2007.

(2) Annual Report for Year Ended 31 July 2007

The Committee received the annual statement of assurance from the internal auditors. The report confirmed that, aside from matters raised as part of their review of financial management, the internal auditors were confident that the University's established internal control procedures were adequate. In terms of financial management, whilst the internal auditors had identified significant control weaknesses, they were satisfied that the University had established a detailed plan to address them, with a number of improvements already in place.

(3) Business Continuity Planning

The internal auditors presented a report into the University's arrangements for ensuring business continuity in the event of a disaster. The auditors had identified no high priority risks, and whilst a number of medium level risks were identified, the auditors were keen to point out that these were already being addressed by the Risk Management Monitoring Group.

The Committee discussed the issue of business continuity in multi-occupancy buildings and in interconnected buildings, but was reassured that this issue was being addressed as part of the development of local disaster plans. There was discussion also of the relationship between NHS Tayside and the University in respect of business continuity planning at Ninewells. The Committee was reassured to learn that Estates & Building enjoyed close collaboration with the NHS in this respect.

(4) Annual Plan for Year Ending 31 July 2008

The internal auditors presented their audit plan for session 2007/8. The auditors were asked to review their time allocation for the Corporate Governance report. It was suggested that the Rector's views be sought in the prosecution of the Corporate Governance report.

In respect of the proposed Dundee University Students' Association report, the Secretary explained that the University was contributing the services of the internal auditors. Whilst DUSA was not the direct responsibility of the University, there was an acknowledgement that the University had a vested interest in ensuring that DUSA was well managed.

The Committee discussed the issue of student debt. The Deputy Director of Finance explained that the level of debt had improved greatly over the last four years. Preparatory work was being carried out in the Schools so that in future, student debt would be written off against the unit incurring it.

The Committee discussed at length the focus of the proposed report into Collaboration Working – Partnerships and Subsidiaries. The internal auditors had intended to carry out an audit of the processes whereby decisions relating to collaborative arrangements were made and how the relationships were supported. Dr Marriage asked that a review of the use of funds by the University of Dundee in the delivery of activity for external partners be included.

**Resolved:** to approve the plan, subject to a scope of the Collaboration report being presented to the Committee.

#### 4. EXTERNAL AUDIT – AUDIT PLANNING

The Committee received formally the audit planning document from the external auditors, which had been circulated to the Committee in May 2007. The work outlined in the document was now well underway and a progress report was expected soon. The Deputy Director of Finance reported that the external auditors were pleased with the year-end process and with the reporting improvements put in place over the last seven months.

The Committee discussed the role of Dundee Student Villages and requested sight of their 2006/7 accounts at the next meeting.

- Resolved:**
- (i) to ask the Clerk to Court to circulate to members the paper on Dundee Student Villages presented to the meeting of the Finance & Policy Committee on 28 August 2007;
  - (ii) to ask the Secretary to provide the Committee with a report on the disposal process of major capital assets;
  - (iii) to approve the external audit planning document.

#### 5. RISK MANAGEMENT

##### (1) Risk Management Monitoring Group

The Committee received a report of the Risk Management Monitoring Group's meeting on 22 August 2007.

**Resolved:** to note the report.

##### (2) Institutional Risk Register

The Committee received a revised institutional risk register, which included amendments raised by both the Risk Management Monitoring Group and the Audit Committee. The Committee asked that in future the register be presented with any changes highlighted.

**Resolved:** to approve the register.

##### (3) Managing a Crisis

The Committee received a paper prepared by the Head of Estates, which outlined the procedures to be followed in the event of a crisis affecting the University. The Committee welcomed the paper, but was concerned that the role of External Relations in the managing of any crisis was not prominent enough.

**Resolved:** to approve the procedure, subject to the revision of the role of External Relations in the management of a crisis.

#### 6. HEALTH AND SAFETY SUB-COMMITTEE

The Committee received a report of the Health & Safety Sub-Committee meeting on 30 April 2007. The Secretary confirmed that analysis was undertaken of the number of incidents and near misses taking place at the University. It was agreed that it would be helpful to include this data in the minutes of the Sub-Committee. On the question of the implications of clinical trials, the Deputy Director of Finance assured the Committee that these were covered by the University's insurance arrangements.

- Resolved:**
- (i) to ask the Secretary to investigate whether the University had changed any of its procedures for clinical trials in light of the incident in England in March 2006 involving TeGenero;
  - (ii) to ask the Secretary to circulate the minutes of the Health & Safety Sub-Committee's 18 September 2007 meeting to the Audit Committee in advance of its next meeting on 3 December 2007;

- (iii) otherwise, to note the report.

