

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 15 December 2008.

Present: Mr JR Milligan (in the Chair), Principal Sir Alan Langlands, Rector Mr CJ Murray, Professor RJ Abboud, Mr M Arnott, Mr WI Ball, Mr R Burns, Mr D Cathcart, Dr JR Elliott, Professor GLP Follett, Mr BWM Johnston, Dr J Lowe, Mr D McLeod (President of the Students' Association), Dr H Marriage, Ms A Newton, Dr AM Roger, Dr LAL Rolland, Mr EF Sanderson.

In Attendance: Vice-Principals Professor DH Boxer and Professor J Calderhead, Secretary, Director of Finance, Director of Information Services & Deputy Secretary, Directors of Human Resources and Strategic Planning, Mr R Isles and Clerk to Court.

19. MINUTES

The Court decided: to approve the minutes of the meeting on 27 October 2008, subject to minor amendment.

20. MATTERS ARISING**(1) Governance of Clinical Trials**

The Court received the remits and memberships of the committees established to oversee arrangements for the sponsorship and governance of clinical research (**Appendix 1**). The Court noted that the signatory for sponsorship letters, once sponsorship of a given project had been recommended by the Sponsorship Sub-Committee, would be the Head of College, or a nominated deputy. The Court further noted that it was anticipated that the proposed arrangements would become joint with NHS Tayside in due course. There were positive indications that this would happen early in 2009. The committees would report within the College of Medicine, Dentistry & Nursing to the College Board, but the Clinical Research Governance Committee would provide the University Court's Audit Committee with an annual report.

There was discussion about whether there needed to be lay membership of any of the committees in order to provide an independent perspective. The Court noted that the full approvals process for research proposals involving patients and/or patient data comprised approval by an ethics committee, on which there was lay membership, and that thereby the Court's concerns might be met. However, it was agreed that the Court would be provided with a report at its next meeting outlining the complete process for approval of clinical research.

- The Court decided:**
- (i) to approve the remits and memberships of the committees proposed, subject to further discussion on the extent of lay involvement in the process;
 - (ii) to note the changes to the Schedule of Delegation & Decision-Making Powers, as approved at the meeting of Court on 27 October 2008.

(2) Staff Grievance

The Court decided: to note that the Grievance Committee established by the Court at its meeting on 27 October 2008 to hear an appeal against a decision emanating from an investigation carried out under the University's Dignity at Work and Study Policy had been dissolved following the withdrawal of the appeal.

21. **CHAIRMAN'S BUSINESS**

The Chairman formally announced the appointment of Dr James McGeorge as the new Secretary of the University. Dr McGeorge was currently Deputy Secretary at the University of Stirling. It was anticipated that he would take up his post at the University of Dundee on 16 March 2009.

The Chairman congratulated Professor Boxer on the announcement of his appointment as Director of the Biotechnology & Biological Sciences Research Council's Institute of Food Research in Norwich.

22. **PRINCIPAL'S REPORT**

The Court received a report from the Principal (**Appendix 2**). The Principal began by outlining the outcomes of the Joint Future Thinking Taskforce on Universities (JFTTF) as well as the response to the JFTTF report from the Scottish Funding Council (SFC). The JFTTF report had proposed streamlining sector funding into two funds: the General Fund (GFU) and the Horizon Fund (HFU). The SFC had now indicated that the HFU would comprise around 11% of total higher education funding; the SFC had also provided a table proposing the assignment of existing funding schemes to the new funds. The HFU was the key mechanism whereby the Scottish Government would seek to influence the sector by incentivisation, principally in the following priority areas: employability and skills, access and progression, world class research, knowledge transfer and innovation, differentiation and diversity, and collaboration. Universities would be required to negotiate outcome agreements with the SFC to show their performance against the Scottish Government objectives. There would be a

simplification of the funding formula for teaching, with a single student number target and a reduction in the number of price groups.

The Principal reported that the results of the Research Assessment Exercise 2008 would be published on 18 December 2008, although universities would have sight of these from 9am on 17 December 2008. The Senior Management Team would be meeting at lunchtime on 17 December to assimilate and discuss the results, and it was hoped that information on the results would be distributed to Court members later in the afternoon of 17 December.

The Principal continued by reporting on recent news and events. The University had hosted a successful Innovation Showcase, attended by some 150 representatives from industry, government and the world of research, at which institutions had the opportunity to demonstrate their expertise and facilities to businesses. In recent research successes the Principal highlighted the award to Dr AM Roberts (School of Humanities) jointly with the University of Kent of an AHRC project grant totalling over £439k for a project entitled *Poetry Beyond Text: Vision, Text and Cognition*. He also highlighted a £3.8m project with the Karolinska Institute in Sweden funded by the European Union through the Seventh Research Framework Programme (FP7).

The Principal noted the retirement of Mr John Bagnall, University Librarian, after over 20 years' service, and thanked him publicly for his dedication and commitment. He also looked forward to the appointment of Dr Richard Parsons as Director of the Library and Learning Centre & University Librarian.

The Court learnt that the dates for the next Enhancement Led Institutional Review (ELIR) had been agreed, with the first visit taking place in early October 2009 and the follow-up visit in mid-November.

The Principal invited all to attend the Discovery Day on 9 January 2009, at which eight new professors would present their field of research, and three royal medallists (Professors Sir David Lane, Sir Philip Cohen and Roger Fletcher) would give presentations. The 85th season of the Saturday Evening Lecture Series was being finalised, and members of Court were encouraged to look out for announcements on individual events.

23. FINANCE & POLICY COMMITTEE

The Court received a report from the meeting of the Committee on 24 November 2008 (**Appendix 3**). The Director of Finance reported that the Committee had received summary reports on the performance of the University's subsidiary and associate companies in 2007/8. The Committee had also received a report on the Students' Association's financial position.

The Court discussed the position of the Translational Medicine Research Collaboration (TMRC). Whilst the original business plan, as produced by Scottish Enterprise, had perhaps been overly optimistic, a stream of projects had been built up and phase one of the collaboration, until 2011, seemed to be

secure. TMRC staff would be moving into the new laboratories in the TMRC building at the end of December. The focus for future discussions with partners was on the renewal of the TMRC collaboration with Wyeth, and a team of scientists would be heading out to the Wyeth Headquarters in Collegeville, Pennsylvania, in the New Year. [NB: *Since the Court meeting, the Wyeth Team have indicated they will visit Dundee instead.*]

The Court decided: to approve the report.

24. ANNUAL REPORTS

(1) Reports and Financial Statements 2007/8

The Court received draft financial statements for the year to 31 July 2008. Both the Finance & Policy Committee and the Audit Committee had examined the statements, and both recommended to Court that it approve them.

The Director of Finance presented the statements, noting that the major change in presentation from previous years was the inclusion of a narrative Operating and Financial Review. Other changes in layout had been the result of revised accounting standards contained in the implementation of the new Statement of Recommended Practice.

In terms of the financial position at 31 July 2008, the University had achieved a good performance overall. Its operating result before exceptional items was £2.5m, representing an increase of £6.3m over the previous year. Income had increased by 9% in the year to £191m, with particularly strong growth in research activity, up 19%. Costs, on the other hand, had increased by 5%, hence the improved operating position. Staff costs over the period had increased by 4%, although in terms of the balance of staff, a reduction had been sustained in core staff against an increase in research staff. The bottom line position was a surplus of £3.6m after exceptional costs and gains on disposals.

Expenditure on land and buildings was £30m for the year, of which £18m had come from external grants or gains on disposals. Three major projects had come on stream during the year: the Clinical Research Centre, the library extension and the Institute of Sport & Exercise.

Borrowings as at 31 July 2008 had reduced to £10.5m from £15m at the same time last year. This was a result of strong operating cash flow due to favourable working capital movements and in particular creditors. The increase in creditors of £10.7m had greatly enhanced the cashflow, but since this increase had for the most part come from research grant income in advance, it represented future cash commitments and would therefore need to be replaced with new activity to maintain the favourable cash position.

In terms of the Balance Sheet, the University's net assets had fallen as a consequence of a significant increase in the University's pension liability. If the pension liability were excluded, net assets would have increased by over £6m. The pension liability had increased by £8m to £20m as a result of the combination of a number of factors, including poorer than anticipated performance of the investment portfolio and revised longevity assumptions. It was noted that both the University of Dundee Superannuation Scheme and the sector-wide Universities Superannuation Scheme were undergoing actuarial reviews. Early indications were that contributions would require to be increased.

The Convener of the Finance & Policy Committee added further comments on the statements. He noted that since the 3% surplus, determined by the Sustainability Review in February 2007, represented around £5.7m in cash terms, there was still some way to go to reach the target. He noted further that the University would experience some difficulty in achieving the proposed disposals for 2008/9 in the current economic climate. The Court also noted the pressure on banks to reduce their credit commitments and the potential effect of this on existing loan facilities. In illustration, the Director of Finance pointed out that he had already received an indication that if the £9m top-up facility were renewed in the New Year the terms would be less favourable than currently.

