

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 9 June 2008.

Present: Mr EF Sanderson (in the Chair), Principal Sir Alan Langlands, Professor RJ Abboud, Mr M Arnott, Mr WI Ball, Mr MPF Bogunovic (President of the Students' Association), Professor A Burchell, Mr R Burns, Dr JR Elliott, Dr H Marriage, Professor GJ Mires, Dr AM Roger, Dr LAL Rolland, Mr IDM Wright.

In Attendance: Vice-Principals Professor DH Boxer and Professor J Calderhead, Secretary, Director of Finance, Directors of Information Services, Human Resources and Strategic Planning, Mr D MacLeod (President-Elect of the Students' Association), Miss AD Anderson and Mr P Blake (President and President-Elect of the Sports Union, for Item 65), Mr R Isles and Ms R McBurney.

62. CHAIR

The Court requested that Mr Sanderson chair the meeting in the absence of Mr Milligan, the Chairman of Court.

63. MINUTES

The Court decided: to approve the minutes of the meeting on 21 April 2008.

64. MATTERS ARISING**Estate Strategy (Minute 53(2))**

The Secretary reported that the Campus Services Committee had approved the documentation for transmission to the Scottish Funding Council (SFC). The textual submission had been made to the SFC and this would be followed by the full documentation in presentation format. Copies of the documentation would then be sent to Court members.

65. SPORTS UNION ANNUAL REPORT

The Court received an annual report from the Sports Union for 2007/8, which was presented by its President, Miss Anna Anderson. Miss Anderson indicated that the Sports Union was on track to meet its budget. Work was underway to create a three to five year priority list of items requiring funding. Once this was in place, further work would be carried out to review how these needs would be met.

Work continued on growing partnership links especially with the Institute of Sport and Exercise (ISE) and the Students' Association. The proposed move of the Sport Union office into the ISE was seen as having a number of benefits

for the development of sport at the University. The introduction of a Sports Development Officer would also strengthen this link. The University had fallen in its position in the British Universities Sports Association (BUSA) rankings, currently standing at 90th out of 150 universities. The new Sports Development Officer would be tasked with reviewing coaching and club development, which is seen as crucial to reversing this decline.

The introduction of the generic sports union kit had been very successful and was helping to build a strong identity for the sports clubs at Dundee.

The executive was being restructured for 2008/9 to clarify roles and allow the President to focus more on the strategic direction of the Sports Union.

Court commended the introduction of the generic sports kit and the work of the executive in the current year to build a basis for future growth.

Discussion took place on the new legislation with regard to the hire of transport and the likely financial impact on the Sports Union in the longer term.

The Court decided: to thank Miss Anderson for her report.

66. CHAIRMAN'S BUSINESS

Mr Sanderson looked forward to the graduation ceremonies, encouraging other members to attend where possible.

67. PRINCIPAL'S REPORT

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

The Principal highlighted that the University's financial position was more stable, but that there could be no room for complacency. Further savings through voluntary severance were required to help secure the University's future in the medium to longer term.

The Principal indicated that there were a number of significant drivers that would be clarified in the coming months; the RPI figure for the October pay settlement; student recruitment, particularly in the area of postgraduate taught numbers; research overhead income; and finally the report of the Joint Future Thinking Taskforce on Universities.

The Scottish Government had formally confirmed its commitment to the Scottish Institute of Cell Signalling in May. The Principal congratulated Professor Sir Philip Cohen on his election to the US National Academy of Sciences and Professor Dario Alessi on being elected Fellow of the Royal Society.

Turning to Learning and Teaching, the Principal drew attention to the publication of recent League Tables and the disparity between some of the

results. He indicated that this disparity related to the different sets of metrics used to collate different tables.

The Principal also congratulated the winners of the Honorary Graduates' award for Innovative Teaching and the Senate Award for Excellence in Teaching.

Discussion focused on the recent league table results and the differing metrics used to produce them. It was noted that the University's retention rate was around 80% but this had been skewed in the tables as HESA had taken students registering for a Diploma or Degree in Nursing as failing if they left with the Diploma. The correction of this would take a number of years to work through the tables. In relation to improving the University's underlying retention rate, it was noted that work was ongoing to implement the University's retention strategy. The University Secretary reported that careful monitoring of the University's data and its impact on league tables was in place. Members agreed that whilst it was important to ensure good positioning within the tables, it was equally important to ensure the integrity of the data, and members therefore supported a balanced approach to reporting.

68. FINANCIAL PLANNING

(1) Finance & Policy Committee

The Court received the report of the meeting of the Committee on 19 May 2008 (**Appendix 2**).

- The Court decided:**
- (i) to approve the introduction of an Operating and Financial Review as part of the institution's annual accounts and the process for its production;
 - (ii) to request that tuition fees for 2008/9 receive final confirmation from Schools and Colleges; and
 - (iii) otherwise, to note the report.

(2) Budget 2008/9

The Court received a paper from the Director of Finance, which set out the proposed budget for the Colleges and the Student and Academic Support Services for the financial year 2008/9.

The Director of Finance drew attention to the following headline figures. Core SFC income was set to rise by 3.4% in line with the grant letter. Tuition fee income was set to rise by 19.8% with the key area of growth related to postgraduate taught activity. This growth was spread across the University. It was noted that although it was a challenging target the numbers were derived from the Schools, who

were actively working to meet these targets. Research overheads had been set to rise by 18.4%. This rise represented both a growth in volume and the impact of Full Economic Costing. This was also a challenging target, but 65% of it was currently known in relation to grants/contracts already awarded.

In relation to expenditure, staff costs were budgeted to rise overall by 7.8%. Within this, College staff costs were set to rise by 10.3% as a result of costs being transferred from other categories, posts moving from external to core funding and some new posts, which were linked to income growth targets. Support Service staff costs were set to rise by 2.4% which was below pay inflation, primarily as a result of Voluntary Severance savings.

Non-staff costs were budgeted to rise by 6.4% overall. Within Colleges and Schools the increase of 15.1% was related to the increased costs of scholarships, fee waivers, stipends and the transfer of bad debt costs. Within Support Services the increase of 2.3% was mainly due to utility and hospital costs, which were offset by some costs transferring to Colleges.

The overall operating deficit was set at £2.5m, which was slightly ahead of the £2.8m deficit included in last year's SFC forecast. This highlighted the fact that the projected growth in tuition fees and research overhead matched the inflation gap between the core funding increase and the increase in staff costs. In order to make progress towards achieving a sustainable 3% surplus by 2011/12, the budget included £2m of savings from Voluntary Severance plus related costs of £3m. This, together with a £3.5m gain from the disposal of property, meant that Court was being asked to approve a breakeven budget.

Members noted the challenging target for tuition fee income and discussion centred on the mechanisms in place for monitoring acceptances and the work being carried out in Schools to achieve their targets.

Members also noted the sensitivity surrounding the implementation of the October pay increase, with every potential 1% increase above the 4.2% which had been budgeted for, costing the University approximately £1m.

Members commended the early participation of Schools and the bottom-up approach to the budget build.

The Court decided: to approve the proposed budgets for Colleges and Student & Academic Support Services for 2008/9.

(3) Financial Projections and Capital Programme

The Court received detailed financial forecasts for the period to 2010-11, which were required by the Scottish Funding Council (SFC). The forecasts were accompanied by a commentary for the SFC as well as an explanatory note for Court members. The forecasts and commentary were in a format set by the SFC, although all headline figures corresponded to those seen at the Finance & Policy Committee. Also detailed was the capital programme for the period to 2010-11.

The Director of Finance drew members' attention to the key assumptions used to construct the forecast. Inflation had been set at 2.7%, with SFC Income and Home tuition fees set at inflation plus 1%. Postgraduate tuition fees would increase by 8% (5% volume/3% price). Research overheads were to increase by 10% (5% volume, the remainder the result of the rollout of Full Economic Costing). Pay costs were to increase in 2009/10 by 2.5% with a further 1.5% to cater for increments plus the full-year effect of the October 2008 pay award. It had been assumed that non pay costs would remain flat in real terms, although in reality given the pressure on utility costs it was likely that savings would need to be made in this area. It was noted that no assumptions had been made on the outcome of the RAE or the outcome of actuarial reviews of the pension schemes. It was also noted that no property disposals were accounted for in 2010/11.

Phase two of the voluntary severance scheme had been included in the plan, showing costs of £3m in 2008/09. Voluntary severance savings of £2m were planned for 2008/09, with £3m of savings rolling forward thereafter.

The operating deficit (before voluntary severance and disposals) was projected at £1.3m in 2009/10, and £0.2m in 2010/11. In 2010/11 the overall budget including the voluntary severance savings was a £2.8m surplus, which was in line with the projection transmitted to SFC last year.

In reviewing the cash forecasts, the Director of Finance highlighted that working capital debt of £17m was projected for July 2011. It was noted that this figure was currently projected to be £24.7m at July 2008. A separate facility of £9m was in place for the Translational Medicine Research Collaboration (TMRC). It was noted that projections for cash stood at well below the University's approved borrowing limits of £34m plus a further £9m for TMRC.

Finally the Director of Finance drew attention to the Capital Budget and Capital Programme, indicating that these were in line with the Estate Strategy and SFC funding.

In discussion, the Principal confirmed the importance of meeting the voluntary severance targets to ensure that the University was financially sustainable.

Discussion took place on the relationship of Dundee Student Villages to the University's projections.

Discussion also focussed on the forthcoming actuarial reviews. It was noted that they may lead to changes in contribution levels but, as yet, there was no basis for determining what these changes might be, as this would depend on the outcome of the reviews. The projections had therefore been based on the current level of pension contributions. There was also a brief discussion concerning the make-up of the Trustees of the UOD pension scheme, it was noted that this was likely to be re-assessed during the review process.

In response to a question on the development of the Riverside playing fields the University Secretary indicated that discussions were currently underway with a commercial developer. Should these discussions prove unsuccessful then some artificial pitch development would need to be incorporated into the capital programme.

The Court decided: (i) to approve the capital programme; and
(ii) to approve the strategic plan forecast for submission to the Scottish Funding Council.

69. INSTITUTIONAL PERFORMANCE INDICATORS

The Director of Strategic Planning reviewed the benchmarking report that had been submitted to members. This benchmarked the University's performance against an agreed list of comparator institutions as well as Scottish and UK averages.

Members congratulated the team responsible for collating the information and recommended that the paper be distributed to Schools and Colleges. Discussion also focussed on the scalability factors influencing the reports.

The Court decided: (i) to suggest dissemination of the data to Colleges and Schools;
(ii) to request that information on the size and complexion of competitor institutions be incorporated in future papers; and
(iii) to approve the proposed approach to future performance reporting.

70. **DEVELOPMENTS IN STUDENT AND ACADEMIC SUPPORT SERVICES**

The University Secretary reported on a recent survey among academic staff of the University which had shown an overall satisfaction rating of 86% for student and academic support services. The comments returned had been most helpful and these were being reviewed to assess what actions needed to be taken. In addition, an exercise to benchmark staffing levels and grades within support services against other institutions would be undertaken, and limited use might be made of external consultants to review specific processes.

71. **COURT RETREAT**

The Court received a proposed programme for its annual retreat on 1 September 2008. The retreat, as proposed, would focus on the University in its wider context. The Principal indicated that this would be an opportunity to think hard about the next stage of the University's development and to consider potential new themes. A number of suggestions were made about the programme.

The Court decided: to approve the proposed programme, whilst incorporating the Court's suggestions.

72. **COURT COMMITTEES**

(1) Committee Membership 2008/9

The Court decided: to note that the Nominations Committee would be reviewing committee membership during the summer.

(2) Emergency Committee

The Court decided: noting the availability of individual academic members to act in such a capacity, to remit the transaction of any urgent Court business over the summer to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairman of Court and the Convener of the Finance & Policy Committee) and one other academic member – subject to a report on any action taken being submitted to the first business meeting of the Court in 2008/9.

73. **COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

The Court received a report from the meeting of the Senate on 28 May 2008 (Appendix 3).

The Court decided: (i) to approve the following amendment to Ordinance 40 Paragraph 2(2):

after 'Director of Student Services', *delete* 'or nominee (in respect of misconduct in University Residences)' and *add* 'and the Residences Officer'.

Being aware that the time limit governing the process for amending Ordinances would expire over the summer, Court unanimously approved the amendment of Ordinance 40 Paragraph 2(2) at a single meeting, under the terms of the proviso to article 17.2 of the University Charter.

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

(iii) otherwise, to note the report.

74. **ELECTION TO COURT – NON TEACHING STAFF**

The Secretary reported that Mr Donald Cathcart had been elected as a member of Court by the clerical, manual and technical staff of the University, for the period 1 August 2008 to 31 July 2012. Mr Cathcart is a member of the technical staff, working in Medical Education.

75. **NETWORK IMPROVEMENT PROGRAMME – REPORT ON OUTCOMES**

The Court received a report detailing the work of the Network Improvement Board which had been tasked with implementing the forty-four recommendations of a Court report in 2002.