7. **EXTERNAL AUDIT CONTRACT**

Following withdrawal of the auditors, the Committee considered a paper outlining proposed arrangements for a tender exercise to identify a provider of external audit services from March 2008.

- Resolved:**
- (i) to invite five firms to tender for a contractual period of three years in the first instance;
  - (ii) to adopt the proposed process and timetable, with the amendment that invitations to tender would be sent out in November 2007.

## APPENDIX 8

### HUMAN RESOURCES COMMITTEE (Minute 15)

A meeting of the Committee took place on 9 October 2007.

Present: Dr J Lowe (Convener), Dr RJ Abboud, Mrs C Bain, Professor CP Downes, Dr A Roger.

In Attendance: Dr DJ Duncan, Dr H Marriage, Mrs PA Milne, Professor G Mires, Mrs JM Strachan.

Dr Lowe welcomed Dr Howard Marriage and Professor Gary Mires to the Committee. It was noted that formal approval of Dr Marriage's and Professor Mires' membership would take place at the next meeting of Court.

#### 1. MINUTES OF PREVIOUS MEETING

**Resolved:** to approve the minutes of the meeting of 22 May 2007.

#### 2. MATTERS ARISING

##### (1) Gardyne Road Campus (Minute 2)

A final report was considered in relation to staff at the Gardyne Road campus who had not transferred to the main campus. The staff involved were essentially those responsible for the cleaning, security and maintenance of the building. It was noted that out of 60 staff, 10 had been redeployed, 6 had retired, 3 had accepted partial redundancy and retained other posts with the University and 41 had been made redundant.

**Resolved:** to note that the successful closure of the Gardyne Road site had taken place in July 2007.

##### (2) Retirement Age (Minute 4(3))

The Director of Human Resources confirmed that the changes proposed by USS in respect of the Pension Scheme were unlikely to be in place as quickly as originally anticipated. The changes planned related to standardising the normal retirement age at 65 for new entrants and the introduction of flexible retirement by which part of the pension could be taken while the member continued to work on a part-time basis. It was noted that these proposals were still under discussion at the Joint Committee for USS.

**Resolved:** to note the position.

##### (3) Statistics relating to Gender (Minute 5)

The Committee considered two sets of statistics relating to gender of staff by job category and by College or Directorate. General trends noted were that there were more female staff in the clerical staffing group, more male staff in the academic staffing group and that ALC, Research and Manual staff were broadly equal in numbers. It was confirmed that statistics on gender would be made publicly available and were part of the Equality agenda.

**Resolved:** to request statistics on gender on a regular basis so trends can be monitored by the Committee.

#### 3. FINANCIAL SUSTAINABILITY REVIEW

The Director of Human Resources reported on the Voluntary Severance Scheme (VS). At 1 October 2007, there were 119 formal applications currently under consideration and 71 at the enquiry stage. The Senior Management Team (SMT) had already approved 59 applications, rejected 25 and 23 were 'on hold'. SMT had extended the deadline for formal applications by

one month until the end of October. Information had also been provided to the Committee on the gender, age and ethnicity of applicants. It was noted that more females than males had applied for VS and most staff applying had been within the 50-59 age group.

It was confirmed that staff 'on hold' were staff identified within the College or Directorate in critical posts that could not be lost by the College or Directorate. It had been agreed however that individuals in these posts could leave, with VS, if there was the opportunity to backfill the posts from elsewhere in the University. It was noted that there had been some success in negotiating moves of this nature but that these 'transfers' were not always straightforward and took some time to organise. It was recognised that attention would have to be given to staff in this position and it was important that all possibilities were explored. It was stressed that the University would do all it could to achieve the financial targets required by voluntary means.

In terms of recruitment and the advertising of posts it was reported that tight monitoring was still taking place in all the Colleges and Directorates and only posts deemed business critical were being approved - which were very few. The risk of posts being lost through VS, 'reappearing' in the future was discussed. It was confirmed that the Heads of College and the University Secretary were responsible, within their various staffing committees, for ensuring good financial and budgetary management and control and for maintaining sustainability.

It was confirmed that the introduction of VS and the impact of this did not appear to have caused an increase in stress related absences but it was agreed that absence statistics would continue to be monitored. It was recognised that a huge amount of work had been done by staff in HR and Finance to administer the VS scheme and this was greatly appreciated.

In terms of the Sustainability Review, the University Secretary confirmed that in the areas identified, the VS scheme was helping to reduce staff costs to affordable levels.