The Convener of the Audit Committee reported that the Committee had received favourable reports from both internal and external auditors, and it was clear that the process of continuous improvement in the University's financial management was progressing well. He had no hesitation in recommending the approval of the Statements.

The Court congratulated the Director of Finance and his team on what had proved to be a clear and well-presented set of financial statements.

The Court decided: as recommended by the Finance & Policy and Audit Committees, to approve the Reports & Financial Statements for the year ended 31 July 2008.

(2) Annual Report 2008

The Principal presented the University's annual report for 2008. The report outlined the University's achievements and highlighted the University's academic strategy for the future. It also reproduced the operating and financial review contained in the financial statements. The document was divided into sections addressing both the underlying themes driving the *Strategic Framework to 2012* (translational research, professions, creativity, contemporary issues) as well as individual student and staff academic achievements. The document also attempted to reflect the University's responses to the strategic aims of the Scottish Government.

The Court welcomed the document and praised its outcomes-based approach, and made some suggestions for amendment. It was suggested that it might be a good idea to include an additional pamphlet providing an update on the results of the Research Assessment Exercise 2008.

The Court decided: to approve the Annual Report.

25. AUDIT COMMITTEE

The Court received a report of the Audit Committee's meeting on 2 December 2008 (**Appendix 4**). The Convener of the Committee informed the Court that the Committee was satisfied that the issues raised by the external auditors' Key Issues Memorandum were being addressed by the Finance Office. He highlighted two issues for the Committee to keep under review in the coming months: the University's pension liabilities and the effects of the 'credit crunch'. In terms of the latter, he noted that the University needed to be confident about where its cash reserves were placed, and noted in this regard that the Finance Office was updating its treasury policy to reflect this concern. He also echoed the view that University might find it more difficult to obtain and retain credit facilities in the future. Lastly, he voiced possible concern about the availability of funding from the charity sector, although the Principal reassured the Court that close contact was being maintained with the University's larger charity funders, such as Cancer Research UK and the Wellcome Trust.

In discussion, the Court also noted the effects of the turbulent financial markets on the sterling exchange rate, which on the one hand would make studying in the UK more attractive to overseas students, but which could mean that the salaries of overseas staff at Dundee would fall in relative terms to their home countries. There was further discussion of the effects of the economic climate on the employability of the University's graduates.

The Court decided: to approve the report.

26. PERFORMANCE INDICATORS

The Director of Strategic Planning provided the Court with a report showing the University's progress against the requirements of the *Strategic Framework to 2012*. The report highlighted progress in particular against 15 key performance indicators, using a traffic light system to identify where the University was on or ahead of target, where attention might be required, and where remedial action was necessary. Three areas were identified as requiring remedial action: entrance requirements stipulated in the prospectus, the number of full-time taught postgraduate students, and commercialisation funding. On entrance requirements, there was some discussion about the appropriateness of using the prospectus requirements as the base measure, when the qualifications on entry of new students provided a more reliable marker for the increasing quality entrant students. This matter would be discussed further with the Director of Admissions & Student

Recruitment. On taught postgraduate numbers, the Court was aware of the difficulties faced by the University, and whilst the figures showed the University was behind target, it had made a significant improvement on the 2007 entry figures. On the issue of commercialisation funding, the Court was reminded of the discussion at the previous meeting (Minute 6 of 27 October 2008 refers).

The Director of Human Resources provided an oral update on the implementation of performance management among the professoriate and equivalently graded staff. 83% of performance reviews had been completed, and if the School of Medicine were excluded (where non-completion had been affected by the academic restructuring of the School), then the completion rate was actually around 95%.

The Court praised the clear presentation of the data and made a number of helpful comments. In particular, the Court noted that the University should be wary of equating efficiency for responsiveness in its evaluation of the support services. The Secretary pointed out that a qualitative survey had been carried out on the effectiveness of the support services.

27. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senatus on 3 December 2008 (**Appendix 5**). The Court noted the decisions of the Senatus relating to the membership of the Appointing Committee for a new Principal.

The Director of Information Services & Deputy Secretary gave a presentation explaining the key points of and rationale for the proposed Information Management Strategy. He laid out the problems presented by changing office practices resulting from the widespread use of information technology. Whilst more information was available, it was not always readily accessible, and organisations needed to develop strategies to facilitate access to appropriate information of whatever kind to be able to 'unlock the full productive capacity of [their] staff'. Additionally, there was a requirement for more robust information governance to ensure that sensitive information and data was securely handled. Staff development would play a crucial role in disseminating the principles contained in the proposed strategy.

In discussion, the Court was supportive of the approach being taken and suggested the identification of champions within the institution to take forward the necessary behavioural changes to ensure that the strategy was quickly and fully implemented.

The Court decided: (i) to note the Senatus's approval of the following nominations from its number to serve on an Appointing Committee for appointing a new Principal:

Professor Michael Ferguson
Professor Irene Leigh
Professor Alan Page

Dr Angela Roger;

- (ii) to note further the Senatus's endorsement of the Chairman of Court's desire to appoint Professor Peter Davies to the Appointing Committee;
- (iii) to approve, for its part, the Information Management Strategy (**Appendix 5 - Annex**);
- (iv) otherwise, to note the report.

28. **NEW HORIZONS: REPORT OF THE JOINT FUTURE THINKING TASKFORCE ON UNIVERSITIES (JFTTF)**

The Court discussed further the final report of the JFTTF along with the Scottish Funding Council's (SFC) response to it. Concerns were expressed about the changes to the funding mechanisms for universities and about the methodologies to be employed, in particular the reduction in the number of price groups for units of resource. There was some discussion about the nature of the relationship between universities, the SFC and the Scottish Government. The Court recognised that, despite individual opinions on the conclusions of the Taskforce, the university sector now needed to deal with the situation presented, and the University of Dundee had to ensure it was in a strong position to derive as much benefit from the new arrangements as possible, particularly from the Horizon Fund.

29. **NOMINATIONS COMMITTEE**

The Court received a report of the meeting of the Committee on 27 October 2008 (**Appendix 6**). The Court discussed the manner whereby Court members eligible for re-appointment were consulted on their readiness and capacity to contribute in the role.

- The Court decided:**
- (i) to approve the re-appointment of Dr Alison Goligher as a Court member in terms of Statute 9(1)(l) for a second term of four years from 1 August 2009 to 31 July 2013, subject to confirmation by Dr Goligher of her willingness and ability to act in this role;
 - (ii) to approve the re-appointment of Dr Janet Lowe and Dr Howard Marriage as Court members in terms of Statute 9(1)(l) in each case for a second term of four years from 1 August 2009 to 31 July 2013;
 - (iii) to approve the appointment of Mr Eric Sanderson as Convener of the Finance &

Policy Committee with effect from 1 August 2009;

- (iv) consequently, upon expiry of his term as a Graduates' Council Assessor on Court, to approve the appointment of Mr Sanderson as a Court member in terms of Statute 9(1)(l) for the period 1 August 2009 to 31 July 2013; and
- (v) to note the intention of Dr Larry Rolland to step down as Chancellor's Assessor, noting also that the Principal would confer with the Chancellor on the manner of appointing a suitable successor.

30. COMMITTEE REPORTS

The Court received reports from the following:

Remuneration Committee	10 November 2008	(Appendix 7)
Campus Services Committee	18 November 2008	(Appendix 8)

The Court decided: to approve the reports.

31. STAFF

Professorial and Other Grade 10 Appointments

The Court noted the appointment of the following:

Richard Parsons	Director of the Library & Learning Centre and University Librarian	1 January 2009
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32. SENIOR APPOINTMENTS

(1) The Secretary

Given Dr David Duncan's imminent departure from the University, the Principal took the opportunity to explain to the Court what interim arrangements would be implemented to carry out the duties of the Secretary between Dr Duncan's departure and the Dr McGeorge's arrival. Mr David George, the Director of Information Services & Deputy Secretary, would undertake the Secretary's governance role in terms of the Schedule of Delegation and Decision-Making Powers; he would also be responsible for advising both Senate and Court and would represent the University at meetings of the Scottish Secretaries' Group. Other duties and functions of the Secretary had been divided among the senior officers of the University.

The Court noted that Dr McGeorge would be invited to attend meetings of the Senate and Court in February 2009, ahead of his formally taking up the role of Secretary in mid-March.

(2) The Principal

The Principal withdrew from the meeting at this point.

The Chairman provided Court members with a report on his discussions with senior officers of the University since learning of Sir Alan Langlands' intention to leave the University to take up the post of Chief Executive of the Higher Education Funding Council for England. The Chairman had attended the Senior Management Team meeting on 10 December 2008 to hear its views on the selection of a new Principal.