The Court decided: to note the report.

76. **COMMITTEE REPORTS**

(1) Audit Committee

The Court received a report from the meeting of the Committee on 20 May 2008 (Appendix 4).

The Director of Finance drew members' attention to paragraph 5(i) and indicated that the rewording of the endowment policy in relation to the treatment of capital gains had been completed and signed off by the auditors.

The Court decided: (i) to approve the proposed changes to accounting policies as a result of implementing the new Statement of Recommended Practice; and

(ii) otherwise, to approve the report.

(2) Campus Services Committee

The Court received a report from the meeting of the Committee on 13 May 2008 (**Appendix 5**).

The Court decided: to approve the report.

(3) Human Resources Committee

The Court received a report from the meeting of the Committee on 20 May 2008 (**Appendix 6**).

The Director of Human Resources reported to members that, subsequent to the meeting of the Human Resources Committee, agreement had been reached with the Dundee branch of the University & College Union (DUCU) on the introduction of a Performance Management scheme for professorial staff, following amendments to the wording of the documentation.

The Director of Human Resources also drew members' attention to a recommendation by the Human Resources committee that Court approve a set of principles, based on Universities & Colleges Employers Association (UCEA) guidance, regarding the University's position should it be faced with industrial action in the future.

The Court decided: (i) to approve the implementation of the Performance Management procedures;

(ii) to approve the principles for managing industrial action and request that a policy statement is prepared for dissemination to staff; and

(iii) otherwise, to approve the report.

77. **STAFF**Professorial and Other Grade 10 Appointments

The Court noted the appointment of the following:

Claire Halpin	Personal Chair of Plant Biology and Biotechnology	1 December 2007
Stephen McKenna	Personal Chair of Computer Vision	1 January 2008
Colin Palmer	Personal Chair of Pharmacogenomics	1 April 2008

78. **RETIRING MEMBERS**

The Convener, on behalf of Court, welcomed the President-Elect of DUSA, and paid tribute to three retiring Court members.

In his role as President of the Students' Association Mr Bogunovic had made a major contribution to a number of Committees including Senate, Learning & Teaching and Campus Services. He had also been involved in the Coalition of Higher Education Students Scotland and the Enhancement Themes Initiative.

Professor Ann Burchell, Head of Maternal & Child Health Sciences, was taking retirement from the University and would therefore be relinquishing her seat on Court as a member elected by Senate. Professor Burchell had contributed her experience to a number of Court Committees and had convened the University's Gender Equality Network.

Ms Carolyn Bain, Web Developer, had been the non teaching staff representative on Court since 2004. She had made an invaluable contribution to the Human Resources Committee, as well as to Court.

The Chairman thanked all three for their contributions.

The Principal thanked Mr Sanderson for chairing the meeting and all members for their contributions throughout the year.

APPENDIX 1

PRINCIPAL'S REPORT (Minute 67)

Finance and Policy

The University's financial position continues to stabilise with a forecast operating deficit (before voluntary severance costs) at month 9 of £2.4m; this represents a favourable variance of £0.6m. After the gain on property disposals, which is expected to be in line with budget, the 2007/8 forecast is for a bottom line surplus of £1m. The University is also expected to end the year well within its capital borrowings limit.

Budgets for 2008/9 have now been set with a projected operating deficit of £2.5m and an overall breakeven position, again dependent on property disposals. Achieving this budget requires significant growth in taught postgraduate income, continued progress on research overheads and further core staff reductions through voluntary severance. With inflation at a high level, the University will have to absorb increased staffing and utility costs. Looking forward the aim is still to achieve a 3% surplus of income over spending by 2011/12 to enable a more strategic approach to academic investment.

The capital programme for 2008/9 to 2010/11 to be considered by Court includes University/SFC funding of about £37m bolstered by external fundraising. Priority projects include the Duncan of Jordanstone complex, the Scrymgeour building, Ninewells teaching accommodation, the Fulton building and a number of smaller improvements in teaching and research infrastructure.

Research and Enterprise

The University's performance in research has been recognised with a series of plaudits in recent weeks. In May, at the formal announcement of the creation at the University of the £10m Scottish Institute of Cell Signalling (SCILLS), Cabinet Secretary for Education Fiona Hyslop highlighted Dundee's international contribution and SCILLS potential for driving next generation drug discovery. Under the leadership of Sir Philip Cohen SCILLS will add to Dundee's reputation for leading translational biology and medicine.

Measuring research in financial terms, in addition to the £10m SCILLS pledge, since the start of this academic year the University has won an impressive £55.6m of research grants. Recent awards include £2.7 million to Professor Colin Watts; £1.26 million to Professor Tomo Tanaka; £900k to Professor Ron Hay; £663,301 to Professor Irene Leigh and nine of over a quarter of a million pounds to other academics. Among these are IMSaT's £353k from the ERDF and an award of £296k to Electronic Engineering & Physics from The Royal Society. Dundee's strength is highlighted in a recent *Research Fortnight* which placed the University in the UK's top 20 based on research awards and outpaced all UK universities in achieving the biggest rise in share of Wellcome Trust awards over the last two years.

The wider value of research at Dundee, in terms of impact on human lives and society can be seen in the range and volume of recent success including important contributions to the understanding and treatment of cancer, breast cancer, leukaemia and Alzheimer's disease; and advice delivered to Government on issues such as health care policy and deprivation, legal issues surrounding a local income tax and flooding and sustainability.

Learning and Teaching

League tables are notoriously vulnerable to the vagaries of press interpretation of higher education data but Dundee's high teaching quality, as assessed by the QAA, and student satisfaction, as assessed by the National Student Survey, have contributed to strong recent results across a range of disciplines. These include first in the UK for Dentistry (Independent and Guardian) and for Medicine (Guardian). Congratulations to all those involved. Other subjects to achieve high rankings are: Civil Engineering, Mathematics, Education, Art & Design, Architecture, Law, Geography, Town Planning, Computing, English, History, Pharmacology, Philosophy and Politics...This is an impressive list and, however warily one takes league tables, the Guardian's ranking Dundee in the UK's top 20 universities at number 17 is helpful for student recruitment.

I am pleased to highlight the winners of this year's Honorary Graduates Award for Innovative Teaching:

Sheila Henderson, School of Education, Social Work and Community Education; Andrew Cobley, School of Computing and Drs Alistair Geddes and Edward Hall, School of Social Sciences for their first class projects. Congratulations too, to the winner of the inaugural Senate Award for Excellence in Teaching - Dr Linda Morris, Life Sciences.

Every year the Degree Show seems to rise to new heights and I was particularly impressed with the work of this year's Fine Art graduands and also the diversity of innovative products displayed by students of interactive media.

Appointments/awards

The highest academic award in the US goes to Professor Sir Philip Cohen on his election to the US's National Academy of Sciences – this is a superb achievement bringing great personal credit on Sir Philip and enhancing the reputation of the College of Life Sciences and the University.

I am also delighted to congratulate Professor Dario Alessi on being elected Fellow of the Royal Society. Deputy Director of the Medical Research Council Protein Phosphorylation Unit and Professor of Cell Signalling in the College of Life Sciences Dario (40) is awarded the highest academic accolade in UK at a young age.

Congratulations are also due to Professor Anne Anderson on being appointed to the Engineering and Physical Sciences Research Council; Professor Bill Hunter as Fellow of the Academy of Medical Sciences; Professor Christine Helliart as British Accounting Association Chair; computing student Suzanne Prior for first prize in a major international student research competition in Florence; and civil engineering student Ross Whiteside who won a prestigious Royal Academy of Engineering Advanced Leadership Award.

Events

The main event at this time of year is of course Graduation and all that surrounds it. I hope all members of Court will be able to join us for some part of the extensive graduation programme. This year we will conduct six graduation ceremonies – five of them between Wednesday 18 June, Thursday 19 and Friday 20 June, and the sixth, for the School of Medicine, on Tuesday 8 July. The ceremonies will take place in the Caird Hall as usual and the garden parties on the Campus Green. We are looking forward to conferring honorary degrees on the following in order of appearance: High Court Judge and alumnus Lord Turnbull; journalist and alumnus Alan Johnston; author William Boyd; fashion designer Dame Vivienne Westwood; architect Lord Foster of Thames Bank; Nobel Prize winning geneticist Professor Sir Alec Jeffreys, Nobel Prize winning biochemist Professor Edmond Fischer; former University Rector and broadcaster Lorraine Kelly; Harvard Professor of Epidemiology & Nutrition Walter Willett; alumni and health professionals Professor Alastair Wood and Dr Margaret Wood and violinist Nicola Benedetti – the youngest person ever to receive an honorary degree from the University. Ms Benedetti will perform at the 8 July ceremony.

An International Student Reception will take place on 17 June for graduating international students, their families, mentors and friends.

The Greatest Minds Lecture is to be delivered by Honorary Graduate Walter Willett on 18 June 6pm in the New Teaching Block - The Pursuit of Health: Is Contemporary Medicine Taking Us Down the Wrong Path?

This year's 'Discovery' Lecture – The Thin White Line - is by renowned mountaineer, Andy Cave on Saturday 21 June at 3pm in the New Teaching Block. It will follow the annual meeting of the Graduates Council.

The second Dundee Literary Festival will take place over graduation week with a first class line up of speakers including Vivienne Westwood, William Boyd and Joan Linguard, and events including a comic conference, writers' workshops, and children's author appearances.

Meanwhile, we are looking forward to welcoming delegates from Toulouse to the second Dundee Toulouse Cancer Research Alliance Conference on 12-14 June when 250 delegates representing Toulouse, INSERM (the French equivalent of the Medical Research Council) and Dundee will get together to develop their collaboration in cancer research.

The Civil Engineers' Concrete Conference with up to 500 delegates will take place from 7 – 10 July on the University campus and will be opened by the Chair of Court.

The Clinical Research Centre at Ninewells will be opened on 9 July 2008 by Nicola Sturgeon MSP, Cabinet Secretary for Health and Wellbeing and Deputy First Minister of Scotland, to coincide with the 60th anniversary of the NHS.

Alan Langlands
Principal & Vice-Chancellor

APPENDIX 2

FINANCE AND POLICY COMMITTEE (Minute 68(1))

A meeting of the Committee was held on 19 May 2008.

Present: Mr BWM Johnston (Convener), Principal Sir Alan Langlands, Mr WI Ball, Professor DH Boxer, Professor A Burchell, Mr JR Milligan, Mr EF Sanderson, Mr IDM Wright.

In Attendance: Mr J Smith (*vice* President of the Students' Association), Mr R Burns, University Secretary, Director of Information Services, Director and Deputy Director of Finance, Director of Strategic Planning, Ms R McBurney.

1. MINUTES

Resolved: to approve the minute of the meeting on 24 March 2008.

2. MANAGEMENT ACCOUNTS – PERIOD 9

The Director of Finance introduced the management accounts for the period to 30 April 2008. It was noted that there was no significant change from the period 8 accounts, which had been sent out to committee members. The year to date operating surplus before voluntary severance costs stood at £4.1m, giving a £3.4m favourable variance. The fully year forecast was for an operating deficit before Voluntary Severance costs of £2.4m which was £0.6m favourable to budget. Taking Voluntary Severance costs and the gain on disposals into account, a bottom line year end position of a £1m surplus was forecast.

It was noted that the University currently had no borrowings, but would move back into debt by the end of May. It was currently forecast that the year borrowings would be £26m as significant capital expenditure was expected over the next few months and the advance receipts from the SFC would unwind.

The Committee agreed that the current financial position appeared satisfactory and discussion centred on which financial year certain disposals would fall into.

3. 2008/9 BUDGET

The Director of Finance described the procedure adopted in the budget setting process, stressing that this had been a bottom up approach via engagement with Colleges/Schools and Directorates.

The Director of Finance then drew members' attention to the main movements in the 2008/9 budget. Tuition fees were identified as having the biggest increase in relation to income, with a 19.8% increase in budget (equating to £4.3m). The Director of Finance stressed that although the figures for tuition fees were recognised as being challenging they had come from individual Schools who had defined programme targets and taken responsibility for achieving them. Research Overhead income showed an 18.4% increase over 2007/8 (equating to £1.4m). It was noted that 65% of the £9m target was already known from grants or commercial contracts already awarded. Both these target areas were informed by the Strategic Framework.

The Director of Finance then turned to review costs for the 2008/9 budget. In relation to staff pay, he indicated that 4.2% had been budgeted as RPI for the October pay increase. This, together with an incremental drift of 1.5% plus the 3% May 2008 increase had been factored into the 2008/9 budget and equated to a total pay inflation increase of between 7.5% and 8% across the University. Core staff costs in Colleges were set to rise by 10.3%. However the underlying figure for this increase was closer to 8%, as some staff costs had been transferred from other categories. In addition to this there were some new posts which were contingent on meeting income growth targets before they could be filled. Support Services Directorates pay costs were set to increase by 2.4%, which was below pay inflation, primarily as a result of full year Voluntary Severance savings. It was noted that HERA costs had been inflated in line with the pay projections.