**Resolved:** to note the position and the extension of the VS scheme until the 31 October.

#### 4. HUMAN RESOURCES

##### (1) Framework Agreement and Job Evaluation

The Director of Human Resources summarised the position in relation to the Framework Agreement and job evaluation. She confirmed that the grading structure had been agreed, HERA had been chosen as the preferred job evaluation scheme by both the University and the unions, and a significant amount of work had been carried out in terms of training job analysts and piloting HERA throughout the University. She confirmed that job evaluation now needed to be rolled out across the whole institution but there was lack of agreement on how this should be done.

At a meeting of the Framework Agreement Working Group earlier in the year, it was agreed that role profiles would be developed for all staffing groups and that all staff would be matched to a profile. The current debate was about how matching would be done, with disagreement amongst the three campus unions. The Director of Human Resources confirmed that the University would wish for all staff to complete a Role Outline form which would then be used to match to one of the Role profiles.

The Committee was concerned about the lack of progress with implementing HERA and the impact that this was having on staff, on the reputation of the University and the affect on other processes such as annual review. The Committee felt that if agreement could not be reached on the implementation process in the near future, it would strongly support the University proceeding as proposed by the Director of Human Resources.

**Resolved:** to highlight the current position to Court in relation to the lack of agreement over the implementation of HERA.

##### (2) Salary Sacrifice

The Director of Human Resources confirmed that the University of Dundee had signed up to introducing a pension/salary sacrifice scheme and was part of a consortium which had appointed the consultants Watson Wyatt to implement the

scheme. It was noted that Edinburgh and Aberdeen had already moved ahead and were currently implementing the scheme.

Watson Wyatt had visited Dundee and had given an initial briefing to the unions on the scheme; it had then been discussed further at each of the Local Joint Committees. It was reported that UNITE had no problem with the scheme, UNISON had some concerns regarding protecting people on low pay (which are addressed by building safeguards into the scheme), but DUCU had expressed reservations and wished to ballot its members. It was noted that UCU nationally was not opposed to salary sacrifice schemes.

The Committee recognised that salary sacrifice schemes are a legitimate way of reducing tax liability which staff can take advantage of. It was confirmed that the scheme would not have any effect on a member of staff's pension and there would be an increase in the take home pay. It was stressed that staff could opt out of the scheme if they did not wish to join. It was highlighted that the significant savings that the University would make on NI contributions by introducing the scheme had been factored into the sustainability review.

**Resolved:** to recommend that agreement is reached with the unions with regard to the implementation of the salary sacrifice scheme but if this is not achieved, to recommend that the University implements the scheme recognising that individuals can decide whether they wished to take part in the scheme or not.

## 5. EQUALITY AND DIVERSITY

### (1) Gender Equality Policy

The draft Gender Equality Policy (annex a) had been considered by the Equality and Diversity Group and by each of the campus unions and had been circulated widely. It was agreed that the Policy was well drafted and was a very positive document with a challenging action plan. It was highlighted that the next key stages would be implementing the plan and also preparing and developing an action plan for students. It was recognised that information relating to gender needed to be publicised and made available on the website now. In the future, the Committee might want to reconsider how this information is presented.

**Resolved:** to approve the Gender Equality Policy and to request that the policy and information relating to gender is publicised on the University's website.

### (2) Equal Pay Statement

It was confirmed that the Equal Pay Statement (annex b) had also been widely consulted on. It was highlighted that once job evaluation was completed the University would be required to conduct an Equal Pay Review.

**Resolved:** to approve the Equal Pay Statement.

## 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 report from the Director of Management and Professional Development highlighted key areas of work. Project Management was a key training need identified through the strategy document 'Towards 2012' and work was ongoing to support this. The Committee felt it would be helpful if communication could be developed relating to Project management with specific groups being targeted and an outline of the syllabus and examples of the outcomes provided. Work ongoing with the Scottish Heads of Department and the Careers Bridges programmes was also noted. It was recognised that Personal and Professional Development did not have a very large budget but that a great deal of good work was being carried out with the limited

resources available. The statistics provided in relation to training uptake were discussed and it was noted with interest.

The report from the Director of Academic Professional Development also highlighted work being done in a number of key areas. It was noted that the Senate Award for Teaching Excellence was to be launched and that information relating to the new award and the nomination process would be distributed shortly. The Committee strongly supported these initiatives, which raised the profile of teaching and recognised good teaching and methodology. The Committee also noted with interest the work being carried out on Professionalism and Employability and how this was being rolled out within the College of Arts and Social Sciences.