Given that Sir Alan would be leaving at the end of March 2009, it was clear that the process for appointing a new Principal needed to be pushed forward with some urgency. To this end, the Chairman set out the need to agree the membership of an Appointing Committee. This Committee would have the responsibility of determining the job and person specifications for the post of Principal, of engaging headhunters to assist in the advertisement of the post and in the search and selection of suitable candidates, of agreeing a shortlist and interviewing the shortlisted candidates, and, finally, of making a sole nomination to a special meeting of the Senate and thereafter to a special meeting of the Court.

The Chairman put forward nominations of Court members to serve on the Appointing Committee. A number of Court members expressed the opinion that an election of members to the Appointing Committee would have been preferable. There followed some discussion of the opposing merits of nomination versus election, including a debate about the inherent difficulties in achieving a balanced Committee whilst at the same time endeavouring to include all members in the process.

The Court discussed whether there should be any representation on the Appointing Committee from minority ethnic staff. Following much debate, the Court was satisfied that the Search Committee was appropriately composed, although the Chairman also assured the Court that he would consult with the University's Black & Minority Ethnic Network as well as with other interested groups to ensure that any concerns were addressed and that equality and diversity issues were taken on board.

The Chairman made clear that his nominations for the Appointing Committee were a sincere attempt to ensure that the Committee comprised a balanced selection of the most able, experienced and qualified people. It was, he said, in everyone's interest that the best candidate for the post of Principal be identified, and to do so required

the most capable membership for the Appointing Committee. He emphasised his intention to ensure consultation with Court members during the entire process of selection of the new Principal, and he invited Court members, and indeed any members of the University of Dundee community, to contact him if they had any concerns.

The Court decided: (i) to approve the nomination of the following Court members to serve on the Appointing Committee for a new Principal (the full membership of the Appointing Committee is given at **Appendix 9**):

Mr John Milligan (Convener)
Dr Janet Lowe
Mr Eric Sanderson
Professor Georgina Follett
Mr David McLeod;

(ii) to endorse the Chairman's wish to appoint Professor Peter Davies to the Appointing Committee;

(iii) to welcome the news that Professor Alison Richard, Vice-Chancellor of the University of Cambridge, had agreed to act as an external assessor to the Appointing Committee;

(iv) to approve the proposal that Vice-Principal Professor Pete Downes be appointed as Acting Principal upon Sir Alan Langlands' departure from the University until the new Principal takes up her/his post.

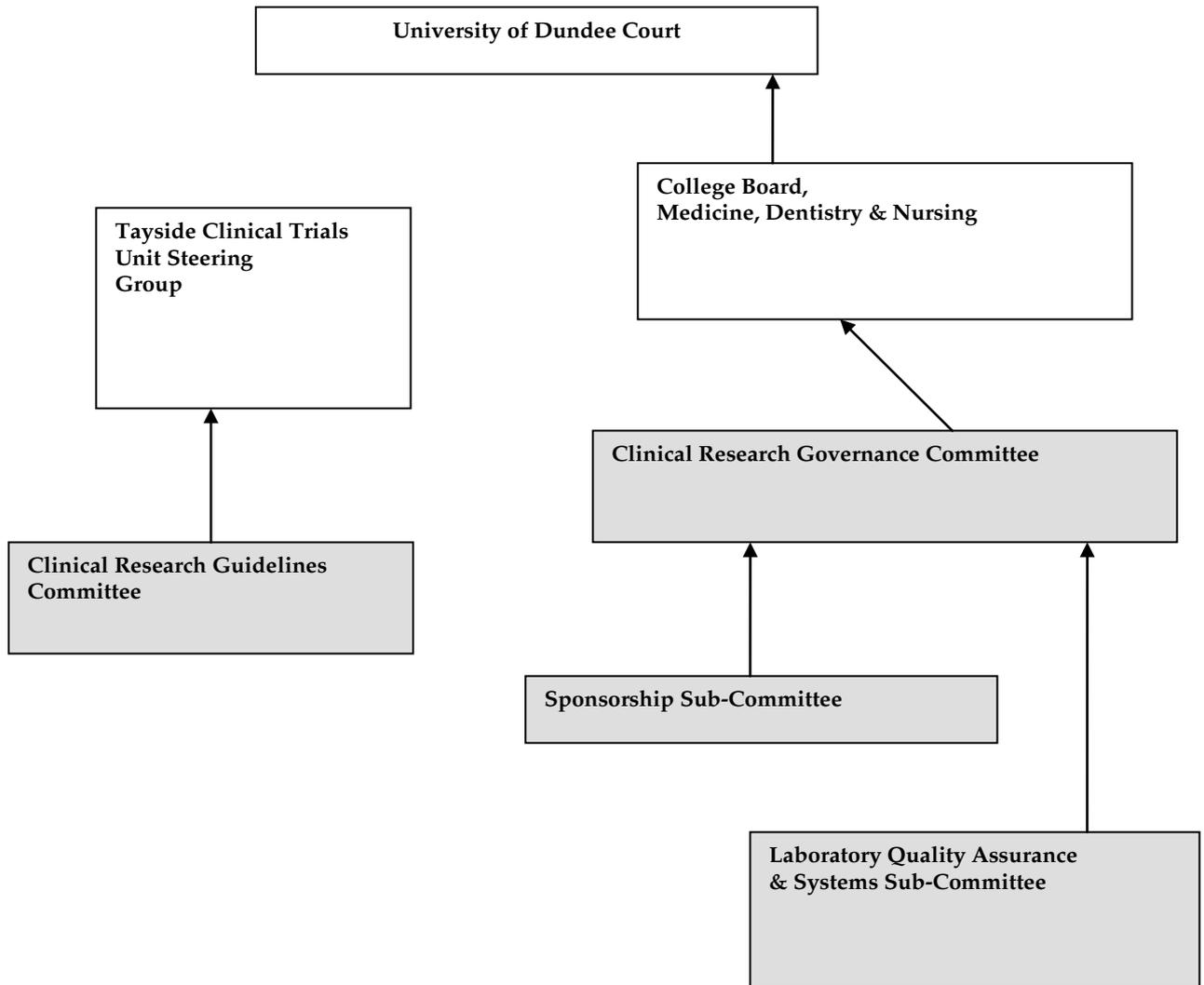
33. DR DAVID DUNCAN

The Chairman paid tribute to Dr Duncan's significant contributions to the life and leadership of the University. In particular, he singled out his effective management of the support services, his close relationship with the work of the Students' Association and his involvement in external bodies. He would be sorely missed. The Chairman and the Court wished Dr Duncan equal success in his new appointment at the University of York and thanked him for his contributions to the work of the Court. For his part, Dr Duncan said that he had enjoyed the past seven and a half years at the University, a period which had been challenging yet stimulating.

APPENDIX 1

GOVERNANCE OF CLINICAL TRIALS
(Minute 20(1))

Reporting Structure for Good Clinical Practice Compliant Clinical Research



Clinical Research Governance Committee

The membership of the Committee will comprise:

NAME	JOB TITLE
Professor Irene Leigh	Vice-Principal /Head of College of Medicine, Dentistry and Nursing, University of Dundee
Professor Jill Belch (Convener)	Director of TCTU, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Professor Eric Wright	Research Dean, Centre for Oncology and Molecular Medicine, Division of Medical Sciences, University of Dundee
Mrs Alison Coughtrie	Project Manager for Management Information Systems, University of Dundee
Professor Allan Struthers	Professor of Cardiovascular Medicine & Therapeutics, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Dr Stephen Greene	Reader, Paediatric Medicine, Division of Clinical & Population Sciences and Education, University of Dundee
Professor Margaret Smith	Dean, School of Nursing & Midwifery, University of Dundee
Professor David Bearn	Professor of Orthodontics, School of Dentistry, University of Dundee
Professor Keith Matthews	Head of Psychiatry & Behavioural Sciences, Centre for Neurosciences, Division of Medical Sciences, University of Dundee
Professor David Levison	Professor of Pathology, Centre for Oncology and Molecular Medicine, Division of Medical Sciences, University of Dundee
Mrs Lesley Peebles	Clinical Research Manager, Clinical Research Centre Tayside
Professor Alastair Thompson	Professor of Surgical Oncology /Director of CRC, Centre for Oncology and Molecular Medicine, Division of Medical Sciences, University of Dundee
Dr John Petrie	Reader in Diabetic Medicine, Division of Clinical & Population Sciences and Education, University of Dundee
Professor Frank Sullivan	Head, Division of Clinical & Population Sciences and Education, University of Dundee
Professor Brian Lipworth	Professor of Allergy & Pulmonology, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Professor Jeremy Wyatt	Director of Health Informatics Centre, Division of Clinical & Population Sciences and Education, University of Dundee
Mr Graeme Findlay	Head of Research Grants & Contracts, Research & Innovation Services, University of Dundee
Mrs Annie Langston	Assistant Director, Clinical Trials Unit, College of Medicine, Dentistry and Nursing, University of Dundee
Mr Stephen Rottger	Finance Manager Assets & Insurance, University of Dundee
Mr Neale Laker	Clerk to Court, University of Dundee
Mr Shaun Treweek	Senior Research Fellow, Division of Clinical & Population Sciences and Education, University of Dundee
Mr Rayne Eaton	Head of Finance, College of Medicine, Dentistry and Nursing, University of Dundee
Dr Ellie Dow	Director of Research & Development/Consultant Biochemist, NHS Tayside
Mr Gus MacConnachie	NHS Tayside Pharmacovigilance, Pharmacy Department, Ninewells
Mrs Liz Coote	Non-Commercial Research & Development Manager, NHS Tayside

Remit:

- To approve recommendations from the Sponsorship Sub-Committee regarding requests for University sponsorship of clinical trials and clinical research;
- To respond to recommended improvements from the Laboratory QA & Systems Sub-Committee;

- To approve SOPs/guidelines from the Clinical Research Guidelines Committee;
- To develop clinical research policies, ensuring they reflect national guidance, best practice and legal requirements;
- To ensure compliance with Clinical Trials Regulations and Research Governance Framework standards through reports from Clinical Trial Monitors;
- To monitor progress on quality improvements;
- To receive reports on completed clinical trials and clinical research audits;
- To undertake audits/staff questionnaires to validate policy compliance, identify items for improvement and prepare action plans;
- To report annually on the work of the Committee to the Audit Committee of the University Court.