The Director of Finance also reported that non staff costs were budgeted to increase by 6.4% (£1.6m) to £25.8m. In Colleges this was driven mainly by costs related to scholarships, fee waivers and the transfer of bad debt. The increase in Support Services directorates non pay costs of 2.3% (£0.4m) was mainly due to higher utility and hospital costs (£0.7m), offset by some costs transferred to Colleges.

The overall operating deficit was budgeted to be £2.5m, which was slightly ahead of the £2.8m deficit projected in last years SFC forecast. Taking projected Voluntary Severance savings of £2m into account, along with Voluntary Severance costs of £3m and a gain on disposals of £3.5m then a bottom line breakeven budget was proposed.

The Committee discussed the likelihood of the October pay settlement coming in at the 4.2% budgeted. It was noted that every 1% above this rate would cost the University £1m. It was recognised that there was a risk related to this item.

Members agreed that although the tuition fee budget for 2008/9 was stretching there were a number of mitigating factors. Firstly a more robust mechanism was now in place for defining the figure via the bottom-up approach to the budget build. This had also strengthened the ownership of the targets within Schools and the Committee agreed that this was to be commended. In addition it was noted that the increase was spread across the University and that some new posts which had been budgeted were contingent on income targets being met.

Turning to the Voluntary Severance scheme the Committee was informed that around 25 new applications had been received since the scheme had been extended and that work was ongoing to review applications from the first round which were either rejected or on hold. Members agreed that it was important for staffing sub-committees to maintain constant vigilance and to ensure that no element of 'post creep' appeared.

Finally the Director of Finance informed the Committee that the University was on track in relation to meeting property disposal targets for 2007/8 and targets have been identified for 2008/9.

Resolved: to recommend the draft budget to Court.

4. FINANCIAL FORECAST

The Director of Finance detailed the requirement to submit to the Scottish Funding Council (SFC) financial projections for the period through to 2010/11.

Within the figures inflation had been set at 2.7% which was in line with the SFC projection. This inflation number has been primarily used to inform the projections on SFC income and non-pay spend. SFC income is projected to grow at 1% above inflation as informed by the grant letter. For 2009/10 and 2010/11 tuition fee income had been set to rise by 8%, of which 2.5% was related to price, which was seen as reasonably prudent. Research Overhead income for these two years had been set to rise by 10%, in line with the Strategic Framework targets. It was noted that this represented both a volume increase in activity and the effects of full economic costing. Total income was set to increase by 4.6% in 2009/10 and 2010/11.

Staff costs in 2009/10 are projected to rise by 4.7%, which assumed a 2.5% settlement and allowed for a 1.5% increase due to incremental drift. The final 0.7% catered for the full year effect of the October 2008 increase. Staff costs in 2010/11 were projected to rise by 4% which assumed a 2.5% settlement and allowed for a 1.5% increase due to incremental drift. No allowance has been made for any potential increase in pension contribution which may or may not result from the forthcoming actuarial reviews.

Non Staff costs were projected to rise in line with inflation. It was noted that Utility costs were likely to rise at a rate higher than inflation but it was assumed this would be offset by savings elsewhere.

The operating deficit (before Voluntary Severance and disposals) was projected at £1.3m in 2009/10, and £0.2m in 2010/11. In 2010/11 the overall forecast was for a £2.8m surplus. It was noted that this assumed rolling forward Voluntary Severance savings of £2m in 2008/9 and £3m from 2009/10 onwards, plus £3m of Voluntary Severance costs ceasing in 2008/9.

It was noted that a Pension Plus national insurance saving of £350k had been accounted for in the figures.

Turning to Cash Flow the Director of Finance indicated that it was projected that borrowings would reduce to £17.2m in 2010/11 from the current £25.6m. The Committee noted that it was likely that a review of the borrowing facilities would be held in the next financial year.

In relation to the Capital Programme the Committee noted that the proposed capital spend for 2008/9 was £11.4m. Of this, £2.4m was coming from the Department for Innovation, Universities and Skills (DIUS) via the SFC. In 2009/10 and 2010/11 respectively the proposed spend would be £10.9m (of which £2.9 DIUS) and £14.5m (of which £2.5m DIUS). It was also noted that in addition to a specific sum being set aside for backlog maintenance each year, many of the major projects identified in the plan contained an element of backlog maintenance. The amounts and projects were in line with the Estates Strategy

The Committee was supportive of the financial projection and capital plan. In response to a question on RAE income the Director of Finance confirmed that the projections assumed the current level of allocation split, but that SFC would use the RAE2008 data to calculate funding allocations from 2009/10. It was also confirmed that the University's share of the second £10m given by the Scottish Government to the HE sector had not been included in next year's budget and that SFC might forward part of the money in 2007/8.

Resolved:

- (i) to recommend the financial plan and capital forecast to Court;
- (ii) to ask that a summary paper be provided to Court members distilling the essence of the plan, in addition to presenting the forecast in the SFC format.

5. 2008/9 HOME TUITION FEES

The Convener drew members' attention to the paper laying out the Home tuition fees for 2008/9. The Committee noted that Home fees for undergraduate students were regulated. Attention focused on the postgraduate taught (PGT) element and the Committee agreed that it would be useful if the setting of non regulated fees could be brought forward to better assist the budget setting process. Members also agreed that there might be scope to further examine the PGT fees structure.

Resolved:

- (i) to approve the 2008/9 Home tuition fees, subject to review of two fees within the College of Medicine, Dentistry and Nursing.
- (ii) to ask that the mechanism for deciding fees for the PGT provision be reviewed.

6. DUNDEE UNIVERSITY PRESS

Mr Sanderson reported on the current position of the Dundee University Press indicating that the current level of capital and funding was not sufficient to allow it to meet its requirements as it goes through its growth stage. Although the company had made significant progress, the current difficulty stemmed from it taking slightly longer to bring books to market. Discussion also took place on reviewing the timing of publications and the need for an appropriate stock valuation policy.

Resolved:

- (i) to authorise a £100k maximum loan facility until the end of December 2008, at a commercial rate of interest; and
- (ii) to request that a more detailed report be presented to the next meeting of the Committee in August, providing more detail and a rationale for the strategy being adopted.

7. ALUMNI FUNDRAISING

The Secretary provided members with an update on the current activities in relation to Alumni fundraising. It was noted that a two week telephone campaign had been held in March. From the four telephone campaigns held to date a total of £430k had been pledged, of which £232k

had been received. Most of the alumni who gave regularly did so for a period of 3 years. 60% of the unrestricted cash raised was allocated to the hardship fund with the remainder allocated to support projects that improved the student experience. Currently there were just over 42,000 active alumni records of which 1100 either gave regularly or had given to the University. A direct mail campaign would be mounted in October 2008.

In discussion members agreed that it was likely that alumni would give to support the modernising of buildings and facilities to which they were once linked and that this was a strategy that should be pursued.

Resolved: to ask External Relations to consider putting resource into targeting appeals for buildings/refurbishments.

8. TRMC/CRC

The Director of Strategic Planning provided the Committee with an update on the Clinical Research Centre (CRC) and the Translational Medicine Research Collaboration (TMRC). Members noted that the CRC was now open and the first patient had been seen. It was also noted that work was underway installing the MRI scanner with imaging due to start in late June. Discussions on the provision of a PET/CT scanner were underway with the Scottish Government and NHS Tayside.

In relation to TMRC it was noted that the project was now two years into its five year period. The main priority now, for the University and its partners, was to secure a further five year extension to the Collaboration. In 2006 and 2007, 20 projects where the University was the lead were approved, with a total value to the University of £5.6m. A number of projects were being pursued which would bring third-party research funding into the Collaboration, an area where overall the collaboration was behind plan. The Committee also noted that the main structure of the new Research Laboratory at Ninewells was now well advanced with final completion scheduled for October 2008.

9. 2007/8 ANNUAL ACCOUNTS

(1) Review of Accounting Policies

Members were given an opportunity to discuss a paper outlining proposed changes to the accounting policies as a result on implementing the Statement of Recommended Practice (SORP). It was noted that the recommendation for Court approval on this matter would come from the Audit Committee.

(2) Operating and Financial Review

The Deputy Director of Finance drew members' attention to a new requirement that an Operating and Financial Review (OFR), which should include non-financial information and be more forward looking, be included in institutions' annual accounts.

It was recommended that the Annual Report should remain a separate document but should be produced later in the year, to coincide with the approval of the annual accounts. It was also proposed that in order to facilitate the production of the OFR the initial draft should be produced in consultation with the University Secretary, Director of Strategic Planning and the Communications Director. The final draft of the OFR would be reviewed by the Chairman of Court, the Principal and the Convener of the Finance and Policy Committee.

The Convener welcomed the development. Discussion centred on the change in timing and the information going to Graduates Council.

Resolved: to recommend to Court the adoption of process defined above.

10. ANY OTHER BUSINESS

(1) Dundee Student Villages

A discussion took place on the need to regularise the reporting mechanism to ensure robust monitoring of Dundee Student Villages (DSV). The Director of Finance indicated that verbal updates had been given but concurred that it was appropriate to regularise formal reporting. After discussion members agreed that the main report should come to October meetings of the Committee with an update report going to March meetings.

The Director of Finance gave a verbal update on the current status and in particular recruitment activities. To date 209 returning students have signed a new contract for 2008/9 as compared to 114 in total last year.

Resolved: to request officers adopt the October and March cycle of reporting.

(2) Procurement

The Director of Finance informed members that the University currently required formal tenders for items over £5k in value and intimated that this limit was being raised to £25k to bring it into line with a number of other Scottish Universities and to streamline processes.

(3) Student Support Services

The Secretary reported that a survey of academic staff had recently been conducted asking for their views on Student Support Services. The key outcome had been an overall satisfaction rating of 86% for the twelve services covered. The result of the survey would be reviewed at the Directors Group and Senior Management Team and would be followed up with a number of business process reviews.

(4) Scottish Institute of Cell Signalling

The Principal reported that the Scottish Government had confirmed £10m for the Scottish Institute for Cell Signalling in April. Initially this was to be spread over a 3 year period but discussions were taking place on extending this to a 5 year period. Funding would be routed through the University via the Scottish Funding Council (SFC). The Institute would pay annual rent to the University for space. The Principal also reported that the University would be required to underwrite key professional appointments but that it was felt that the risk was minimal given the stature of these appointments. Members also noted that there were strong signs of early commercialisation and a company to deal with the scientific outputs was already in place.

APPENDIX 3

COMMUNICATIONS FROM THE SENATUS ACADEMICUS
(Minute 73)

1. UNIVERSITY COURT

The Senatus received a communication from the meeting of the University Court held on 21 April 2008.

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

2. MATTERS ARISING

Induction (Minute 46)

On the extension of induction, the Secretary reported that, following further discussion with interested parties, it had been decided that a 'one size fits all' approach was not the best way forward. In consequence it was proposed to add an extra week to Semester 1 in September 2009 and to adopt a flexible approach toward the induction process with a variety of possibilities available to Schools which might include more subject-based preparation, additional tutorials, a study week during the semester, extra teaching week or a revision week prior to final assessments in December. The fundamental issue was to attempt to improve student retention through a view of induction as a whole-year process of cooperation between central support services, schools and DUSA to improve engagement between staff and students.

Resolved: to approve a proposal that week 1 of the academic calendar in 2009/10 will start on 14 September with week 0 (traditionally 'freshers week') starting on 7 September 2009.

3. PRINCIPAL'S REPORT

On research, it was reported that the University's TRAC returns for the period May to August 2007 had been only 54% with an even lower return rate of 36% for the latest figure. These returns were a government requirement in return for full economic costing of research via the research councils. It was a light-touch approach and the expectation was a return rate of c. 80% of staff. Staff who were not making the required returns were endangering the University's success in growing its research income; such low returns would result in the research councils reducing Dundee to a default rate for overhead recovery and the benefits of full economic costing (FEC) disappearing. Members were urged to make their own returns and to encourage their colleagues to do the same. It was noted that the University was committed not to use individual returns for any work-load assessment.

For the rest, to note the report.

The Senatus decided: to forward the report on its discussion to the Court.

4. PROFESSORES EMERITI

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

Professor A Burchell
Professor R K Dhir
Professor S Schor

5. CHANGE TO ORDINANCE 40 – STUDENT DISCIPLINE

The Senatus decided: to recommend to Court the following amendment to Ordinance 40:

Paragraph 2(2): after 'Director of Student Services', *delete* 'or nominee (in respect of misconduct in University Residences)' and *add* 'and the Residences Officer'.

APPENDIX 4

AUDIT COMMITTEE (Minute 76(1))

A meeting of the Committee was held on 20 May 2008.