It was confirmed that the Generic Skills Co-ordinator, Dr Christine Millburn, was currently on maternity leave and that her post was being covered by a job-share comprising Dr Lisa Anderson and Ms Lara Bennett. A report had been provided by Dr Anderson and the most recent newsletter provided which summarised the 2006/7 programme and advertised the 2007/8 programme. The Committee was pleased to note that the Generic Skills programme was continuing to be successful and was being extremely well received both internally and externally. It was reported that the Wellcome Trust was very impressed with the work being done in the University to support PhD students. The Generic Skills staff were commended for their work in this area.

- Resolved:**
- (i) to thank Morag Pollard for providing statistics in relation to training and to recognise the considerable amount of effort that had gone into compiling the report.
  - (ii) to acknowledge the work being done by the Director of Management and Professional Development, the Director of Academic Professional Development and the Generic Skills Training Co-ordinator and the various initiatives they are driving forward.

## 7. HEALTH AND SAFETY

A report from the Director of Safety Services and minutes from the Health and Safety sub-Committee were received. It was agreed that the report was very helpful in highlighting the key issues. It was noted that there was to be a reduction in the staffing in Safety Services but that appropriate measures were being put in place to ensure no loss of provision. The policy relating to catering at organised events was discussed and it was requested that the policy was made more specific particularly in relation to the definition of 'an organised event' and clarification on the issue of liability.

- Resolved:** to request that the policy and guidance relating to the catering at organised events is reviewed.

## 8. LOCAL JOINT COMMITTEES

### (1) University/UNITE Joint Committee

The minutes of the meeting, held on 12 September 2007, were received.

### (2) University/UNISON Joint Committee

The minutes of the meeting, held on 12 September 2007, were received

### (3) University/DUCU Committee

The draft minutes of the meeting, held on 21 September 2007, were received. The final version will be circulated to the Committee once agreed.



**UNIVERSITY OF DUNDEE**  
**GENDER EQUALITY SCHEME**  
**AND ACTION PLAN**  
**2007-2010**

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If you would like this document in an alternative format, please contact Ajit Trivedi, Equality & Diversity Officer, on (01382) 388951 or by email [a.trivedi@dundee.ac.uk](mailto:a.trivedi@dundee.ac.uk)

Foreword

The University of Dundee is fully committed to the principles of promoting equality for all staff, students and others associated with the University (e.g. visitors and contractors). We aim to achieve an inclusive and supportive institutional culture, which challenges discrimination against women and men of the University community. To enable this we have developed a Gender Equality Scheme and an associated Action Plan following extensive and on-going consultation and engagement with our stakeholders. I would like to take this opportunity to thank all those involved with the development of the Scheme for their participation and valuable contributions.

The Scheme and Plan define our objectives for the next three years roll-out period. It will continue to evolve throughout this time and will be a cornerstone guiding all our activities.

I, along with my senior management team, fully endorse and commend the Gender Equality Scheme and Action Plan as part of the University's overall commitment to equality and diversity.

Signed: .....Principal Sir Alan Langlands

## 1. Introduction

The University of Dundee currently has a population of around 17500 students and 3500 staff from different and diverse backgrounds and is one of Scotland's leading Universities with an international reputation of excellence in providing a diverse portfolio of undergraduate and postgraduate courses and an excellent record in Teaching Quality and Research Assessment Exercises (RAE).

The University is committed to equality for all, irrespective of age, disability, race, religion or belief, sex, sexual orientation or other irrelevant distinction.

The University is committed to maintaining a learning and working environment free from discrimination, in which all staff, students and visitors are treated equally and with dignity and respect. Our commitment is embodied in the University's Charter, which states:

*No test related to sex, race, colour or religion and political belief shall be imposed on any person in order to entitle him or her to be admitted as a member, teacher or student of the University or to hold office therein or to graduate thereat or to hold any advantage or privilege thereof.*

This Gender Equality Scheme is one of many policies and procedures, which the University has in place to support its commitment to an institutional Equality and Diversity strategy. It outlines the framework and commitment within which the University will promote gender equality including its obligations under the Gender Equality Duty of the Equality Act 2006.

## 2. Legal Context

### Overview of Gender Equality Duty: Equality Act (2006)

The new gender equality duty came into force in April 2007 under The Equality Act 2006 and is the biggest change in sex equality legislation in 30 years, since the introduction of Sex Discrimination Act (SDA) in 1975 and the Equal Pay Act in 1970.

The Equality Act 2006, which amends the Sex Discrimination Act (1975), places a statutory duty on all public authorities, including the University, when carrying out their functions, to have due regard to the need to:

- eliminate unlawful discrimination and harassment, and
- promote equality of opportunity between men and women.