Sponsorship Sub-Committee

The membership of the Sub-Committee will comprise:

NAME	JOB TITLE
Professor Allan Struthers (Convener)	Professor of Cardiovascular Medicine & Therapeutics, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Professor Brian Lipworth (Deputy Convener)	Professor of Allergy & Pulmonology, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Mr James Houston	Director, Research & Innovation Services, University of Dundee
Professor Jeremy Wyatt	Director of Health Informatics Centre, Division of Clinical & Population Sciences and Education, University of Dundee
Professor Peter Donnan	Reader (Postgraduate Learning & Teaching)/Professor of Epidemiology and Biostatistics, Division of Clinical & Population Sciences and Education, University of Dundee
Dr Mary Wells	Lecturer (Cancer & Palliative Care Nursing), School of Nursing & Midwifery, University of Dundee
Dr Richard Graham Chadwick	Senior Clinical Lecturer/Honorary Consultant, School of Dentistry, University of Dundee
Mrs Annie Langston	Assistant Director, Clinical Trials Unit, College of Medicine, Dentistry & Nursing, University of Dundee
Mr Euan Banyard	Clinical Trials Contract Manager, Research & Innovation Services, University of Dundee
Mr Steven Rottger	Finance Manager Assets & Insurance, University of Dundee
University Research Governance Manager (TBA)++	Clinical Trials Unit, College of Medicine, Dentistry & Nursing, University of Dundee
Dr Fiona Hogarth	Intellectual Property Rights Manager, Research & Innovation Services, University of Dundee
Dr Jean S Ker**	Director, Clinical Skills Centre, Institute for Health Skills & Education, Division of Clinical and Population Sciences and Education, University of Dundee
Dr Sheila Sharp	Senior Scientific Officer, Centre for Oncology & Molecular Medicine, Division of Medical Sciences, University of Dundee
Mr Gus MacConnachie	NHS Tayside Pharmacovigilance, Pharmacy Department, Ninewells
Dr Shona Carson	Clinical Trials Pharmacist, Pharmacy Department, Ninewells Hospital

++ To be responsible for administration of the Sub-Committee

** Still to be confirmed

Remit:

- To assess the suitability of CTIMP clinical trials for sponsorship by the University;
- To make recommendations for sponsorship and provide a signatory for sponsorship letters (normally the Convener);
- To undertake the peer review required by GCP on trials in which this is not undertaken as part of the grant application process;
- To provide a forum for discussion and approval of student projects, requiring University sponsorship, which have been authorised by designated teaching staff in the College;
- To report on sponsorship issues to the Clinical Research Governance Committee.

Laboratory Quality Assurance and Systems Sub-Committee

The membership of the Sub-Committee will comprise:

NAME	JOB TITLE
Dr Sheila Sharp (Co-Convener)	Senior Scientific Officer, Centre for Oncology & Molecular Medicine, Division of Medical Sciences, University of Dundee
Dr Ian Scragg (Co-Convener)	Head of Safety Services, University of Dundee
Mrs Debbie Smith**	
Clinical Trial Manager (TBA)	College of Medicine, Dentistry, Nursing & Midwifery, University of Dundee
Mrs Lesley McFarlane	Senior Research Technician, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Mr Stephen McLaren	Department Superintendent, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Dr Irene Allan**	
Dr Alexander Hill	Senior Scientific Officer, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Dr William Bartlett	Clinical Leader, Biochemical Medicine, Ninewells Hospital
Dr Ian Ellis	Research Associate, Unit of Cell & Molecular Biology, School of Dentistry, University of Dundee
Professor David Levison	Professor of Pathology, Centre for Oncology and Molecular Medicine, Division of Medical Sciences, University of Dundee
Professor Colin Palmer	Chair of Pharmacogenomics, Biomedical Research Institute, University of Dundee
Susann Schweiger**	

** Still to be confirmed

Remit:

- To standardise laboratory processes and systems in relation to CTIMP activities;
- To develop, in collaboration with and under the direction of the Clinical Research Guidelines Committee, SOPs, guidelines and other documents to ensure both quality and consistency in CTIMP laboratory activities;
- To establish processes to review and approve laboratory competency to handle CTIMP samples;
- To report to the Clinical Research Governance Committee and Tayside Clinical Trials Unit Steering Group, and other University or NHS Tayside bodies as appropriate, in relation to University of Dundee laboratory quality assurance.

Clinical Research Guidelines Committee

The membership of the Committee will comprise:

NAME	JOB TITLE
Patricia Burns	Clinical Trials Supervisor, Asthma and Allergy Research, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee and Perth Royal Infirmary
Shona Carson	Clinical Trials Pharmacist, Pharmacy Dept, Ninewells Hospital
Stephanie Gallant	Clinical Research Nurse, Clinical Research Centre Tayside
June Gardner	Clinical Trials & Project Coordinator, Photobiology Unit, Ninewells Hospital
Alexander Hill	Senior Scientific Officer, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Gwen Kennedy	Senior Post-Doctoral Research Fellow, Head of Thrombosis & Inflammatory Laboratory, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Faisal Khan	Senior Lecturer, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Chak Lau	Professor of Rheumatology, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
David Martin	Clinical Trials Monitor, Research & Development Office, NHS Tayside
Steve McLaren	Dept. Superintendent, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Lesley Peebles	Clinical Research Manager, Clinical Research Centre Tayside
Lynn Rutherford	Cardiovascular Research Nurse, Centre for Cardiovascular & Lung Biology, Division of Medical Sciences, University of Dundee
Sheila Sharp	Senior Scientific Officer, Centre for Oncology & Molecular Medicine, Division of Medical Sciences, University of Dundee
Shaun Treweek (Convener)	Senior Research Fellow, Division of Clinical & Population Sciences and Education, University of Dundee

Remit

- To develop a core set of University of Dundee standard operating procedures for clinical trials of investigational medicinal products (CTIMPs), which will be used by all CTIMP trials sponsored or co-sponsored by the University;
- To rationalise the SOPs, guidelines and other procedural documentation currently in use by University research groups to ensure both quality and consistency and to avoid duplication;
- To put in place processes to develop, review and sign-off SOPs, guidelines and other procedural documentation;
- To act as the University's focal point for issues related to SOPs, guidelines and other procedural documentation;
- To report to the Steering Group of the Tayside Clinical Trials Unit and other University or NHS Tayside bodies as appropriate.

APPENDIX 2

PRINCIPAL'S REPORT (Minute 22)