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

In Attendance: Secretary, Director and Deputy Director of Finance, Mr A Gray (PricewaterhouseCoopers), Mr C Shanbury (Grant Thornton), Mr G Devlin (Grant Thornton) and Ms R McBurney.

The Convener welcomed Mr Devlin to his first meeting of the Committee.

1. MINUTES

Resolved: to approve the minutes of the meeting on 4 March 2008.

2. MATTERS ARISING

(1) Review of Financial Management (Minute 2(1))

In response to a question on whether there would be further formal reporting on the review of Financial Management it was reported that the internal auditors would present a report to the next meeting of the Committee.

(2) Corporate Governance (Minute 3(3))

In response to a question it was noted that the Rector had not responded with any comments on the Corporate Governance Report.

3. INTERNAL AUDIT

(1) Research Income and Forecasting

The internal auditors presented a report on the identification, collection and accounting for research income plus a review of forecasting. It was noted there were no critical or high risk findings and that satisfactory controls were in place from pre award through to accounting processes at the post award stage. The audit highlighted that the University was aware that the forecasting of research cash flow remained a key challenge. The report noted strong liaison between Research and Innovation Services and Research Finance and recommended the creation of a single research management database.

The Director of Finance indicated that the work on developing a shared database was already underway and that this would improve business processes and allow for further development of reporting but that this was a long term project. Members were also informed that a cash flow database was being built to better inform the forecasting process.

Resolved: to note the recommendations contained in the report and the associated management responses.

(2) Student Debt – Billing & Collection

The internal auditors presented a report on the Student Debt - Billing and Collection process. The report concluded that the controls in place appear to be robust and are operating effectively in practice. A number of areas of best practice were highlighted: the experience and commitment of the University's credit control team; the variety of support services in place for students encountering difficulties; the robustness of procedures for the collection of student debt; and the production of detailed monthly

management information to monitor the debt. Only a small number of minor housekeeping recommendations had been made.

The Committee was heartened by the positive report and agreed that it reflected well on the team work shown by those involved in the processes. The Director of Finance also reported that bad debt was now being accounted for within School budgets, which had increased ownership.

Resolved: to note the recommendations contained in the report and the associated management responses.

(3) Financial Accounting – General Ledger and Month-End Routines

The internal auditors presented a report on the month-end close of the general ledger and review of the integrity of the financial data captured at that time. The report verified that the process and procedures used are in line with good practice, with roles and responsibilities clearly defined and allocated. The main areas highlighted for action by the University related to the evidencing of review of the month-end control reports and reconciliations, and the updating of payroll reconciliations.

The Director of Finance informed members that a procedure for evidencing was now in place and the updating of payroll reconciliations was nearly complete.

Resolved: to note the recommendations contained in the report and the associated management responses.

(4) Internal Audit – Progress Report

Members received a progress report indicating that the internal audit plan remained on schedule and that there had been no changes to the plan since the last report.

Resolved: to note the report.

4. **EXTERNAL AUDIT**

The external auditors provided members with an update of their activity since being appointed and then presented the outline audit strategy. Members reviewed the Audit plan and timetable. It was noted that the audit would not cover Amcet or the Dundee Incubator Unit as these subsidiaries have different auditors. It was confirmed that both the University and Dundee Student Villages (DSV) had the same engagement partner. Discussion took place on whether any conflict of interest would arise in this matter. It was noted by the committee that although the engagement partner was the same, a different team out of a different office managed the DSV audit. In addition, there may be benefit in allowing consolidation issues to be considered at an earlier stage. It was noted that in the unlikely event of a conflict arising, another partner would step into the DSV role.

Resolved: to approve the strategy.

5. **2007/8 ANNUAL ACCOUNTS**

(1) Review of Accounting Policies

The Deputy Director of Finance reviewed proposed changes to the accounting policies as a result of implementing the Statement of Recommended Practice (SORP). The paper had been presented to the previous day's meeting of the Finance and Policy Committee to enable any comments to be brought to this Committee. It was noted that the changes mainly related to detail and that the main substantive change related to endowments and the way in which they are presented as either permanent or expendable and restricted or unrestricted. It was noted that this would impact upon the presentation in the balance sheet.

Members discussed reporting aspects in relation to endowments and contingent assets and noted the depreciation regime in place for equipment.

Resolved: to recommend to Court approval of the changes subject to the Director of Finance undertaking a final review of the wording on the endowment policy in relation to the treatment of capital gains.

(2) Operating and Financial Review

The Deputy Director of Finance drew members' attention a change in the SORP requiring that an Operating and Financial Review (OFR), which should contain more non-financial information and be more forward looking, be included in institutions' annual accounts. This had been commended to Court at the previous day's Finance and Policy Committee. Members were supportive of the recommendations.

6. **HEALTH & SAFETY SUB-COMMITTEE**

The Committee received a report of the Sub-Committee's meeting on 18 January 2008. In response to a question the Secretary confirmed that the Fire Brigade would not fight fires where the presence of compressed gas cylinders was a concern as the risk to life took precedence over the risk to a building. It was noted that the University had identified where gas cylinders were located and that the University, where at all possible, tried to ensure these are not within buildings. It was also noted that the University's business continuity planning and disaster recover plans dealt with this type of risk and that the University did have Business Interruption Insurance.

Resolved: to note the report.

7. **RISK MANAGEMENT MONITORING GROUP**

The Committee received a report of the Risk Management Monitoring Group's meeting on 7 May 2007.

Resolved: to note the report

8. **LEGAL/REGULATORY COMPLIANCE MATTERS**

The University Secretary reported that discussions were ongoing between the University and the NHS on the introduction of more robust procedures for the governance of research projects involving patients.

9. **ANY OTHER BUSINESS**

(1) Joint Institution Audit Meeting

Ms McBurney reported that Abertay University had been in contact with regard to holding a joint meeting later in the year. Members were supportive of such a meeting and agreed it would be important for the Scottish Funding Council to participate in the event and that the agenda items should focus on adding value.

Resolved:

- (i) invite the Convener to contact his counterpart in St Andrews to confirm participation in the event.
- (ii) to request that further work is undertaken to scope the nature of the event.

(2) Change of Dates

Members were asked to change two meeting dates for the coming academic year by putting both meetings back a day from the 1 December 2008 to 2 December 2008 and from 26 May 2009 to 27 May 2009.

Resolved: to approve the change.

APPENDIX 5

CAMPUS SERVICES COMMITTEE (Minute 76(2))

A meeting of the Committee was held on 13 May 2008.

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

In Attendance: Dr D Duncan, Mr D Yule, Mr G Davies, Mr R Kennedy, Mr A McColgan, Ms S Hamilton.

1. MINUTES OF PREVIOUS MEETING

Resolved: to approve the minute of the meeting held on 26 February 2008.

2. MATTERS ARISING

(1) Campus Green (Minute 2(1))

The Director of Campus Services reported that the Green will be finished shortly and will be ready for use by Graduation. He commended the University gardeners for a job well done.

(2) Environmental Task Force (Minute 6)

The Secretary updated the Committee members, advising that a website was now available which included our strategy and which defined key areas such as energy usage, waste disposal and trade justice. He also reported that the University had recently been awarded Fair Trade status for the whole campus including the Students Association. He thanked Trudy Cunningham, the Green Travel group and the Student Reps who had all helped the University make considerable progress in this area.

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

The Head of Estates reported on progress and in particular the IMSaT, Wilson House project. He advised that the MRI scanner and the accommodation to house it were fairly new requirements which accounted for the difference in the latest budget figures and that the increase in cost would be covered by external funds.

Resolved: to consider including an external funds line in future capital programme reports.

A draft capital plan was tabled showing the University's proposals for the next three years. Duncan of Jordanstone College of Art and Design had been identified as a priority and there was a particular need to develop a long term strategy for that College

A study had been initiated to investigate how to improve the service to staff and students of DJCAD. The Head of Estates advised that upon completion of this four month study in September/October 2008, a decision could be made on the options for new build or refurbishment.

The Convener queried whether the Matthew Building might be listed and the Head of Estates confirmed that Historic Scotland had not listed this building during their 2007 visit.

4. ESTATE STRATEGY

The Director of Campus Services reported that the document was almost ready for issue and he was satisfied that it reasonably mapped out the next ten years. It identified priorities and in particular estate condition, efficiency of use of space in buildings and energy use. He

requested that the Committee sign off the Estate Strategy document for submission to the Funding Council.

The Convener complimented the Director of Campus Services and his team for all their hard work.

Resolved: to submit the Estate Strategy to the Funding Council as soon as possible.

5. BIOMASS

The Head of Estates advised that there was an ongoing feasibility study looking at providing additional boiler capacity using wood pellets. Some issues being considered were emissions into the atmosphere, the logistics of getting material into the boilerhouse, consistency of supply of wood, availability of grants and planning issues. Solutions, recommendations and costings should be determined within the next three months.

The University Secretary commented that the New Teaching Block (Dalhousie Building) had received a Green Gown Award for efficient energy and water use.

6. DOCUMENT MANAGEMENT SYSTEM

The Estates & Buildings Practice Manager presented an electronic document management system. Using Canon hardware and working with ICS, the in-house team had customised the electronic system to meet the requirements of Estates & Buildings. The project had been managed by Sandi Hamilton.

The benefits of the system were:

- Documents could be stored once in compressed files rather than multiple copies in various locations
- Less paper so cost and space savings could be achieved
- Increase in efficiency as documents were easier to find
- Can be rolled out to other departments in the University and adapted to meet their needs.

Following a demonstration of how the system works the Secretary requested that a presentation be given to the Directors' Group to gauge suitability for wider application across the University.

7. ANY OTHER BUSINESS

(1) Botanics Update

The Secretary advised that the Botanic Gardens Working Group was carrying out discussions with a local developer who had come forward with a redevelopment proposal for the Gardens. These discussions would be carried out over the coming months.

(2) V & A North

Work was progressing on a feasibility study, funded by SET. This would be the subject of a future presentation to Campus Services Committee.

(3) Draft future Agenda items for next meeting

- (i) Estates commercial activities
- (ii) Estates KPIs
- (ii) Botanics Report
- (iv) V & A
- (v) Space management

APPENDIX 6

HUMAN RESOURCES COMMITTEE (Minute 76(3))

A meeting of the Committee took place on 20 May 2008.

Present: Dr J Lowe (Convener), Professor RJ Abboud, Professor J Calderhead, Dr H Marriage.

In Attendance: Dr DJ Duncan, Mrs PA Milne, Mrs M Davidson.

Dr Lowe welcomed Mrs Maggie Davidson, HR Officer who was attending in place of Mrs Julie Strachan who is continuing to work on HERA.

1. MINUTES OF PREVIOUS MEETING

The minutes of the previous meeting were approved.

2. MATTERS ARISING

(1) Salary Sacrifice – Pensions Plus (Minute 2)

It was reported that DUCU had decided not to conduct a ballot on the Pensions Plus Scheme and all three Campus Unions therefore indicated no objection to the implementation of the Scheme. In total 151 staff opted out of the scheme with a relatively even split between academic and support staff. The expected annual income to the University will be in the region of £325,000 - £350,000. New staff will be given the opportunity to opt out if they wish and there will be an annual opportunity in April each year for staff to opt in or out if they wish to alter their arrangements. Staff may also opt out if they have a life event that alters their circumstances. Professor Abboud stated that he knew some colleagues who decided to opt out because he had doubts about the scheme and he had attempted to reassure them. Dr Lowe thanked Professor Abboud for his assistance and stated that the introduction of the scheme was positive and had resulted in a good outcome.

Resolved: to encourage the staff who opted out to reconsider at the next annual opportunity.

(2) Change to Annual Leave Year (Minute 4(4))

It was confirmed that staff had been informed of the change to the annual leave year. The extended year 2007/2008 will continue until 31 December 2008 and the new 12 month annual leave year will commence on 1 January 2009.

Resolved: to note the position.

(3) Weekly Payroll (Minute 4(5))

The Pensions Plus scheme had temporarily diverted HR and Payroll resources from the work involved in transferring the weekly payroll to monthly. Work on this had resumed and it is expected that the transfer will take place sometime during the summer.

Resolved: to note the position.

3. FINANCIAL SUSTAINABILITY REVIEW

The statistics on the first phase of the Voluntary Severance Scheme which were submitted to the last meeting of Court were presented to the Committee. It was confirmed that the scheme had been extended but that the number of enquiries and applications was much reduced compared to the first phase. It was hoped that the restructuring of the Schools of Medicine and

Nursing & Midwifery would provide opportunities for streamlining and backfilling of posts. Dr Duncan advised that the target in phase 2 was to effect £3m savings in total: £2.25m from Colleges and £0.75m from Student and Academic Support Services. It was acknowledged that savings from voluntary severance would be more difficult in the second phase and Dr Duncan confirmed that the non-replacement of posts due to natural wastage would also count towards the £3m savings required.

Resolved: to note the position and to continue to encourage interest in the voluntary severance scheme.