The above general duty, which applies to the University in respect of the way it carries out its functions came into effect on 6 April 2007. The elimination of unlawful discrimination and harassment and the promotion of equal opportunity between men and women applies to all matters relating to policy development, service provision and employment. The University has 'due regard' to the needs of its general duty under the Equality Act. As a result, the University's functions will be proportionate and relevant when eliminating discrimination and harassment that is unlawful under the Sex Discrimination Act 1975 and the discrimination that is unlawful under the Equal Pay Act 1970. Proportionality and relevance will also be applied to promoting equality of opportunity for all University staff.

Further, the University understands that as part of its obligation within the general duty, the University is required to have 'due regard' to eliminate unlawful discrimination and harassment in employment and vocational training for people who intend to undergo gender reassignment, are undergoing gender reassignment or those that have undergone gender reassignment.

Unlawful discrimination means:

- Direct and indirect discrimination against women and men, in employment and education, in goods, facilities and services.
- Harassment, sexual harassment and discrimination on the grounds of pregnancy and maternity leave.
- Discrimination on the grounds of gender reassignment in employment and vocational training.

- Discrimination on the grounds that a person is married or a civil partner.
- Victimisation.
- Unequal pay for work of equal value.

In order that the University is able to achieve its general duty, the University will apply the following specific duties by 29 June 2007:

- Prepare and publish a Gender Equality Scheme, which will set out the University's gender equality objectives, report annually and review progress every three years.
- Consult with and involve the University's stakeholders (staff, students, trade unions, service users and other stakeholders) in the development of the Gender Equality Scheme.
- Gather and evaluate relevant information on how the University's policy and practice affect gender equality.
- Assess the different impact of policies and practices on both sexes and use this information to inform their work.
- Identify priorities and set gender equality objectives.
- Implement an action plan set out in the Gender Equality Scheme within the agreed allocated time frame.
- By 28 September 2007: Publish an equal pay policy statement and report on progress every three years.

### **3. Development of Gender Equality Scheme and Action Plan**

The University has a duty to consult with stakeholders over the development of the scheme and to use this information, alongside any data analysis to help identify and prioritise gender equality objectives.

The University conducted an extensive consultation with staff members to identify objectives and priorities for the Action Plan. The consultation was conducted by means of a confidential and anonymous online questionnaire and focus groups. Members of staff who had limited access to computer facilities were provided with a paper version of the questionnaire.

Overall 715 members of staff completed the questionnaire (70% of the respondents were female, 29.8 % were male and 0.2 % were transgender). As part of the questionnaire staff were asked if they would be willing to participate in a focus group looking at the issues in more detail. Two focus groups were held in Dundee and one at Kirkcaldy campus in Fife. Thirty members of staff from a cross section of the University in terms of gender and job roles participated in the focus groups.

The questionnaire and the focus groups highlighted a range of areas in which the individual felt that improvements could be made. As a result of the consultations held with staff, a number of key objectives and priorities were identified and incorporated into the Gender Equality Action Plan (Appendix 1).

The draft Gender Equality Scheme was subject to extensive consultation through various University committees and working groups, as well as with representatives of the trade unions and the Students Association.

It should be noted that after extensive discussions with the representatives of the Students Association, it was agreed that to have a more meaningful and practical Action Plan for the students, the consultation should be undertaken when they return to the University towards the end of September. The Action Plan for the students will be incorporated with the rest of the Gender Equality Scheme as soon as possible.

#### 4. Implementation of the Gender Equality Scheme

The Gender Equality Scheme Action Plan (attached as Appendix 1) sets out how the University will implement the Gender Equality Duty over the next three years. The Scheme will be approved through the University's committee structure, which will identify the members of staff who will assume responsibility for the successful implementation of the Action Plan.

##### **Leadership, Management, Governance and Responsibilities**

This Gender Equality Scheme and Action Plan set out the responsibilities of all staff, students and other stakeholders in ensuring that Gender Equality Duty is effectively implemented.

**The University Court**, as the governing body has the ultimate responsibility for ensuring that the institution complies with the statutory requirements of the Gender Equality Duty, meeting its general and specific duties.

**The Principal** is responsible for giving a consistent and high profile lead on Gender equality issues, whilst ensuring appropriate level of resources are made available to implement the Scheme.

**The University Secretary** is responsible for the strategic support of the Scheme internally and externally, also ensuring that gender equality needs are at the core of Corporate Planning and Strategy implementation. The Secretary is also responsible for ensuring that managers fulfil their role in delivering the Gender Equality Scheme.