New Horizons: The SFC Response

1. On 17 November the Scottish Government (SG) published the Funding Council's (SFC's) response to the interim report from the Joint Future Thinking Taskforce on Universities. The response provides some further information on how future funding will be developed, in particular the new streams of the General Fund for Universities (GFU) and the Horizon Fund for Universities (HFU).
2. SFC say they will 'become more effective facilitators of change and development' within the context of the SG's commitment that funding levels will remain comparable with the rest of the UK, in return for the sector delivering against national outcomes. Funding mechanisms will be simplified and monitoring reduced ('light touch'). In reality, the extent of the shift achieved will depend on how directive the SG seeks to be towards the sector through its own relationship with SFC.
3. The HFU will contain around 11% of the total funding pot, with the rest in the GFU. The HFU is the key mechanism by which the SG will seek to influence the sector through incentivisation. Over time funding for specific initiatives in the HFU is expected to become embedded in the GFU, but presumably only when new money becomes available to replenish the HFU. The priorities for the HFU are:
 - employability and skills interventions
 - access and progression
 - world class research (including pooling)
 - knowledge transfer and innovation
 - differentiation, diversity and specialisms
 - collaboration (with a particular focus on joint capital projects).
4. The last of these priorities, collaboration, is in fact an over-arching theme to the HFU, with a strong message about extending the principles of research pooling into other areas, achieving progress through joint working. There is also a specific mention for philanthropic giving.
5. On research, efforts to make sure Scotland 'continue[s] to have a number of universities ranked in the world's top performers' will be accompanied by a drive to 'build research capacity in all institutions'. This could prove difficult in a period of tight public spending where hard choices will have to be made about spending priorities.
6. The mapping of current funding streams to the HFU is fairly predictable – the teaching premia (eg widening access), Strategic Research Development Grant, most of Knowledge Transfer, improvement grants, and 20% of capital. Where there is a move on any of these from formula to targeted allocations or bidding, there will be transitional relief. We will have to keep a close eye on whether the new output-driven allocation methods are likely to create an advantage or a disadvantage for Dundee following their reclassification into the HFU. In the meantime the Senior Management Team is considering how we might maximise our income from the HFU whilst matching our own strategic objectives with the priorities for the HFU summarised in para 3 (above).
7. SFC envisages that the GFU outcome agreements would 'not be overcomplicated nor subject to extensive negotiation' and would 'reflect the unique characteristics of each institution' (a theme which runs through the document). However, they need to be able to 'demonstrate improved performance against SG objectives'. This will also need to be considered carefully in the University.
8. The teaching funding formula will be 'radically' simplified, with one single student number target (except for 'protected subjects' such as medicine and teaching) and only 4 price groups (currently 25). Given the fact that the outcome agreements will be used to ensure there is 'the right pattern of teaching provision across Scotland', we will have to wait to see how far the

new teaching funding formula gives us greater freedom. For a copy of the full SFC document and other relevant documents see Paper J.

Research and Knowledge Transfer

9. The timing and arrangements for publishing the RAE 2008 results are set out in the circular at Annex 1 to this report. Locally, David Boxer will meet with College groups comprising the Head of College, Deans and Unit of Assessment leaders on the morning of 17 December to communicate the results and discuss responses. The Senior Management Team will meet at lunchtime to consider the University's position and response. The SFC will have the outcome three days before the universities and will make a pan-Scotland announcement for 18 December 2008. Members of Court will be informed of the overall position at around 4 pm on 17 December.
10. Some 150 representatives from industry, government and the world of research attended the first Research Innovation Showcase in the Dalhousie Building, presented by the University in collaboration with the Scottish Crop Research Institute and the University of Abertay in November. The event demonstrated institutions' expertise and facilities to businesses, allowing them to discuss directly with leading academics how their research expertise can be applied to business projects. The event generated a range of new enquiries from local businesses which are being followed up through the Innovation Portal. The Portal has a small grants scheme for Initial Technology Audits and Technology Feasibility Studies and has, so far, approved 11 Initial Technology Audits and six Technology Feasibility Studies.
11. The UK's National Centre for Protein Kinase Profiling is to be established at the University of Dundee with a £1m grant from the Medical Research Council. Based at the MRC Protein Phosphorylation Unit it will enable academic research teams around the world to access kinase profiling services which have previously only been widely available in the commercial sector and either unsuitable or too expensive for many academics to use.
12. The University of Dundee is leading a research partnership, which also includes the Karolinska Institute in Sweden in a £3.8m project to develop new anti-infective drugs to fight some of the most difficult to treat bacterial 'superbugs'. The AEROPATH project is funded by the European Union, through the FP7 programme and aims to find new drugs to combat bacterial infections, which are a particular problem for people suffering from cystic fibrosis, for burns victims, and patients whose immune system's ability to fight infectious disease is compromised, for example by chemotherapy during cancer treatment.
13. The Centre for Molecular Medicine attracted an award of £3.5 million through the Wellcome Trust's Capital Awards in Biomedical Sciences initiative to help create new, internationally-competitive research facilities. The facility will operate at the interface between basic and clinical science and will be sited on the top floor of the university's recently opened Clinical Research Centre which is adjacent to the hub laboratory for the Wyeth project (opening December 2008) at Ninewells.
14. Meanwhile, Research and Innovation Services have received award notification of Research Grants totalling over £2 million over the last six weeks across all Colleges by research councils, private and public sector bodies. These include one award of nearly half a million pounds (£439,520) to Dr Andrew Roberts in the School of Humanities, College of Arts & Social Sciences. Funded by the Arts & Humanities Research Council, the project, titled Poetry Beyond Text: Vision, Text and Cognition, combines English, psychology and fine art research and is being pursued jointly with the University of Kent. The project will combine literary criticism, creative practice and human experimental psychology to study a wide range of works: digital poetry, books of poetry and photography, artists' books and concrete and pattern poetry to explore some of the rich interactions of text and image in contemporary culture. It will produce both creative and analytical results, to be made available through exhibitions, new works of art, a website and an on-line gallery.
15. The latest research grant figures also include three awards of over a quarter of a million pounds: £350k to Professor JWS Brown, College of Life Sciences for research on regulation of gene expression; £285k to Professor E Rankin at the College of Medicine, Dentistry & Nursing for research on taste in patients undergoing chemotherapy; and £274k to Professor W A Gillespie, College of Art, Science & Engineering for research on 3D World. The College of Arts

& Social Sciences has also won a substantial award via Professor C Helliard for research on international accounting education standards.

Learning and Teaching

16. Dr Richard Parsons has been appointed Director of the Library & Learning Centre and University Librarian and will take up his post from January 2009. Learning Centre staff will move across to the Library with this appointment. The Learning Centre has also introduced a new desktop Adobe web-conferencing system in partnership with ICS. This has been well received by academic staff and will provide further potential to enhance the support for distance learning students.
17. Our thanks are due to John Bagnall who has served as University Librarian since 1987. During that time the library service and the wider culture of library use has undergone radical changes under his stewardship. John's responsiveness to the needs of undergraduate students, his IT skills, his tight budgetary control and his professionalism over the years have made the University Library what it is today.
18. The second cycle of the Enhancement Led Institutional Review (ELIR) will start in 2009 and Dundee is scheduled to be visited in the autumn semester of 2009/10. A working group has been established to prepare the Reflective Analysis for submission to the Quality Assurance Agency in the summer of 2009.
19. All colleges have met their full time Home/EU matriculation targets in 2008 and overseas undergraduate recruitment has increased by more than a third on the previous year. Figures on the taught postgraduate intake are currently being finalised. These are likely to show an increase of about 35%, a significant improvement on last year but short of target – steps are now being taken to maximise the January intake of taught postgraduate students. My Dundee for applicants, launched earlier this year to provide detailed knowledge of applicants' courses and campus in advance of their acceptance, has proved popular and is currently moving into a second phase. Meanwhile a new 'corporate pack' has been launched online, providing resources for all staff via My Dundee/ASRS. As part of the new 'client relationship management system' a new electronic newsletter has been initiated with the first edition for computing applicants and the second edition providing up to date images and information to the University's agents.

Events

20. The University's sixth annual Discovery Day is scheduled for 9 January 10.30 – 5pm in the Dalhousie Building when eight of the University's newest professors from across disciplines will deliver short presentations on their latest research. In a slight departure from the usual format we are delighted to conclude this year with a session, Discovering Gold, in which our three 2008 Royal Society and Royal Society of Edinburgh award winners – Professor Sir Philip Cohen, Professor Roger Fletcher and Professor Sir David Lane will each deliver a fifteen minute showcase on their world class research. I hope Court members will use the Discovery Day as an opportunity to sample at first hand the range of research being conducted at Dundee and to meet those involved.
21. The University's Annual Report 2008 will be formally launched together with the approved Financial Report and Statements at the Discovery Day on 9 January.

Appointments/Awards

22. Betty Bott, a senior figure in the Scottish Crown Office and Procurator Fiscal Service, has been appointed as the Director of Legal and Professional Development at the School of Law at the University of Dundee. Betty Bott is currently the Assistant Procurator Fiscal in Edinburgh. She has been a member of the Crown Office and Procurator Fiscal Service for 31 years and has worked in many different parts of Scotland – including Aberdeen, Inverness, Dundee, Perth, Kirkcaldy and Glasgow.
23. Dr Mairi Scott, Director of the University's Professional Development Academy (PDA) and an Honorary Consultant with NHS Tayside, has been appointed to the new General Medical Council to be established on 1 January 2009. Dr Scott is the immediate past Chair of the Royal College of General Practitioners in Scotland.