4. HUMAN RESOURCES

(1) National Pay Negotiations

The Committee was informed that, in accordance with the National Pay negotiations salaries had increased by 3% in May. The next increase would be in October 2008 and this would be 2.5% or September 2008 RPI, whichever is higher. The September RPI is not announced until late in October, which would be too late to implement in October salaries, so the intention is to pay the increase and arrears in November 2008.

Resolved: to pay the October 2008 pay increase and arrears in November 2008.

(2) Framework Agreement

Mrs Milne apprised the Committee that around 60% of HERA role outline forms had been returned and most had now been evaluated. The University management group had met to consider rank order and grade boundaries. They were awaiting the final outcome of the financial modelling, following which they will discuss their deliberations with the trade unions by the end of May and, subject to agreement, will be in a position to advise staff of their grades in June.

Resolved: to note the position.

(3) Performance Management

Mrs Davidson was thanked for the huge amount of work she had put into developing the performance management processes (annex a and b). The Committee was advised that consultation had taken place with Deans, Heads of College, SASS Directors, the Senior Management Team, the Directors' Group and the Deans' meeting with the Principal. A positive response had been received from University management who specifically confirmed their support for the processes. The processes had been formulated so that they had a 'light touch', were easy to use, were in line with best practice and provided a systematic, transparent and consistent approach to managing performance. Mrs Milne reminded the Committee that the introduction of performance management was a University strategic aim and Human Resources' strategic priority.

Mrs Milne went on to describe the discussions on the subject she, Professor John Burns, Dean, Accountancy & Finance and Professor Pete Downes, Head of College of Life Sciences had with DUCU and made reference to the summary of DUCU's objections in the note of the meeting. She had pointed out that there were already linkages with performance and remuneration for professors and equivalently graded staff and that any system that ultimately applied to these staff would be based on a different model.

DUCU requested statistics and an impact assessment, both of which were in the process of being provided to DUCU. Mrs Milne held the view that the performance management process would enhance fairness, transparency and consistency. She stated that further detailed comments had been received from DUCU the previous day and these comprised 18 points. It was not clear how big the sample of professors was that had been canvassed to elicit these views.

At the University/DUCU Joint Committee on 19 May she had reiterated an earlier offer to pilot these processes for one year but could not obtain DUCU's agreement to

this suggestion. Although it was Mrs Milne's intention to meet with DUCU to discuss the impact assessment she felt that lack of agreement should not delay the implementation of performance management.

Dr Duncan stated that it was proposed to draft a covering page stating principles that should reassure DUCU about the manner in which the performance management processes would operate.

Professor Abboud stated that he had tried to ascertain the concerns of his professorial colleagues. He believed that with further consultation it should prove possible to obtain agreement with DUCU. Mrs Milne stressed that further consultation would take place, and reminded the Committee that under the Procedural Agreement, a performance management process was a matter for consultation only rather than negotiation. Dr Marriage stated that, from his experience, there can often be tension before a performance management meeting but, conducted correctly, its benefits included clarity of expectations and alignment of the employer's objectives. He acknowledged that in a University the issue of academic freedom arose but alignment with the University's aims was also important at an individual level. Professor Abboud drew attention to probationers having to undergo a similar process.

Professor Abboud also raised the issue of having a final opportunity to appeal, beyond the Head of College if an individual felt they were being treated unfairly. Dr Lowe cited grievance being the appropriate procedure to which to resort. She also acknowledged that whilst the performance management process might be perceived to be controlling, it allowed scope for individuals to set their own objectives and for these to be the subject of a conversation between the Dean and the individual.

Dr Lowe stated that the procedures were crisp and well written and that, although a covering preamble statement as suggested by Dr Duncan was desirable, the procedures themselves should not be rewritten. Dr Marriage agreed and Professor Abboud stated that the papers should go forward to the June meeting of Court.

- Resolved:**
- (i) to meet again with DUCU to discuss impact assessment and a preamble statement with a view to trying to reach agreement.
 - (ii) to clarify in the final paragraph of the procedures that mediation and the grievance procedure were options if an individual believed themselves to be treated unfairly.
 - (iii) to trial the performance management procedure for one year after which the process element would be reviewed by the University and DUCU.

(4) Managing Industrial Action

Dr Lowe stated that she welcomed the guidance provided at national level on the options Universities could exercise in the event of industrial action.

Mrs Milne indicated that she proposed to prepare a paper on the University's position in relation to industrial action but first required the HR Committee members' views on a number of points of principle.

Mrs Milne stated that the position was clear when full strike action was taken i.e. staff on strike would not receive pay. However, the matter of partial performance/action short of a strike required more consideration. The University had two options which had been legally approved: partial performance would constitute the employment contract not being fulfilled and therefore staff would not be paid at all for partial performance, or an assessment of the quantity of work the individual had not undertaken would be made and pay would be reduced by the commensurate percentage. The Committee was not in favour of the latter option as it would be difficult if not impossible to assess this accurately and therefore the University would be open to legal challenge. It was also considered that the amount of work undertaken did not necessarily equate to its importance, impact or criticality.

Discussion then took place about whether, in such circumstances, pay would be reduced by 1/260 or 1/365 for each day not worked and it was considered appropriate that 1/260 would apply. Typically, in cases of strike action the University would not apply a 'lock-out' arrangement to staff on strike unless there were health and safety reasons or risk of damage to property.

It was agreed that there would be no repayment of strike pay lost, that the same arrangements would apply to staff in management positions who chose to take industrial action and that the University would take all possible steps to cover work that was not being undertaken by staff who were on strike. Dr Duncan confirmed that annual leave applications would be dealt with in the usual way during industrial action.

Overall the Committee believed that the University's general position should be made clear but that flexibility should be retained so that each set of circumstances could be considered on an individual basis.

- Resolved:**
- (i) to deduct full pay for partial performance or full strike action.
 - (ii) to deduct full pay at the rate of 1/260 per day.
 - (iii) to refuse repayment of pay.
 - (iv) to cover work, where possible, not undertaken by staff taking industrial action.
 - (v) to undertake a risk assessment to decide whether 'lock-out' arrangements require to be implemented.
 - (vi) to make clear to staff the University's general position on industrial action.
 - (vii) to retain flexibility of approach to ensure each specific circumstance of industrial action is considered to allow the University to determine its position.

(5) Restructuring of the College of Medicine, Dentistry and Nursing

It was reported to the Committee that the restructuring of the Schools of Medicine and Nursing was underway. A joint meeting with the campus unions had taken place but had only been attended by Unison & Unite. As DUCU had not attended an offer had been made to enable them to meet with the Dean but no contact had been made yet by DUCU. Open meetings were planned in the School of Medicine and had already taken place in the School of Nursing & Midwifery. The two Heads of Division posts had been recently advertised. Professor Abboud raised the point that the advertisement of these posts appeared to be contrary to the University's present policy of advertising internally where possible. Dr Duncan explained that for one post, the School of Medicine wished to attract a senior person in Translational Medicine. It may be that the individual appointed might also be appointed Head of Division. It was decided therefore to test the market for the other post at the same time. He indicated however that the outcome might be that internal appointments are made.

- Resolved:** to note that there was good reason to advertise the posts externally in this instance.

(6) Annual Review

Mrs Milne apprised the Committee that the annual review process had been agreed by DUCU and that a HERMES message had been sent to all staff. HERA Role Outline forms would be required for promotion submissions.

Resolved: to note the position.

(7) Mediation

Mrs Milne stated that Mrs Fiona O'Donnell was moving forward with Early Dispute Resolution facilities and a number of staff were being trained in mediation from both the staff and student side. The campus unions were supportive of the approach. Dr Lowe indicated that mediation could be a useful tool when there was a dispute over performance management.

Resolved: to approve the paper.

5. **INTERNAL AUDIT REPORT**

Dr Duncan referred to the internal audit report which recommended a blue cover sheet for each agenda item presented to the HR Committee. Dr Lowe and Dr Marriage expressed the view that, in order to minimise bureaucracy, the blue cover sheet should only be prepared for items where the HR Committee members were expected to give their views on particular aspects of the paper. Papers provided for information only would not require blue cover sheets.

Resolved: to provide blue cover sheets for items requiring input and/or a decision by the Committee.

6. **EQUALITY AND DIVERSITY**

Mrs Milne reported that the technical aspects of providing Equality & Diversity on-line training were being progressed currently. A Training Advisory Group had been set up and had met twice.

Professor Abboud stated that he had been involved in a particular situation which indicated that College Secretaries were not cognisant with equality legislation and the need for committees to be as diverse as possible.

Resolved: to note the position to raise the matter at the next College Secretaries' Group meeting

7. **PERSONAL AND PROFESSIONAL DEVELOPMENT**

The Committee was informed that the Career Bridges programme had been very successful again this year and many staff had benefited from involvement in it. Mrs Milne also stated that Dr Terry Vickers had arranged for Alistair Work, a former Vice-Principal of St Andrews University and now a training consultant, to deliver training to support the implementation of performance management. She highlighted Alistair Work's experience of Higher Education and the credibility this would lend to the training.

The Committee discussed the Teaching Awards and welcomed the award for an outstanding contribution over a lifelong period, although registered disappointment at the numbers of staff being nominated for the awards. The Generic Skills report was noted.

Resolved: (i) to raise the profile of the teaching awards.

(ii) to change the closing date to a date in autumn to allow academic and teaching staff time over the summer to prepare their portfolios of achievement.

8. **HEALTH AND SAFETY**

It was reported to the Committee that the University had received another visit from the Health & Safety Executive. The report was generally positive and Mrs Milne was arranging that the two main points raised: stress risk assessment and managing absence were given attention in preparation for their next visit. Dr Marriage welcomed the information that allergies were treated seriously.

Resolved: to note the position.

9. **LOCAL JOINT COMMITTEES**

(1) University/DUCU Joint Committee

The minutes of the meeting held on 31 January 2008, were received.

(2) University/Unite Local Joint Committee

The minutes of the meeting held on 6 May 2008, were received.

(3) University/Unison Local Joint Committee

The minutes of the meeting held on 6 May 2008, were received.

10. **AOCB**

Mrs Milne tabled a revised Work/Life Balance Policy (annex c) which had been prepared in line with recent legislative changes and agreed with the Unions. She asked the Committee to advise her of any comments.

Resolved: to approve the Policy subject to any further comments by the Committee.

**UNIVERSITY OF DUNDEE
STAFF PERFORMANCE MANAGEMENT**

OBJECTIVE-SETTING AND REVIEW FOR PROFESSORIAL STAFF

PROCESS AND GUIDANCE

STRATEGIC FRAMEWORK TO 2012

The importance of staff performance management is emphasised in the University's 'Strategic Framework to 2012' document which was approved by Court in June 2007.

The Strategic Framework highlights the key challenge of unlocking the full productive capacity of our staff, reflecting the increased scale and complexity of the University and the considerable financial and other challenges which we face. Our teachers and researchers, and those who support them, represent our principal resources. It is our responsibility to manage these resources diligently and to create a stimulating, rewarding and productive environment.

It is the responsibility of the Human Resources team to provide a framework and support, but the implementation of staff performance management is shared across all staff managers. Consequently all parts of the University are jointly responsible for embedding staff performance management and the achievement of this has been identified as a Key Performance Indicator for the University as a whole.

PROCESS

Purpose

- To enhance the personal contribution of individual members of the professoriate through dialogue between the Professor and their Dean.
- To review achievements over the previous year or period.
- To agree objectives and target dates for achievements over the forthcoming year or period in line with the School's strategy and University's aims and objectives.
- To discuss any challenges or areas of concern.
- To agree training and development activities to support the achievement of the Professor's objectives over the forthcoming year or period.

Cycle of Meetings

- Meetings should take place between the Professor and Dean on an annual basis or on a more frequent basis if required, or as agreed between the parties.
- The meetings will take place as determined by the annual performance management timetable.
- Interim meetings may be scheduled if required.

Timetable

- **By 30 September**
 - All objective-setting and review meetings to be completed.
- **By mid-October**
 - Deans to advise the College Human Resources Officer of the number of professorial objective-setting meetings completed in School.
 - College Human Resources Officer to report numbers for Schools/College to the Director of Human Resources.
- **November**
 - Director of Human Resources reports percentage of professorial objective-setting meetings completed to Court.
 - Professorial Review and Remuneration Committee.

Content of Objective-setting and Review Meeting

- The objective-setting and review meeting will involve the Professor and the Dean. The normal expectation is that, wherever possible, the Dean will be involved in the objective setting and review meeting. In large units where the Dean is unable to be involved in all meetings, the Dean and Vice-Principal and Head of College will agree the person to whom the Dean will delegate this responsibility.