**The Senior Management Team** are responsible for ensuring that the Gender Equality Scheme and Action Plan is put into practice, ensuring that all staff know their responsibilities and receive support, training and appropriate information to carry out their activities and also ensuring that appropriate action is taken whenever complaints of unlawful discrimination and harassment are raised, either by staff or students, in their respective areas.

**The Director of Human Resources** is responsible for staff matters and reports to the Senior Management Team and Human Resources Committee on staff policy.

**The Equality and Diversity Working Group (EDWG) and the Gender Equality Network (GEN) (sub-committees of the Human Resources Committee)** are responsible for the continuing development and the implementation of the Scheme and Action Plan; ensuring that the Scheme is published, promoted, continually assessed, reviewed, revised and the results published, on an annual basis, to all staff, students and the community external to the University and ensuring that appropriate supportive and/or training strategies are commissioned and implemented accordingly.

**The Equality and Diversity Officer**, in practice, is responsible for promoting, advancing and co-ordinating equality and diversity initiatives across the University according to statutory requirements and best practice. The Equality and Diversity Officer is responsible for reporting on implementation, monitoring and reporting on the Action Plan.

**All staff** will have a responsibility to support and promote the implementation of the Gender Equality Scheme and Action Plan. All staff should avail themselves of training and development opportunities.

**All students** should ensure that they follow the University's Gender Equality Scheme and Action Plan and also ensure that they promote Gender Equality and not discriminate or harass unlawfully.

**Contractors and service providers** are required to comply with the statutory requirements of the Gender Equality Duty, as stated in this Scheme and Action Plan.

**All members of the public, visiting or engaging with the University**, are required to comply with the University's Gender Equality Scheme and Action Plan.

#### 5. Equal Pay

In developing the equal pay structure the University is currently carrying out an extensive job evaluation exercise under the terms of the Framework Agreement using HERA (Higher Education Role Analysis). HERA is an analytical job evaluation scheme which incorporates the principles of equal pay.

It is the University's intention to undertake an equal pay audit following the implementation of the job evaluation scheme to identify and address any gender pay inequalities.

#### **6. Impact Assessment**

The University has a responsibility to undertake impact assessment as a key requirement of the Gender Equality Duty to promote equality. It involves the review of existing policies and practices as well as proposed developments to assess their actual or potential impact on equality between women and men.

The University will publish in its annual report the progress of the impact assessments and their outcomes.

#### **7. Publication**

The Gender Equality Scheme is co-ordinated by the Gender Equality Network. The Scheme will be published on the University's website and made available in hard copy, large print and alternative formats on request.

#### **8. Monitoring and Reviewing**

The progress and the effectiveness of the Gender Equality Scheme and Action Plan objectives will be monitored annually, as defined in the Action Plan, and a report presented to all relevant University Committees.

The University will continue to consult with staff, students and other stakeholders in the evaluation of our Scheme and Action Plan to incorporate any further changes and improvements to the Scheme.

The University will conduct a thorough review of the Scheme and Action Plan in 2010 to measure progress and identify new objectives to develop subsequent schemes in consultation with stakeholders.

#### **9. Action Plan**

The Action Plan is appended to the Scheme.

## UNIVERSITY OF DUNDEE

## Gender Equality Scheme (GES) – Action Plan for Staff 2007-2010

Objective	Action	Lead	Timescale	Outcome/Success
Senior management support and involvement.	Ensure Senior Management team will take the lead in effective implementation and monitoring of the GES and Action Plan.	Principal & Senior Management Team.	Years 1-3	Clear guidance and support provided. Good practice promoted relating to gender equality issues.
Consultation and communication.	Ensure that the new GES and Action Plan are well communicated and publicised across the University community. Ensure availability in a range of formats, publicise its existence on the website and request feedback.	Director of Human Resources, Gender Equality Network, Equality and Diversity Officer.	Years 1-3	Staff and stakeholders are aware of the GES and Action Plan and have access to information and an opportunity to provide feedback on it.
	Develop a framework for ongoing consultation with staff.	Director of Human Resources, Gender Equality Network, Personal & Professional Development Unit.	Years 1-3	Effective and clear communications and consultation established and involving trade unions.
To endeavour that University Court and appointed committees have an appropriate gender balance.	Review composition and method of selection for appointed committees to endeavour that there are no gender imbalances.	University Secretary, Gender Equality Network, Equality and Diversity Officer.	Years 1-3	University appointed committees have an appropriate gender balance.
Impact assessments are undertaken.	Prioritise current key policies for impact assessment.	Director of Human Resources, Heads of Colleges, Equality and Diversity Officer.	Years 1-3	Policies are prioritised for full impact assessment.
	Review implementation at operational level.	Director of Human Resources, Heads of Colleges, Equality and Diversity Officer.	Years 1-3	Arrangements for implementation are agreed and in place.