24. The University's work on Alternative Dispute Resolution was recognised last month at a London award ceremony when University solicitor and legal counsellor Fiona O'Donnell received a Special Commendation in the Centre for Effective Dispute Resolution awards for excellence for the development of the 'Dundee Model'. The panel of awards judges included The Master of The Rolls Sir Anthony Clarke. Fiona was singled out for the commendation for her creativity and dedication to making ADR a key feature of University life at all levels. She was also a finalist in the business and sector category.
25. Computing student Suzanne Prior won the Best Student Project of the Year at the Computing Awards for Excellence with Glu-zone: A Fun and Motivating Tool for Patients with diabetes. The project made accessible and motivational software to allow patients with diabetes to self monitor and manage their blood glucose results. The award is the latest in a series for Suzanne who won the Student Research Competition at the prestigious ACM SIGCHI Conference on Human Factors in Computing Systems (CHI 2008), held this year in Florence. She was also named winner of the University's Wimberley Award for her contribution to University life.
26. Professor Grahame Hardie, Head of the Division of Molecular Physiology, has been awarded the prestigious 2008 Rolf Luft Award for his discovery over 20 years ago of AMPK, and his subsequent work which has provided new insights into conditions such as obesity, type 2 diabetes and cancer.
27. The process of appointing a new University Secretary is now reaching a conclusion. Interviews took place on 5 December and the Chair of Court has sent you a detailed update on this matter. Further information about the appointment, the starting date of the successful candidate and the interim arrangement to cover the responsibilities of the Secretary will be discussed at the Court meeting.
28. This will be Dr David Duncan's final Court meeting in Dundee and I would like to thank him for his unfailing leadership and the hugely important contributions he has made to the life and work of the University over the past seven years. He has been a key figure in improving the academic standing of the University, redeveloping the campus, improving the responsiveness of student and academic support services and building effective working relationships with significant external bodies. David leaves with the appreciation of everyone in the University community and we wish him well in his new post at the University of York.

Acknowledgements

I am grateful to Carol Pope and Catriona Blake for their help in preparing this report.

Alan Langlands
Principal & Vice Chancellor

APPENDIX 3

FINANCE & POLICY COMMITTEE (Minute 23)

A meeting of the Committee was held on 24 November 2008.

Present: Mr BWM Johnston (Convener), Principal Sir Alan Langlands, Mr WI Ball, Professor GLP Follett, Mr EF Sanderson, Mr IDM Wright.

In Attendance: Mr D McLeod (President of the Students' Association), University Secretary, Director of Information Services & Deputy Secretary, Director and Deputy Director of Finance, Mr C Shanbury (Grant Thornton) and Clerk to Court.

The Convener welcomed Professor Georgina Follett to her first meeting of the Committee.

1. MINUTES

Resolved: to approve the minutes of the meeting on 6 October 2008.

2. MATTERS ARISING

(1) Botanic Garden (Minute 2(2))

The Secretary reported that he and the Principal had had an encouraging meeting with the Chair of the Friends of the Botanic Garden. It was not yet clear, however, whether the fact that a potential partner had called in the administrators would affect plans for redevelopment of the site of Taypark House and adjacent land from the Botanic Garden. Officers in Estates & Buildings were discussing options with alternative partners.

(2) West Park Conference Centre (WPCC) (Minute 6)

The Director of Finance reported that the business review of WPCC's performance, which had been requested by the Board of Dundee Student Villages (DSV), had not yet been completed, and could therefore not be presented to the Committee at the current meeting. The Board of DSV would meet in mid-January 2009 when an update would be expected. In the meantime, the current performance of the WPCC was ahead of the expectations reported to the last meeting of the Committee, with the target for the current financial year now around break even.

3. FINANCIAL STATEMENTS 2007/8

The Director of Finance introduced the draft financial statements for the year ended 31 July 2008. The statements showed an operating result of £2.5m surplus before voluntary severance costs and disposals, and an overall surplus of £3.8m. The underlying operating result was a £0.9m surplus after adjusting for pension contributions.

Income had risen during the period by 9%, buoyed in particular by an above-target research income increase of 19%. Income from the Scottish Funding Council (SFC) increased by 8%, whilst tuition fees increased by 3%.

Expenditure, on the other hand, had risen by 5%. Staff costs, the largest element of expenditure, increased by 4%. It was noted that numbers of core staff had reduced in large part as a result of voluntary severance, whereas there were now greater numbers of research staff. Depreciation costs increased in the year, partly driven by the capital programme, although these were largely offset by a compensating increase in deferred capital grant income.

In terms of the Balance Sheet, the University's fixed assets rose to £199m, although the net assets fell to £136m from £137m mainly due to an increased pensions liability. Net assets excluding the pensions liability rose by £7m to £156m.

In terms of cash, borrowings fell in the year from £15m to £10.5m, and net debt fell by £5m to £4.7m. This was a consequence of the improved operating results, but also a further increase in creditors of £11m had reduced the cash requirement.

The Convener welcomed Mr Shanbury of Grant Thornton, the University's external auditors, to the meeting and invited him to comment on the audit process. This was Grant Thornton's first audit for the University, and Mr Shanbury commented on how the audit process had been well planned, allowing the statements to be presented to the Committee in such a finished form. Mr Shanbury noted the sustainability of research income as a risk area, and also noted the increasing pension liability as a matter to be addressed in the near future. It was Mr Shanbury's overall impression that the University was in much greater control of its financial position than it had been in the recent past.

The Committee discussed the issue of the University's pensions liability in relation to the University of Dundee Superannuation Scheme (UODSS). The Director of Finance indicated he would be seeking independent advice on the pensions position, adding that discussions on how to address the position should wait until the scheme actuary's report was complete. The Committee noted that there was an ongoing issue surrounding membership of the Board of Trustees; this would likewise be addressed during the course of the review. The Director of Finance added that the UK-wide Universities Superannuation Scheme was also undergoing an actuarial review at the moment.

The Committee discussed how contingent liabilities should be reported under FRS12. Mr Shanbury agreed to re-visit this question and discuss with the Director of Finance whether any amendments to the wording of the notes to the Financial Statements would be needed as a result.

Resolved: subject to clarification of the final point above, to recommend to Court that it approve the financial statements for the year ended 31 July 2008.

4. **SUBSIDIARY AND ASSOCIATE COMPANIES' ACCOUNTS 2007/8**

The Committee considered the summary accounts for the eight following subsidiary and associate companies of the University:

- a. AMCET Ltd.
- b. Dundee University Press Ltd
- c. Dundee University Project Management Ltd
- d. Dundee University Sports Village Ltd
- e. Dundee University Utility Supply Company Ltd
- f. University of Dundee Nursery Ltd
- g. Dundee University Incubator Ltd
- h. Dundee Student Villages (DSV)

The Director of Finance clarified the nature of Dundee University Sports Village Ltd, which had been set up as a vehicle to reclaim VAT paid on professional fees. Since the project for which the company had been set up was not now going ahead as planned, these fees had now been written off in the company's accounts.

The Committee enquired as to the intended purpose and application of the University of Dundee Nursery Ltd surplus. The University Secretary, as chair of the company's board, noted that the Nursery was subject to regulation by the Care Commission, and might therefore have need of recourse to these funds to meet the Commission's recommendations following its regular inspections. He also confirmed that the surplus was regarded as wholly ring-fenced for application in the interest of the Nursery.

The Committee considered whether DSV might be affected by the Lloyds TSB takeover of HBOS, since HBOS were 33% partners in the vehicle. The Director of Finance agreed to investigate whether HBOS's share in DSV could be sold without the permission of the DSV Board.

The Director of Finance asked the Committee's approval for the preparation of letters of comfort from the University where deemed necessary by the auditors in respect of any of the University's subsidiaries.

Resolved: to approve and authorise the Director of Finance to prepare and arrange for appropriate signature of letters of comfort in relation to subsidiary companies as necessary.

5. **DUNDEE UNIVERSITY STUDENTS' ASSOCIATION (DUSA) – ACCOUNTS 2007/8**

The Director of Finance introduced a paper setting out the financial position of DUSA for the year ended 31 July 2008. In summary, whilst DUSA had posted an operating deficit, its cash position was still strong, and it was therefore in a position to make its loan repayments. The Director confirmed that, based on DUSA's current cash position and its financial forecasts, DUSA would be able to meet its loan repayments, for which the University acted as guarantor. Although the liquidity covenant was tight, the management of DUSA was confident of being able to meet it.

The President of DUSA added that the sector was going through quite a tough period, and Dundee's association had fared much better than the students' associations at other universities in Scotland. The President had full confidence in the operational management of DUSA and in the financial controls that were in place; these views were echoed by the Secretary. The President expressed his gratitude that the University had confirmed its continued subvention of DUSA into the future. He also indicated that the association was looking at ways to broaden its service and to appeal to the changing demography of the student body.

It was agreed that a report on the DUSA accounts should be an annual item on the Committee's agenda. There was discussion about the difficulty of projecting accurately commercial income, even when the underlying assumptions were robust.

6. **MANAGEMENT ACCOUNTS – PERIOD 3**

The Director of Finance introduced the management accounts for October 2008. The accounts showed a £3.2m positive variance against the phased budget for the period; this was mainly due to reduced costs. The full-year forecast was, however, in line with the budgeted modest surplus. This forecast now included the recent 5% pay rise as well as revised expectations on tuition fee income.

There was a projected adverse variance on tuition fees of £0.9m, due to lower than anticipated taught postgraduate numbers, although these were nevertheless 35% higher than the previous cycle. Schools were already actively engaged in recruitment for the next cycle, and there was also the opportunity to improve the variance at the January 2009 intake. Action to address the shortfall was being taken within the Colleges.