- The Professor will prepare for the meeting by undertaking a self-review. He/she will complete form PROFPM1 and document his/her personal achievements and contribution to School/University as well as identifying possible future objectives and the training and development that would support the achievement of these objectives.
- The Professor will email form PROFPM1 and a copy of his/her up-to-date CV to the Dean at least one week in advance of the objective-setting and review meeting. This will form the basis of the discussion.
- The Dean and the Professor will agree appropriate objectives for the forthcoming year or period and these will be recorded on Part 1 of form PROFPM2, which will be signed by both.
 - Where agreement cannot be reached the Dean will determine the essential objectives that must be achieved in order that the Professor is making the required contribution to School strategy and the necessary contribution to the University's aims and objectives.
- As well as completing Part 1 of form PROFPM2 the Dean and the Professor will also agree and sign the training and development form for Professorial staff (form PROFPM3). The Dean and Professor will agree how the training will be arranged and who will be responsible for arranging it.
- Following the objective-setting and review meeting, the Dean will summarise his/her assessment of the Professor's achievements against the objectives for the previous year or period on Part 2 of form PROFPM2. The Dean will sign this and return the form PROFPM2 to the Professor. The Professor will add any comments he/she wishes to make, sign and return the form to the Dean, having retained a copy for his/her own record. The form will be filed in a confidential storage system within the School.
- The Dean will ensure a record is maintained that the objective-setting and review meeting has taken place so that a return can be made to the College Human Resources Officer. The Director of Human Resources will report to Court the overall percentage of objective-setting and review meetings that have been completed in SASS/Directorates and Colleges/Schools.
- The frequency of the meetings will be agreed between the Dean and the Professor and typically will be annually, unless there is reason to meet at different intervals.
 - The next objective-setting and review meeting should be diarised by both the Dean and the Professor as a firm commitment.
- Objective-setting and review for professorial staff should be seen as a continuous process, involving adjustments to the objectives as necessary depending on the environment and circumstances in which the School/University is operating.

GUIDELINES

Confidentiality

- Typically, the discussion about objectives will be conducted between the Professor and the Dean. The Vice-Principal and Head of College may have input to ensure the objectives are in line with the School/College strategy.
- Documentation related to professorial objective-setting and review will be filed in a confidential storage system in the School.
- Where poor performance needs to be addressed, confidentiality will be maintained as far as reasonably possible and will involve only officials of the University necessary to the process (e.g. Vice-Principal and Head of College, Human Resources etc.).

Link with Remuneration

- The Remuneration Committee considers salary awards for professorial staff submitted by Vice-Principals and Heads of College in the first semester of the academic year.
- Achievements against objectives will be taken into account when making salary award recommendations. Other relevant factors will also be taken into account. The Remuneration Committee considers the following criteria when making awards:
 - Individual performance
 - Internal contribution in the form of especially effective leadership of successful research groups, effective leadership of teaching or quality initiatives, generation of research and other income
 - External recognition in the form of membership of learned societies and distinguished bodies, etc. or other honours e.g. honorary degrees, FRS, FBA, FRSE, Feng, etc.
 - Academic distinction in the form of publications, lectures to external bodies, some forms of external appointments, etc.
 - Contributions to Unit/School/College

- Areas relating to individual contribution to their Unit/School/College in which distinguished, high quality contributions in some of the following ways may be examples of indicators:
 - Effective leadership of a Unit/School/College
 - Outstanding contribution to College-wide initiatives or goals.
- Institutional Contributions
 - Areas relating to individual contribution to institutional goals in which distinguished, high quality contributions in some of the following ways may be examples of indicators:
 - Managerial leadership, especially in difficult areas or circumstances
 - Convenership of, or contributions to, University of Dundee committees or groups
 - Leadership of, or contribution to, cross College or University-wide initiatives or goal.

Issues

- In the event that a Professor believes that the objectives he/she has been set are unreasonable, the matter will be passed to the Vice-Principal and Head of College to decide.
- If the Vice-Principal and Head of College believes the objectives to be reasonable the Professor will be expected to undertake the objectives.
- If the Vice-Principal and Head of College believes the objectives to be unreasonable a further objective-setting meeting will take place involving the Professor, the Dean and the Vice-Principal and Head of College in order that alternative objectives may be set.
- The professorial objective-setting and review process and other University policies are not mutually exclusive. Raising a complaint under another policy (e.g. early dispute resolution, grievance) will not preclude the continuation of the professorial objective-setting and review process.

**UNIVERSITY OF DUNDEE
STAFF PERFORMANCE MANAGEMENT**

OBJECTIVE-SETTING AND REVIEW FOR SENIOR MANAGEMENT

PROCESS AND GUIDANCE

STRATEGIC FRAMEWORK TO 2012

The importance of staff performance management is emphasised in the University's 'Strategic Framework to 2012' document which was approved by Court in June 2007.

The Strategic Framework highlights the key challenge of unlocking the full productive capacity of our staff, reflecting the increased scale and complexity of the University and the considerable financial and other challenges which we face. Our teachers and researchers, and those who support them, represent our principal resources. It is our responsibility to manage these resources diligently and to create a stimulating, rewarding and productive environment.

It is the responsibility of the Human Resources team to provide a framework and support, but the implementation of staff performance management is shared across all staff managers. Consequently all parts of the University are jointly responsible for embedding staff performance management and the achievement of this has been identified as a Key Performance Indicator for the University as a whole.

PROCESS

Purpose

- To enhance the personal contribution of individual members of senior management through dialogue between the member of senior management and his/her line manager.
- To review achievements over the previous year or period.
- To agree objectives and target dates for achievements over the forthcoming year or period in line with the Directorate/College/Library's strategy and the University's aims and objectives.
- To discuss any challenges or areas of concern.
- To agree training and development activities to support the achievement of the member of senior management's objectives over the forthcoming year or period.

Cycle of Meetings

- Meetings should take place between the member of senior management and his/her line manager on an annual basis or on a more frequent basis if required, or as agreed between the parties.
- The meetings will take place as determined by the annual performance management timetable.
- Interim meetings may be scheduled if required.

Timetable

- **By 30 September**
 - All objective-setting and review meetings to be completed.
- **By mid-October**
 - Line manager to advise the SASS Human Resources Officer of the number of senior managers' objective-setting meetings completed.
 - SASS Human Resources Officer to report numbers for senior managers in Directorates/Colleges/Library to the Director of Human Resources.
- **November**
 - Director of Human Resources reports percentage of senior management objective-setting meetings completed to Court.
 - Professorial/Senior Management Review.

Content of Objective-setting and Review Meeting

- The objective-setting and review meeting will involve the member of senior management and his/her line manager.
- The member of senior management will prepare for the meeting by undertaking a self-review. He/she will complete form SMPM1 and document his/her personal achievements and contribution to the Directorate/College/Library/University as well as identifying possible

future objectives and the training and development that would support the achievement of these objectives.

- The member of senior management will email form SMPM1 and a copy of his/her up-to-date CV to his/her line manager at least one week in advance of the objective-setting and review meeting. This will form the basis of the discussion.
- The line manager and the member of senior management will agree the appropriate objectives for the forthcoming year or period and these will be recorded on Part 1 of form SMPM2 and the form signed by both.
 - Where agreement cannot be reached the line manager will determine the essential objectives that must be achieved in order that the member of senior management is making the required contribution to the Directorate/College/Library's strategy and the necessary contribution to the University's aims and objectives.
- As well as completing Part 1 of form SMPM2 the line manager and the member of senior management will also agree and sign the training and development form for senior management (form SMPM3). The line manager and the member of senior management will agree how the training will be arranged and who will be responsible for arranging it.
- Following the objective-setting and review meeting, the line manager will summarise his/her assessment of the member of senior management's achievements against the objectives for the previous year or period on Part 2 of form SMPM2. The line manager will sign this and return the form SMPM2 to the member of senior management. The member of senior management will add any comments he/she wishes to make, sign and return the complete form to the line manager, having retained a copy for his/her own record. The form will be filed in a confidential storage system within the line manager's office.
- The line manager will ensure a record is maintained that the objective-setting and review meeting has taken place so that a return can be made to the SASS Human Resources Officer. The Director of Human Resources will report to Court the overall percentage of senior management objective-setting and review meetings that have been completed in Directorates, Colleges/Schools and the Library.
- The frequency of the meetings will be agreed between the line manager and the member of senior management and typically will be annually, unless there is reason to meet at different intervals.
 - The next objective-setting and review meeting should be diarised by both the line manager and the member of senior management as a firm commitment.
- Objective-setting and review for senior management should be seen as a continuous process, involving adjustments to the objectives as necessary depending on the environment and circumstances in which the University is operating.

GUIDELINES

Confidentiality

- Typically, the discussion about objectives will be conducted between the member of senior management and the line manager.
- Documentation related to senior management objective-setting and review will be filed in a confidential storage system in the line manager's office.
- Where poor performance needs to be addressed, confidentiality will be maintained as far as reasonably possible and will involve only officials of the University necessary to the process (e.g. line manager, Human Resources etc.).

Link with Remuneration

- The Remuneration Committee considers salary awards for senior management submitted by Vice Principals, Directors and the University Secretary in the first semester of the academic year.
- Achievements against objectives and any other relevant factors will be taken into account when making salary award recommendations.

Issues

- In the event that a member of senior management believes that the objectives he/she has been set are unreasonable, the matter will be passed to a Vice-Principal (who is not the senior manager's line manager) to decide.
- If the Vice-Principal believes the objectives to be reasonable the member of senior management will be expected to undertake the objectives.

- If the Vice-Principal believes the objectives to be unreasonable a further objective-setting meeting will take place involving the member of senior management, the line manager and the Vice-Principal in order that alternative objectives may be set.
- The senior management objective-setting and review process and other University policies are not mutually exclusive. Raising a complaint under another policy (e.g. early dispute resolution, grievance) will not preclude the continuation of the senior management objective-setting and review process.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES
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Full copies of all these policies, procedures and application forms are available from Human Resources.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES

FOREWORD

I am pleased to introduce the University of Dundee's suite of Work/Life Balance Policies.

In developing the policies the University continuously draws on the knowledge and experience of the representative bodies and Human Resources staff. The result is a wide ranging, and in some areas, innovative set of policies designed to support our staff balance work and home life and deal with personal responsibilities, as well as some of life's major events.

Our aims in promoting Work/Life Balance Policies are to demonstrate the value the University places on its employees and to recognise the need for flexibility in the relationship between employer and employee within a context that supports our equality and diversity objectives.

We believe that through such Human Resources policies, the University will benefit through the commitment of our staff and that this approach will help us retain existing valuable employees and support our aspiration to make the University of Dundee an employer of choice.

Mrs Pamela A Milne MA MBA MCIPD
Director of Human Resources

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES

ADOPTION LEAVE

The University recognises that staff who adopt a child require sufficient time for bonding, building trust and developing their family unit.

One of the adoptive parents of a child under the age of 18 years will be entitled to paid adoption leave subject to eligibility. It is for the parents themselves to decide which of them is to take adoption leave.

For full details of adoption leave please refer to guidance notes on Maternity and Adoption Leave (section 10)

Parents of adoptive children who do not take adoptive leave may be eligible for Paternity/Maternity Support Leave.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES

CARERS' LEAVE

The University recognises that many staff will have caring responsibilities for adults at some stage in their lives. The right to request flexible working may allow them to better balance work with their caring responsibilities.

The adult for whom the member of staff cares must be 18 or over and a

- spouse, civil partner or partner
- near relative (parent, adult child, sibling, aunt, uncle, grandparent or any adoptive, step-or in-law relation)
- dependant adults living at the same address.

To be eligible for flexible working for caring reasons, staff must have been continuously employed by the University for 26 weeks.

To apply for consideration for flexible working for this purpose you should refer to the Job Share/Part-time/Flexible Working Guidance Notes and Procedure and complete and submit the application form to your line manager. The application form should be accompanied by a letter from your GP confirming the details of your caring responsibilities.

It should be noted that, whilst the University will seriously consider each application and, where possible, support the member of staff by agreeing to the request, the member of staff does not have a right to work flexibly and the University, therefore, reserves its position to decline a request if it is not operationally possible, based on any of the reasons given under the Job Share/Part-time/Flexible Working section of this booklet.

If the request is declined the member of staff is entitled to appeal in accordance with section 13 of the Work/Life Balance Policy booklet.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES
COMPASSIONATE LEAVE – BEREAVEMENT

On the death of your closest relatives or dependants (i.e. spouse, partner, civil partner, parent (in-law), natural or adopted child or relatives who live with you) the University will grant you a period of paid leave.

The duration of paid leave will take account of your relationship with the deceased, any domestic responsibilities you may have to undertake and any travel arrangements, but will not normally extend beyond 5 days.

Paid leave, normally not exceeding 1 day, will be extended in respect of the death of other close family relatives and people with whom you have had close or professional relationships, for the purpose of allowing you to attend the funeral.

Heads of Departments/Deans may allow unpaid leave or a flexible working arrangement to enable staff to attend funerals of friends or other relatives.

Special consideration will be given to extenuating circumstances but, typically, the above arrangements will apply.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES
FAMILY LEAVE – CHILDREN AND DEPENDANTS

The University recognises that there may be occasions when the sickness or injury of a family member means that you are unable to attend work.