Objective	Action	Lead	Timescale	Outcome/Success
	Undertake full impact assessment of key policies as appropriate.	Director of Human Resources, Heads of Colleges, Equality and Diversity Officer.	Years 1-3	Policies, practices and procedures are non-discriminatory and promote gender equality. Staff are aware of outcomes of the impact assessment process.
Staff development and career progression processes are supportive and equitable for development of women and men.	Develop career and succession programmes that provide clear career progression and pathways.	Director of Human Resources, Director of Management and Personal Development, Director of Academic Professional Development.	Years 1-3	Women and men staff members feel supported in developing their careers.
	Review progression procedures for staff to ensure transparency and consistency, including monitoring and evaluating by gender equality issues.	Director of Human Resources, Heads of Colleges, Equality and Diversity Officer.	Years 1-3	Progression practices are seen as fair and transparent to all staff members.
	Integrate gender equality issues into management training.	Director of Management and Personal Development, Equality and Diversity Officer.	Years 2-3	Management training reviewed and changes implemented.
Recruitment and Selection	Review Recruitment and Selection guidance that includes gender equality issues.	Director of Human Resources.	Years 1-3	Managers and staff are aware and implement the guidance when involved in recruitment and selection.
	Training for all relevant staff involved in the recruitment and selection process.	Director of Human Resources, Director of Management and Personal Development, Equality and Diversity Officer.	Years 1-3	Staff involved in recruitment and selection are trained in the guidance. Recruitment and selection practices are seen as fair and transparent by female and male staff and applicants.

Objective	Action	Lead	Timescale	Outcome/Success
Support for staff with caring responsibilities.	Raise awareness of the flexible working policies and arrangements to ensure that they are equally available to both women and men.	Director of Human Resources, Directorate of Human Resources.	Years 1-3	Policies widely publicised. Monitoring system in place and results reported as part of the GES. Staff and managers are aware of the range of flexible working options and benefits available.
Gender pay gap.	Undertake an equal pay audit following the implementation of the job evaluation scheme to identify and address any equal pay issues.	Director of Human Resources.	Years 1-2	Equal pay review completed and action plan developed to address any gender pay gaps.
	Develop and agree equal pay statement.	Director of Human Resources, Equality and Diversity Officer, trade unions.	September 2007	Pay statement agreed and published.
Harassment and bullying.	Promote Dignity at Work and Study policy and Harassment Contact Network to staff and managers.	Director of Human Resources, Equality and Diversity Officer.	Year 1	Staff feel confident in reporting and addressing harassment and bullying issues and also accessing support services. Managers identify and address unacceptable behaviour by implementing the policy. More staff are aware of the identity and role of the harassment contact.
	Review training and development provided to harassment contacts, and all staff who work with harassment and bullying cases within the University.	Director of Human Resources, Equality and Diversity Officer, Director of Management and Personal Development.	Years 1-2	All staff involved in investigating harassment and bullying cases will have the appropriate skills to conduct investigation fairly.
Monitoring data.	Ensure monitoring processes are in place to record staff gender data in all employment activities.	Director of Human Resources, Equality and Diversity Officer.	Years 1-3	Effective monitoring process to provide accurate data and information.

<b>Objective</b>	<b>Action</b>	<b>Lead</b>	<b>Timescale</b>	<b>Outcome/Success</b>
	Produce and publish gender data on an annual basis.	Director of Human Resources, Equality and Diversity Officer, Gender Equality Network.	Annually	Data is analysed to monitor progress of staff gender equality objectives.
Transgender staff.	Develop a better understanding of transgender issues by developing specific guidance in consultation with transgender organisations and staff.	Director of Human Resources, Equality and Diversity Officer.	Years 1-2	Transgender staff feel they are treated fairly and with respect.
	Produce and raise awareness of the guidance to help support transgender staff.	Equality and Diversity Officer.	Years 1-2	Managers feel confident dealing with transgender issues.

**UNIVERSITY OF DUNDEE**  
**EQUAL PAY POLICY STATEMENT 2007-2010**

**Introduction**

The University of Dundee is committed and fully supports the principles of equality and diversity in employment. We believe as part of that principle that male and female staff, those from different ethnic groups and those with and without disabilities should receive equal pay for the same or broadly similar work, for work rated as equivalent and work of equal value.

This Equal Pay Statement and the University's Gender Equality Scheme affirm that commitment and ensure compliance with the responsibilities placed on it by the Gender Equality Duty under the Equality Act 2006 and the Sex Discrimination (Public Authorities) (Statutory Duties) (Scotland) Order 2007.