The forecast contained a lower expectation of research overhead recovery, although the Director hoped that this was conservative, and that the expectations would be exceeded.

The Director explained that the projections for disposals for the year had been revised as a result of the downturn in the property markets. The projected gain on disposals now stood at around 70% of the budget and at 50% in cash terms. Even so, the Committee recognised that there were still risks in achieving the disposals within the year. In terms of capital expenditure, the Director reported that the Riverside development approved at Court on 26 October 2008 had now been added to the capital programme, within the limits of the approved three-year capital programme.

The Director of Information Services pointed out that the unfavourable dollar exchange rate was having an impact on the cost of journals. The Committee did, however, recognise that the exchange rates might have a positive impact on overseas recruitment.

7. **ANALYSIS OF CASH/BORROWINGS**

The Director of Finance introduced a paper which set out the University's borrowing facilities as well as the general cash position. He began by restating the various facilities that the University held. The Committee held the view that the University should work to maintain access to these facilities, as it was likely in the current climate that banks would seek to withdraw any that remained unused.

The Director then outlined the risks inherent in the unwinding of the positive working capital movements enjoyed over the last two years. The early receipt of research grants and other funds was reflected in the increased value of creditors in the accounts, and these amounted, of course, to future cash commitments. The risk to the University was that if these should unwind faster than the cash was replaced by new grants and projects, then there would be an adverse effect on cashflow. The current year-end forecast was based on a reversal of the working capital by £15m. The Finance Office was developing a research cashflow database to monitor how spending on research grants unwound to enable better forecasting in the future. It was noted that these balances comprised a great many projects, and therefore forecasting these movements was difficult.

8. ANALYSIS OF PERFORMANCE OF MAJOR CAPITAL PROJECTS

The Deputy Director of Finance presented a paper which provided post-project evaluations on three capital projects which had been open for at least a year. These were:

Education, Social Work & Community Education– Dalhousie Building
 Education, Social Work & Community Education – OTI/OMS/Carnelley Buildings
 Life Sciences Teaching Unit – OMS/Carnelley

These three projects all represented improvements to the quality of the University's teaching accommodation and in that sense were concerned with the University's core business. Therefore, the objectives which underpinned the projects were not so closely linked to the generation of additional income, although improvements to accommodation and facilities would in general help to attract prospective students and staff. The first two enabled the smooth move from the Gardyne Road campus to the City campus of the School of Education, Social Work & Community Education (ESWCE). The Dalhousie Building provided dedicated teaching space for ESWCE, as well as general teaching space for the rest of the University. The OTI/OMS/Carnelley refurbishments for ESWCE on the other hand provided office space for staff. The report concluded that the objectives of both projects had been successfully met.

The third project, the refurbishment of space in the OMS and Carnelley buildings for Life Sciences, had allowed the consolidation of teaching and staff accommodation in one location on campus. The report also concluded that the original objectives of the project had been met.

The Committee acknowledged the positive feedback on the Dalhousie Building and also praised the standard of the life sciences laboratories.

9. NEW HORIZONS – FINAL REPORT OF THE JOINT FUTURE THINKING TASKFORCE FOR UNIVERSITIES

The Committee received a tabled paper from the Deputy Director of Finance which summarised the main changes emanating from the final report of the Joint Future Thinking Taskforce on Universities, as well as the likely effects on funding as outlined by the Scottish Funding Council (SFC) in its response to the interim report of the Taskforce. The funding received by universities from the SFC would be re-organised into two funding streams: the General Fund (GFU) and the Horizon Fund (HFU). The GFU would contain core funding including the main teaching grant and the quality research grant components, whereas the HFU, containing around 11% of total funding available, would provide incentivised funding to meet government objectives. This re-organisation of funding would be accompanied by lighter touch monitoring from the SFC, although universities would be required to negotiate outcome agreements against which an individual university's performance would be measured.

The Committee acknowledged that there was still a good deal of detail to be determined and that this would possibly only be clear in March 2009 at the time of the funding allocation for 2009/10. The University would need to be responsive to be able to maximise any benefits to be achieved from the HFU.

10. TRANSLATIONAL MEDICINE RESEARCH COLLABORATION (TMRC)

The Director of Finance brought the Committee up to date on recent developments with the TMRC. The original five-year agreement with the nine partners was now half-way through and it was time to look to the renewal of the agreement. It was expected that TMRI Ltd would

move into the new building in December. There now remained just over two years left on the original lease. As reported at the time, should TMRC not be renewed, there was a risk that the lease might likewise not be renewed.

Recent meetings of TMRI Ltd had acknowledged that the commercialisation targets contained in the original business plan prepared by the Scottish Enterprise were perhaps over-optimistic, and it was understood that Scottish Enterprise had now agreed to change the terms of the loan to a repayable grant, to facilitate access to the funding.

11. **VICTORIA & ALBERT MUSEUM (V&A)**

The Secretary reported to the Committee that the University had received the second-stage feasibility study on the possibility of the V&A establishing a presence in Dundee. This report was a much more robust analysis of the costs and likely revenues of the project. It was expected that Dundee City Council would indicate its support for the initiative. The Committee noted that there was a lot of political support for this project from all parties.

12. **UNIVERSITY SECRETARY**

The Committee, noting that the meeting would be the last to be attended by the Secretary, Dr David Duncan, thanked him for his valuable contribution to the work of the Committee and to the overall life and success of the University.

APPENDIX 4**AUDIT COMMITTEE
(Minute 25)**

A meeting of the Committee was held on 2 December 2008.

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

In Attendance: Principal Sir Alan Langlands, Mr BWM Johnston, Secretary, Director and Deputy Director of Finance, Mr C Shanbury (Grant Thornton), Mr G Devlin (Grant Thornton), Mr A Gray (PricewaterhouseCoopers) and Clerk to Court.

1. MINUTES

Resolved: to approve the minutes of the meeting on 8 October 2008.

2. FINANCIAL STATEMENTS FOR YEAR ENDED 31 JULY 2008**(1) Draft Financial Statements**

The Director of Finance introduced the financial statements, which had already been seen and discussed by the Finance & Policy Committee at its meeting on 24 November 2008. In overview, 2007/8 had proved to be considerably better than 2006/7. At an operating level the University had improved by £6m, ending the year with an operating surplus of £2.5m and a bottom line surplus, after voluntary severance costs and disposals, of £3.6m. The underlying surplus before pension adjustments was £0.9m.

Income had increased in the year by 9%, and was set against an increase in expenditure of 5%. Staff costs as a proportion of total expenditure had reduced from 62% to 59%, with reductions in core staffing as a result of the voluntary severance scheme and increases in the numbers of research staff, mainly funded through external funding.

In terms of cash the University's net debt had fallen from £9.7m to £4.7m, and the University's borrowings had likewise reduced from £15m at 31 July 2007 to £10.5m at 31 July 2008. On the balance sheet, the Director highlighted the growth in creditors (< one year), which had risen to over £55m. This was due to increasing research activity and other funded projects. It was important to remember that this money represented future spending commitments and, unless replaced with new projects, would result in a cash outflow.

Net assets for the University had reduced by £1m over the year. This was due to the increase in the pensions liability from £12m to £20m, partly as a result of the performance of the markets and also as a result of revised mortality assumptions underpinning the University of Dundee Superannuation Scheme.

In closing, the Director noted how well he and his colleagues had felt the audit process had been conducted, in particular given that this was the first year with the new auditors.

There was discussion of the prognosis for the pensions liability. The Director of Finance indicated that both the University of Dundee and Universities Superannuation Schemes were undergoing actuarial reviews, the outcomes of which would inform future debate on the means to address any increased pensions liabilities.

The Committee discussed the reasoning behind the inclusion of the West Park Conference Centre as a contingent liability in note 27, but was satisfied with the justification of the wording of the note as presented.

Resolved: to recommend to Court that it approve the Financial Statements for the year ended 31 July 2008, subject to the consideration of the following suggestions for amendment:

- (a) inclusion of the memberships of the Human Resources and Campus Services Committees in the corporate governance statement;
- (b) insertion of a cross-reference to note 16 to explain the provenance of the line in the Income & Expenditure Account labelled: 'Share of operating (loss) in associate'; and
- (c) clarification of items in note 31 in relation to pensions.

(2) External Auditors' Report – Key Issues Memorandum

Mr Shanbury presented the external auditors' Key Issues Memorandum. By introduction, he explained that this had been his firm's first audit of the University's accounts. He added that he endorsed the Director of Finance's comments with regard to the smooth running of the audit process. Relationships with the Finance Directorate staff were established early on in the process, and the early planning of the audit had meant that it could be delivered smoothly and according to the anticipated timeframe.