We will allow *reasonable* time off to take necessary action to deal with the situation. Time off is normally limited up to three days without loss of pay and may be granted at the discretion of Heads of Departments/Deans. Subsequent days, paid or unpaid, may be granted, depending on the circumstances. You should advise your Head of Department the reason for your absence and the possible duration. You should contact your Head of Department on a daily basis if the absence extends beyond one day in order that cover arrangements can be made.

Family Leave is provided where:

- a dependant falls ill or is injured
- childcare or other care arrangements break down
- a dependant has died (see Compassionate Leave – Bereavement)

The definition of a dependant is a spouse, partner, child or parent, or a person living as a family member in the same household. In the case of illness, injury or breakdown of care arrangements, a dependant can also include someone who relies on you for assistance, but may not live with you.

Heads of Departments/Deans are encouraged to allow flexible working arrangements to enable staff to attend a hospital appointment with a child or dependant. In these circumstances you should show the hospital appointment card to your Head of Department/Dean, indicate the length of time you expect to be absent from work and make arrangements for making up the time.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES
LEAVE FOR FERTILITY TREATMENT

The University recognises that fertility treatment is a stressful and emotionally demanding experience.

To support members of staff who are undergoing treatment personally, we will allow up to 5 days paid leave in any academic year for investigations or treatment. These days may be taken as a block of 5 days or separately as necessary. A maximum of 10 days overall will be available to individual members of staff.

To be eligible for leave for fertility treatment, staff must have been continuously employed by the University for at least one year.

If you require leave for fertility treatment you should advise your Head of Department/Dean or approach Human Resources to do so on your behalf. A letter from the hospital/clinic where you are being treated should be provided to your Head of Department/Dean, stating the expected week and the duration of the investigations or treatment.

Request for leave for fertility treatment will be treated in the strictest confidence.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES
FLEXIBLE WORKING

INTRODUCTION

Changes in work patterns and culture mean that full-time, week long, year round employment is not necessarily the only or best type of employment for both employee and employer. By acknowledging a range of flexible working practices, the University of Dundee hopes to consider different ways of working which may be mutually beneficial.

The benefits of flexible working include retention of valued staff, potential for matching working hours to periods of greatest need, potential for staffing over a wide range of hours, more satisfied less stressed staff and the ability to fit working hours with individual commitments. Flexible working is not intended to increase the temporary or part-time nature of the job to the detriment of either staff or the University. Flexible workers are as valuable to an organisation as those in traditional full-time work and their performance should be measured and assessed in the same way.

The types of flexible working detailed below are given as examples of flexible working that could be negotiated by individuals within Departments/Schools if mutually beneficial.

FLEXIBLE WORKING HOURS

Flexible working hours allow employees to choose, within set limits, the times they start and finish work. This practice already exists within the University as an informal arrangement.

Within the University there exist both staff who work a specified number of hours per week and those who work the time that is reasonably required to fulfil the duties of the post. For the former type of job, the Department should define the required start and finish times of the job. Flexible working hours would allow Departments to agree with individuals different acceptable start and finish times when they expect the employee to be at their post. This could apply to both full and part-time staff.

PART-TIME WORKING

This is where the employee is contracted to work a proportion of normal full-time working and is paid pro-rata and receives contractual benefits over a 52 week period. Part-time working is already widely used in the University.

SEMESTER-TIME WORKING

This is already used in the University generally based on University semesters, not school terms but it could be used for either. The work may be full or part-time and salaries may be paid pro-rata during the whole year or the period between semesters may be treated as unpaid leave.

JOB SHARING

This is where 2 or more individuals, with separate contracts of employment, share the responsibilities of a full-time job agreeing, with reference to the needs of the employer, how best to cover the duties involved. A basic arrangement, e.g. of each carrying out 50% of the work may be covered by one week on, one week off; mornings only working and afternoons only working; alternate days, or half the week each. The proportion of the job share may differ from 50/50. Job sharers may need to have built in to their job time for handover and liaison.

Job sharing is similar to part-time working. It came into use in the early 1980's as a more accepted way of introducing part-time hours into jobs which had traditionally only been available on a full-time basis, particularly at senior and managerial levels.

A Job Share Register is available in Human Resources. This Register is accessible to staff who are currently working full-time but wish to transfer to part-time work should such become available through requests for job-share or reduced hours.

VOLUNTARY REDUCED WORKING TIME

Income is traded for time off. Employees negotiate to reduce their full-time working hours by an agreed percentage for a specified period with the possibility then of either returning to full-time work or extending the reduced work time arrangement. The time off may be taken in a variety of ways, e.g. reducing the working day or week or by taking a block of time off in the year.

ANNUAL HOURS

This is an arrangement in which employees contract for a total number of working hours over a 12 month period. When those hours are actually worked will be negotiated according to the demands over a time period which may be as little as a month or as much as a year. Peaks and troughs in work can be met by adjusting hours worked to meet demand. This enables employers to match staffing more closely to their needs. Salary may be calculated on regular time periods, so providing a steady income regardless of the number of hours worked in the pay period.

REMOTE WORKING/HOME WORKING/FLEXI-PLACE/TELE WORKING

Home working, remote working, flexi-place or tele working are all arrangements which create flexibility in a work place rather than work time.

The nature of the post may allow an employee to work at home, or to use branch or satellite offices where the use of computing and telecommunications equipment are essential. Such arrangements may be initiated, e.g. a part of a long-term strategic plan, in recognition of the travel demands of the job or as an ad hoc arrangement to meet unexpected situations or individual circumstances.

Successful schemes are characterised by:-

- * a relationship with mutual trust between manager and tele worker.
- * clearly defined goals and expectations on both sides.
- * regular and well structured communication.
- * regular face to face meetings, both with managers and other team members.
- * close integration into corporate culture, including participation in appraisal schemes and training programmes.

CAREER BREAK / EMPLOYMENT BREAK

An employment or career break is an extended period of unpaid leave from work. The intention is that at some future date, the employee will return to work with the same employer at either the same level or the same job, retaining all or most of the service related benefits.

This employment break would include breaks taken for the following reasons:

- * parental leave, other caring responsibilities, e.g. elder, sick or disabled dependants,
- * cultural leave, i.e. where for religious or other reasons an employee wishes to take a long break.
- * disability leave, where a person who has become disabled has a period of time off work to adjust before returning to work.
- * other, to fulfil an ambition or participate more fully in a non - work interest

Generally, an employment break is not given where the employee will be similarly employed by another organisation (an exception to this is leave of absence - see below).

The University of Dundee will consider Employment/Career breaks of up to three months initially although longer breaks may be considered depending on the circumstances.

To be eligible to apply, an employee must have at least three years continuous service with the University. An employee can apply for a break only once every three years of service. The application should be made, where possible, six months in advance.

The following conditions would apply:

Superannuation - When on unpaid leave an employee can choose whether or not to continue pension payments for this period. If they wished to continue, the employee would have to pay both the employers and employees costs.

Continuous Service - Where an employee takes an Employment/Career break she/he would retain their continuous service date.

Annual Increment – Where an employee takes an Employment/Career break of longer than 6 months, she/he would not receive their annual increment during the period of the Employment/Career break.

Annual Leave - An employee will not accrue annual leave during the Employment/Career break.

LEAVE OF ABSENCE

Leave under this heading is generally taken by academic or academic and related staff.

a. Periodic leave / Sabbatical

This may be granted to members of staff who have served not less than 3 years at the rate of one semester in respect of each period of service of 3 years, subject to a maximum of one years leave on any one occasion. Full payment of salary, superannuation and national insurance is continued but the member of staff granted such leave may not undertake other paid employment except on the type normally permitted to University teachers in addition to their normal duties. This rule may be waived by the Court when the leave is taken in a country in which the cost of living is higher than that of the United Kingdom.

b. Special Leave with Pay

This type of leave will be granted for short periods only to enable members of staff to attend meetings of learned societies, give papers at conferences, advise other institutions and for similar purposes. If the leave is for 1 week or less or if wholly in vacation, the member of staff may agree it informally with the Head of Department/Dean.

c. Special Leave without Pay or with Partial Pay

This is similar to Special Leave with Pay above, unless there are financial implications for the Department or the financial arrangements for the member of staff will require approval.

WORK/LIFE BALANCE POLICIES

There are a range of policies designed to support staff to balance work and home life and deal with personal responsibilities, as well as some of life's major events.

- Adoption Leave
- Carers' Leave
- Compassionate Leave – Bereavement
- Family Leave – Children and Dependants
- Fertility Treatment Leave
- Foster Care Leave
- Job Share / Part-Time Working
- Maternity Leave
- Parental Leave
- Paternity / Maternity Support Leave

Full copies of all these policies, procedures and application forms are available from Human Resources.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES

FOSTER CARE LEAVE

The University values the contribution to the community made by foster parents and the commitment of staff who provide foster care for children.

To support staff make the necessary arrangements to receive the child being fostered, and to settle them into the family home, a maximum of two days paid leave will be allowed following a formal fostering arrangement. This will be subject to a maximum of 4 days paid leave per year. This arrangement is only applicable to long term fostering, which would not normally be less than 6 months.

To be eligible for Foster Care Leave staff must have been continuously employed by the University for at least one year.

If you require leave for foster care, you should notify your Head of Department/Dean at the earliest opportunity and provide relevant documentation in evidence of the arrangement.

Foster Care Leave is available for fostering children through the Local Authority or other recognised agencies and normally does not apply to the short or long-term care of children who are family members. However, foster care leave may also be available to members of staff where children of very close relatives would otherwise have to be fostered or go into local authority care for a period not normally less than 6 months.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES
JOB SHARE / PART-TIME WORKING

Guidance Notes

The University acknowledges a range of flexible working practices (see Flexible Working Guidelines) and has introduced job share and part-time working in a variety of posts. The right to apply for flexible working is provided for within the Employment Act 2002.

The job share / part-time working application form (available from Human Resources) is intended for use when an employee wishes to reduce their working hours. The reduction can be requested either on a permanent or short-term basis.

Applications to work on a job share or part-time basis are welcome from all staffing groups, and no application will be discriminated against on the grounds of sex, marital status, disability, race, colour, nationality or ethnic origin, sexual orientation, religious belief or age.

Procedure**Requests to work reduced hours in current post**

The applicant completes section 1 of the relevant form (available from Human Resources) giving details of the hours of work they would like on which days etc and an outline of the effect the change in working pattern will have on the Department.

The completed form should then be sent to the Head of Department/Dean.

The Head of Department/Dean must fully consider the applicant's request and assess the current role of the individual. Account should be taken of the duties, responsibilities, and regular commitments which the individual has. Consideration should be given to the flexibility of the role and the possibilities for redistribution of workload.

Where it is felt that the role does not lend itself to the proposals made by the applicant thought should be given to any alternative working arrangements which could be accommodated.

Consideration that the position would accommodate a job share arrangement or more than one person working part-time to cover the current working hours should be made.

The Head of Department/Dean should meet with the member of staff to discuss their request within 28 days of receipt of the application and should notify the employee of their decision, in writing, within 14 days of that meeting.

The completed job share / part-time working application form should be sent to Human Resources. If the application has resulted in a change to current contracted working hours, written confirmation of the change should be sent to Human Resources in order that the appropriate amendments be made.

When considering your application for job share / part-time working, your Head of Department/Dean will assess the feasibility in terms of the impact of the work in your department.

A refusal may be based on one or more of the following reasons:

- The burden of additional costs
- Inability to reorganise work among staff
- Inability to recruit additional staff
- Detrimental effect on ability to meet customer/student demand
- Detrimental impact on quality
- Detrimental impact on performance
- Insufficiency of work during periods proposed for work
- Any planned structural change

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES
MATERNITY AND ADOPTION AGREEMENT

Guidance Notes

This section provides guidance on the rights to maternity and adoption benefits of female members of staff following the introduction of the Work and Families Act 2006 and associated regulations which provided maternity rights to pregnant employees whose babies are due on or after 1 April 2007.

These notes are for guidance only. All pregnant employees or employees due to have an adoption placement should contact their College/SASS HR Officer for further information about how these provisions affect them.

Definitions/Abbreviations**Statutory Maternity Pay (SMP) / Statutory Adoption Pay (SAP)**

Statutory sum paid if you meet certain qualifying conditions.

Occupational Maternity Pay (OMP) / Occupational Adoption Pay (OAP)

Additional sum paid by the University if you meet certain qualifying conditions.

Maternity Allowance (MA)

Sum to which you may be entitled if you are exempt from SMP. This is payable by the Department of Work & Pensions.

Expected week of childbirth (EWC)

The week during which the baby is expected to be born.

Maternity Certificate (MatB1)

Certificate issued by a registered Medical Practitioner or practising Midwife confirming the expected week of childbirth.

Qualifying Week (QW)

Is the 15th week before the baby is due. This week is used to identify whether or not you are eligible for SMP.