The University understands that equal pay between men and women is a legal right under both the UK and European legislation and recognises it has a specific duty to ensure it does not have a gender pay gap and it is not in breach of the equal pay legislation.

The University recognises that in order to achieve equal pay for employees doing work of equal value it should operate a pay system which is fair, equitable, transparent, based on objective criteria and free from unlawful bias. The University will use the HERA (Higher Education Role Analysis) system to help it with determining equal pay and developing measurable steps towards achieving this.

**Equal Pay Legislation**

The right to equal pay for work of equal value is set out in Article 141 of the EU Treaty, which states: 'Each Member State shall ensure that the principle of equal pay for male and female workers for work of equal value is applied.'

In the UK, the right to equal pay is set out in the Equal Pay Act 1970 as amended. The Equal Pay Act 1970 gives an individual a right to the same contractual pay and benefits as a person of the opposite sex in the same employment, where the man and woman are doing:

- Like work; or
- Work related as equivalent under an analytical job evaluation scheme; or
- Work that is proved to be of equal value.

The employer will not be required to provide the same pay and benefits if it can prove that the difference in pay or benefits is genuinely due to a material factor that is not tainted by sex discrimination reason.

**The Pay Package**

The Equal Pay Act 1970 as amended covers all aspects of the pay and benefits package, including:

- Basic pay
- Overtime rates and allowances
- Non-discretionary bonuses
- Performance related benefits
- Severance and redundancy pay
- Access to pension schemes
- Benefits under pension schemes
- Hours of work
- Company cars
- Sick Pay
- Holiday pay
- Fringe benefits such as travel allowances

### **Action to Implement Equal Pay Policy**

In order to put our commitment into practice we will:

- Implement the current work being undertaken on the Framework Agreement which provides an opportunity to the University to update and reform the existing pay and grading structures, in partnership with the campus trade unions.
- Collect and analyse information to establish whether there is a gender pay gap in the University's workforce
- Undertake a comprehensive Equal Pay Review in line with EOC Code of Practice for all current staff and starting pay for new staff (including those on maternity leave, career breaks, or non-standard contracts).
- Carry out regular Equal Pay reviews using published guidance to determine what further objectives are required to deal with continuing gender pay gaps
- Carry out regular monitoring of the impact of our pay practices and report progress and review at least every three years.
- Inform employees of how these practices work and how their own pay is determined.
- Provide training and guidance to managers and supervisory staff directly involved in decisions about pay and benefits.
- Discuss and agree the equal pay policy with recognised campus trade unions, prior to University Court approval.

The University intends, through the implementation and monitoring of this policy, to avoid unfair and unlawful discrimination and to reward all staff fairly for the work to which they are appointed or promoted having regard to their job related skills, experience and competencies. In this way, the University aims to enhance its image and reputation as an employer and to help achieve the following outcomes:

- Raise awareness over equal pay issues with relevant managers
- Engender an understanding amongst its employees on its practices and methods
- Redress and gender pay imbalances
- Ensure gender equality in pay

### **Monitoring**

The findings of the equal pay audit will be reviewed by the Equality and Diversity Working Group, Gender Equality Network and the Human Resources Committee. Equal pay statistics will be presented annually to Human Resources Committee for consideration.

### **Responsibilities**

The Director of Human Resources is responsible for implementing this policy.

### **Complaints**

Complaints or enquiries about the lack of equal pay should, in the first instance, be made to the relevant Line manager, Head of College/School/Department or Human Resources Officer. If these informal approaches do not satisfy the employee the complaint may be followed and dealt with the University grievance procedures.

### **Links**

Framework Agreement – [www.somis.dundee.ac.uk/hr/framework/index](http://www.somis.dundee.ac.uk/hr/framework/index)

Job Evaluation Scheme (HERA) – [www.somis.dundee.ac.uk/hr/HERA/index](http://www.somis.dundee.ac.uk/hr/HERA/index)

Close the Gap – [www.closesthegap.org.uk](http://www.closesthegap.org.uk)

Equal Opportunities Commission – [www.eoc.org.uk](http://www.eoc.org.uk)

Code of Practice on Equal Pay- [www.eoc.org.uk/PDF/law\\_code\\_of\\_practice.pdf](http://www.eoc.org.uk/PDF/law_code_of_practice.pdf)

Gender Duty – Scottish Code of Practice – [www.eoc.org.uk/PDF/Scottish\\_GED\\_code\\_of\\_practice.pdf](http://www.eoc.org.uk/PDF/Scottish_GED_code_of_practice.pdf)