Ordinary Maternity Leave (OML)

The first 26 weeks of maternity leave.

Additional Maternity Leave (AML)

Additional Maternity leave (up to 26 weeks) which can be taken after the period of Ordinary Maternity Leave.

Ante-Natal Care

You are entitled to paid time off to attend ante-natal examinations and classes. However, you must inform your line manager as soon as possible of these appointments and your line manager may request that you provide an appointment card or note from your GP or Midwife.

Health and Safety

There are now statutory provisions providing either for suitable alternative work on terms and conditions not substantially less favourable than your normal conditions or suspension on full pay, where on medical grounds it is not safe for you to continue in your normal job. In these circumstances you will either be offered suitable alternative work or be suspended on medical grounds on full pay.

Continuous Employment

Your entire maternity/adoption leave period will count towards your period of continuous employment.

Incremental Date

Your incremental date is retained during your period of maternity/adoption leave.

Pension Benefits

Please contact the Pensions Office directly with any queries regarding your pension entitlements during maternity/adoption leave.

Annual Leave Entitlements

Whilst on maternity/adoption leave you will continue to accrue annual leave based on your contracted entitlement for the first 26 weeks. For the remaining 26 weeks (additional maternity leave), annual leave is accrued on the basis of the Working Time Regulations. This will be at the rate stated in your contract of employment for the first 26 weeks (ie while on Ordinary Maternity Leave) and then in accordance to the Working Time Regulations if you take Additional Maternity Leave.

Before taking maternity/adoption leave you will be informed by the University of the period of annual leave which will accrue during this period.

Any leave accrued during the current leave year may be used in lieu of any equivalent amount of unpaid maternity/adoption leave.

Annual leave accrued during maternity/adoption leave can be carried from one leave year into the next.

Applying for Maternity/Adoption Leave

Maternity/adoption leave can start on any day of the week.

You can choose to commence maternity leave at any time between the 11th week before the date of delivery and the expected date of delivery. You may not commence maternity leave prior to the 11th week before the expected week of childbirth.

However, from the beginning of the 4th week before the expected date of delivery, maternity leave will automatically be triggered if you are absent from work due to a pregnancy related illness or childbirth has occurred.

You should complete an 'Application for Maternity/Adoption Leave' form and return it to Human Resources at least 28 days before you wish to commence maternity/adoption leave. You are required to give 28 days notification of maternity/adoption leave, but it is clearly helpful if more notice can be given to make arrangements. It is, therefore, suggested that 13 weeks' notification is given to Human Resources, if possible.

The maternity/adoption leave application form must state the date you intend to commence leave and your proposed date of returning to duty (if you intend to return to work).

You must also submit a statement from a registered Medical Practitioner or practising Midwife (normally on the form MatB1) indicating your expected date of childbirth or a copy of letter which provides notification of approval for adoption at least 28 days before you intend to commence maternity/adoption leave.

Contact during Maternity Leave – 'Keeping in Touch' days

Employees on maternity leave can, if agreed, go into work for up to 10 days (separate or in block) without losing entitlement to maternity leave or pay. In addition to these 'Keeping in Touch' days, the employer may maintain reasonable contact with employees on maternity leave to discuss the employee's plans for returning to work or to provide an update on developments in the workplace.

Employees with more than 12 months continuous service at the expected week of childbirth (EWC)

To qualify for the University Maternity/Adoption Leave Scheme you should have been continuously employed in the University's service for a minimum period of 12 months before the expected week of childbirth (EWC).

Starting Maternity/Adoption Leave

You may cease work at any time from the end of the twelfth week before your expected week of childbirth, right up to the week of childbirth. A minimum period of maternity leave, however, of 2 weeks following the birth of your child must be taken. SMP/SAP and salary will not be payable for ceasing work earlier than the twelfth week.

If you are absent from work as a result of pregnancy after the start of the 4th week before the expected week of childbirth, the University reserves the right to require you to start your maternity leave. In such a case sick pay will cease and maternity pay will start to be paid.

Notification of Pregnancy and Leave

You should discuss the date you will be starting maternity/adoption leave on with your immediate supervisor as soon as is reasonably practicable. It is requested that Human Resources receive the following no later than 13 weeks before the expected week of childbirth (EWC).

- (1) A medical certificate (MAT B1 form) obtainable from your GP or clinic, stating the expected week of childbirth or a copy of letter which provides formal notification of approval for adoption.
- (2) A completed 'Application for Maternity/Adoption Leave' form.

You are required to give 28 days notification of maternity/adoption leave, but it is clearly helpful if more notice can be given to make arrangements. It is, therefore, suggested that 13 weeks' notification is given to Human Resources, if possible.

Maternity/Adoption Pay

Provided that the requirements specified are met, you will qualify for the University Maternity/Adoption Leave Scheme and you will be entitled to:

8 weeks on full pay, plus 16 weeks on half pay, plus 15 weeks SMP/SAP, plus if you wish, up to 13 weeks on unpaid leave thereafter.

Please note that full pay will include any statutory allowances payable.

Returning to Work

If you have already stated that you wish to return to work, you may do so at any time up to the end of 52 weeks from the date your maternity/adoption leave commences, except that you may not return within 2 weeks of the birth of your child.

You must give at least 8 weeks notice, in writing, of the date on which you intend to return to work.

If you do not return to work and continue in employment with the University for at least 3 months after your maternity/adoption leave, the University will reclaim the whole of the non-statutory element of your maternity/adoption pay from you.

Postponing Your Date of Return

If you are unable to return at the end of your maternity/adoption leave for medical reasons, please send in medical evidence and you will be treated as an employee on sick leave.

Employees with less than 12 months continuous service at the expected week of childbirth (EWC)

If you do not have sufficient service with the University to qualify for the University Occupational Maternity/Adoption Leave Scheme you may be entitled to two separate maternity benefits - Statutory Maternity/Adoption Pay and Maternity/Adoption Leave.

Statutory Maternity/Adoption Leave

Regardless of your length of service or hours of work you will be entitled to up to 52 weeks maternity/adoption leave, with the right to return to work before or at the end of this period.

You will be entitled to accrued benefits such as annual leave and pension contributions but no remuneration will be paid unless you have at least 26 weeks' continuous service by the 15th week before the expected week of childbirth.

Starting Maternity/Adoption Leave

You may cease work at any time from the end of the twelfth week before your expected week of childbirth, right up to the week of childbirth. A minimum period of maternity leave, however, of 2 weeks following the birth of your child must be taken. SMP/SAP will not be payable for ceasing work earlier than the twelfth week.

If you are absent from work as a result of pregnancy after the start of the 4th week before the expected week of childbirth, the University reserves the right to require you to start your maternity leave. In such a case sick pay will cease and maternity pay will start to be paid.

Notification of Pregnancy and Leave

You should discuss the date on which you will be starting maternity/adoption leave with your immediate supervisor as soon as is reasonably practicable. It is requested that Human Resources receive the following no later than 13 weeks before the expected week of childbirth:

- (1) A medical certificate (MAT B1 form) obtainable from your GP or clinic, stating the expected week of childbirth or a letter which provides formal notification of approval for adoption.
- (2) A completed 'Application for Maternity/Adoption Leave' form.

You are required to give 28 days notification of maternity/adoption leave, but it is clearly helpful if more notice can be given to make arrangements. It is, therefore, suggested that 13 weeks' notification is given to Human Resources, if possible.

Statutory Maternity Pay (SMP) / Statutory Adoption Pay (SAP)

Provided that you have 26 weeks' service by the beginning of the 15th week before your expected week of childbirth, i.e. provided that you have at least 41 weeks' continuous service by your EWC, you will be entitled to SMP/SAP provided that your average earnings are above the lower earnings limit for National Insurance Contributions.

You will receive 6 weeks pay at 90% of your normal week's pay and 30 weeks at the current rate of SMP/SAP. If you return to work at the end of the period of Ordinary Maternity Leave (ie 26 weeks) you will only be eligible for SMP for 20 weeks rather than 30 weeks.

Maternity Allowance (MA)

Employees with less than 26 weeks continuous service by the 15th week before the expected week of childbirth may be entitled to receive Maternity Allowance (MA) which is paid by the Department for Work and Pensions.

In such cases your MATB1 form will be returned to you by Human Resources in order that you may progress a claim for Maternity Allowance with the Department for Work and Pensions. You must still complete an 'Application for Maternity Leave' form.

Returning to Work

You may return to work at any time during the Ordinary Maternity Leave or the Additional Maternity Leave. A minimum period of maternity leave, however, of 2 weeks following the birth of your child must be taken.

You must give at least 8 weeks notice, in writing, of the date on which you intend to return to work.

Postponing Your Date of Return

If you are unable to return at the end of your 52 weeks' maternity/adoption leave for medical reasons, please send in medical evidence and you will be treated as an employee on sick leave.

Employees not returning to work after Maternity/Adoption Leave

If it is your intention not to return to work following maternity/adoption leave then you should complete section 2 of the 'Application for Maternity/Adoption Leave' form. Your employment with the University will terminate with effect from the date on which the last payment of SMP/SAP is made to you (where applicable). If you have 12 months' service prior to the EWC then you will receive SMP/SAP only.

Facilities at work for women who are breast feeding

Although it is not a legal requirement, the University will, on request, try to provide suitable facilities for employees who are breast-feeding at home to express and store their milk at work. For further information, contact Human Resources.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES
PARENTAL LEAVE

Policy and Procedure

Parental Leave was provided for by the Employment Relations Act 1999 and is supplemented by the Maternity and Parental Leave Regulations 1999, as amended from 10 January 2002.

Length of Leave

Parents are able to take up to **13 weeks unpaid parental leave** to care for that child, with up to a maximum of 4 weeks' leave in a year. Part-time staff are entitled to leave on a pro rata basis.

Timing of Leave

Leave may be taken up until the child's fifth birthday or until the five years' have elapsed following placement in the case of adoption. Parents of disabled children are able to use their leave of up to 18 weeks to cover for each child up until the child's 18th birthday.

Eligibility

In order to qualify, a member of staff must have been employed by the University for a minimum of twelve months.

Procedure

Requests for leave should be made to the Head of Department/Dean as far in advance as possible and normally not less than 21 days before it is required. The Applicant should complete Section 1 of the relevant form (available from Human Resources) and attach a copy of the appropriate evidence, e.g. child's birth certificate and send it to the Head of Department/Dean.

The Head of Department/Dean has responsibility for completing Section 2 of the Form and sending a copy to the Applicant and Human Resources (for record keeping purposes).

Every effort will be made to accommodate the timing of the request for Parental leave, and any refusal must be justifiable, for example, by the business needs of the Department.

The employee will maintain his / her employment rights, including those to continuity of service, while on Parental Leave.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES
PATERNITY / MATERNITY SUPPORT LEAVE

Paternity/Maternity Support Leave was approved by the University Court on 21 May 1996.

The current rights to Paternity Leave are covered in the Employment Act 2002. University Paternity/Maternity Support Leave is available to those who become fathers or in the absence of a father, a partner or nominated support carer.

Length of Leave

10 days paid leave. This also applies to multiple births. This does not need to be taken all at the one time but can be taken on separate occasions as long as the total period of leave does not exceed 10 days.

Timing of Leave

The leave may be taken within a period from six months before the birth to six months after.

Eligibility

In order to qualify, a member of staff must have been employed by the University for 26 weeks by the fifteenth week before the expected date of the birth. No distinction will be drawn between live and still births. Employees who adopt a child are also eligible for this leave, but not for both. If eligible, an employee may apply for the benefits of maternity leave instead of paternity/maternity support leave or parental leave in addition to paternity/maternity support leave.

Procedure

Requests for leave should be made to the Head of Department/Dean as far in advance as possible and normally not less than ten working days before it is required. The expected week of childbirth can be used to apply for leave as far in advance as possible although, given the unpredictable nature of childbirth, it is reasonable to expect that the actual days of taking leave are likely to vary.

The Applicant should complete Section 1 of the relevant form (available from Human Resources) and attach a copy of the appropriate evidence, e.g. Maternity Certificate (Form MAT B1)/Ante-Natal appointment and send it to the Head of Department/Dean.

The Head of Department/Dean has responsibility for completing Section 2 of the Form and sending a copy to the Applicant and Human Resources (for record keeping purposes).

Every effort should be made to accommodate the timing of the request. Where an employee does not have sufficient continuous service to be eligible for paternity/maternity support leave annual leave should be used.

Members of staff who wish to take more than 10 days of Paternity/Maternity Support Leave should arrange to make use of their annual leave entitlement in the normal way through their Head of Department/Dean although there is not a requirement that this must be granted.

UNIVERSITY OF DUNDEE
WORK/LIFE BALANCE POLICIES

APPEALS

Where an application in respect of any of the Work/Life Balance Policies is refused, the member of staff can seek the advice of Human Resources.

The formal appeal route is as detailed in the University's Grievance Procedures.