Mr Shanbury explained the issues that had been raised during the audit. In summary these were:

- (a) noting that actuarial assumptions in relation to the pension schemes were in line with others in the sector;
- (b) noting that, because of the timing of the Remuneration Committee, there was one instance where the approval process for a voluntary severance application was not documented in line with internal procedures, although all were approved in line with the Scottish Funding Council guidelines;
- (c) advising that provisions relating to early retirement payments should be subject to periodic review by an actuary;
- (d) advising that subsidiary and associate companies should be reviewed regularly;
- (e) providing suggestions in light of the 'credit crunch';
- (f) noting the introduction of the operating and financial review;
- (g) identifying control issues surrounding IT systems; and
- (h) noting work to improve the institution's equipment registers.

Mr Shanbury indicated that the auditors would be happy to sign off the financial statements following the meeting of Court on 15 December 2008.

- Resolved:**
- (i) to note the memorandum and approve the management responses to the recommendations contained within it; and
 - (ii) to ask the Director of Finance to report at a future meeting on the implementation of the recommendations in relation to internal controls.

3. **FINANCIAL STATEMENTS OF SUBSIDIARY AND ASSOCIATE COMPANIES**

The Committee considered the accounts for the year ended 31 July 2008 for the following companies:

- (a) AMCET Ltd
- (b) Dundee University Press Ltd (DUP)
- (c) Dundee University Project Management Ltd
- (d) Dundee University Sports Village Ltd (DUSV)
- (e) Dundee University Utility Supply Company Ltd

- (f) University of Dundee Nursery Ltd
- (g) Dundee University Incubator Ltd
- (h) Dundee Student Villages (DSV)

The Director of Finance reported that the accounts of DSV had been included in the Committee's papers for the first time. Regular reports on DSV's activity were made to the Finance & Policy Committee, but it had been felt appropriate for the Audit Committee to see the accounts, given the University's share in the company.

The Director explained the function of DUSV. Given that the purpose for which the company had been established had not materialised, it was probable that the company would be wound up over the course of the year.

The Committee discussed changes to the staffing and management of DUP. Given imminent staff changes relating to DUP, there was concern that this might lead to a lack of direction for the company. It was, however, acknowledged that the Board of DUP would tackle these issues itself at its next Board meeting. The Director of Finance pointed out that as part of the loan agreement from the University, regular monitoring and reporting of DUP's activities was in place.

The Committee discussed the relatively large reserves held by the Nursery. Whilst these appeared to be large, they were more or less in line with the reserves policy of the company. The Secretary, as Chairman of the Board of the Nursery, added that reserves were maintained in order to respond quickly to requirements placed on the Nursery by agencies such as the Care Commission. The Committee would monitor the level of reserves.

There was some discussion about whether there was a need to appoint new directors to any of these companies in light of the Secretary's imminent departure from the University. It was anticipated that any gap created by his departure could be adequately filled by the Principal and/or the Directors of Finance and Human Resources without recourse to additional director appointments. This situation would, however, be reviewed once a new Secretary had been identified.

Resolved: to note the subsidiary and associate companies' accounts.

4. INTERNAL AUDIT

Mr Gray presented an update on progress against the plan for internal audit work for the year. Discussion was still to be had with staff in the College of Medicine, Dentistry & Nursing on the precise nature of the work to be carried out in relation to the administration of clinical trials.

5. PRIVATE MEETING WITH THE AUDITORS

At this point the officers withdrew from the meeting to enable the Committee to speak in private with the external and internal auditors. The Committee noted there had been significant progress but noted that there remained work to be done with respect to the University's management accounts, which could be more speedily produced and contain greater detail; it was expected that the rolling out of commitment accounting would facilitate this. It was noted that while the Colleges appeared to making good use of the increased financial information now being made available to them, this was not so true at the School level.

6. ANNUAL REPORT OF THE COMMITTEE

The Committee considered a draft of its annual report to Court (annex). This report would also be submitted to the Scottish Funding Council.

Resolved: to approve the report for submission to Court and the Scottish Funding Council, subject to minor amendment.

7. POINTS-BASED SYSTEM OF IMMIGRATION

The Clerk to Court introduced a paper setting out the University's duties and responsibilities under new immigration legislation which required the University to register with the UK

Borders Agency as sponsor for prospective overseas students and staff. As a sponsor, the University would be required to monitor the attendance and progress of its students and staff, and report any problems to the authorities. Failure to carry out these duties could affect the University's ability to recruit students and staff from overseas.

Resolved: to note the paper, and ask the Clerk to Court to ensure that representatives from the Students' Association were involved in finalising the reporting arrangements to be introduced under the scheme.

8. RISK MANAGEMENT

(1) Risk Management Monitoring Group

The Committee received a report of the Monitoring Group's meeting on 4 November 2008.

Resolved: to note the report.

(2) Institutional Risk Register

The Committee considered a revised risk register for the institution.

In discussion, it was agreed that the University Court should receive a paper at its meeting on 23 February 2009 considering the possible effects and consequences of the current economic situation. The paper should consider the effects on the amount of charity funding which might be available in the sector to support research activity, as well as considering whether there would be any consequences for student recruitment. The Principal reported that the Senior Management Team was already tackling this issue, but acknowledged that Court should be made aware of it. In particular, he pointed to the likely cuts in public spending in the future as a result of the global financial crisis, and the inevitable consequences for Higher Education.

Resolved: to approve the register, subject to the insertion at an appropriate place of an internal control mechanism to address the issue of the governance of collaborations.

9. SCOTTISH FUNDING COUNCIL: REVISED AUDIT REQUIREMENTS

The Director of Finance reported that, following the report of the working party set up to consider revisions to the Scottish Funding Council's Code of Audit Practice, the Council had concluded that it should withdraw its Code of Audit Practice, given that there was extensive guidance in the sector already. Any additional requirements for audit from the Council would now be included in the Financial Memorandum.

10. UNIVERSITY SECRETARY

The Convener thanked the Secretary, on the occasion of his last meeting before leaving the University, for his valuable contributions to the work of the Committee.

UNIVERSITY OF DUNDEE

UNIVERSITY COURT

AUDIT COMMITTEE: ANNUAL REPORT 2007/08

1. MEMBERSHIP AND MEETINGS

Prior to the financial year 2007/8, the Committee had consisted of three lay Court members and three non-Court co-opted members. With effect from 1 August 2008, this was changed to comprise four lay Court members (Richard Burns, Janet Lowe, Howard Marriage and Alison Newton) and two other lay appointees (John Barnett and Jacqui Thomson). Howard Marriage and Alison Newton joined the Committee with effect from 22 October 2007; Stephanie Brown, a previous non-Court lay member, stepped down on 31 July 2007. Collectively the Committee's membership possessed and possesses broad experience of commercial operations and financial management.

The Committee meets four times *per annum*, and the meetings for the year 2007/8 took place as follows:

3 October 2007
3 December 2007
4 March 2008
20 May 2008

Attendance by members was as follows:

		Oct.	Dec.	March	May
Richard Burns (Convener)	Court member	Y	Y	Y	Y
Janet Lowe	Court member	N	Y	N	Y
Howard Marriage	Court member	Y	N	Y	Y
Alison Newton	Court member	N	Y	Y	N
John Barnett	Co-opted	Y	Y	Y	Y
Jacqui Thomson	Co-opted	N	Y	Y	Y

Additionally, the Convener of the Finance & Policy Committee, Bruce Johnston, was regularly in attendance at meetings of the Audit Committee in 2007/8.

2. FINANCIAL STATEMENTS

Year ended 31 July 2008

The Committee received draft financial statements for the University for the year ended 31 July 2008 at its meeting on 2 December 2008, following their approval by the Finance & Policy Committee at its meeting on 24 November 2008. The Committee also received a report from the external auditors (Grant Thornton) – Key Issues Memorandum.

In terms of audit and financial reporting the report raised the following points:

- That management should keep the assumptions relating to the actuarial valuation of the University of Dundee Superannuation Scheme under review;
- That management should ensure full documentation of the approvals process for severance payments. The report noted, however, that where applicable all payments were in line with SFC guidelines;
- That the management undertake a full actuarial valuation of the early retirement provision;
- That, in relation to the current economic climate, there is a review of treasury policy, and that all loan covenants are reviewed as part of the monthly management accounts processes;

As regards internal controls and risk management, the following recommendations were made by the auditors:

- All bank reconciliations should be signed off and dated by both the preparer and reviewer;
- All journals should be authorised in line with the University's financial regulations;
- The University should produce a single fixed asset register for equipment;
- The University should produce a disaster recovery plan to cover IT systems and equipment
- A number of recommendations were made in relation to the security of IT systems including in the following areas: penetration testing, access to servers, physical security, user accounts, passwords, implementation of the standard operating environment, internet access.

It was noted that the year ended 31 July 2008 was the first year in which reporting under the updated Statement of Recommended Practice 2007 was required. There were no audit adjustments processed during the audit. The external auditors identified a single unadjusted audit difference, which however had no material impact on the reported surplus of the University. The external auditors indicated that they anticipated issuing an unqualified financial statements audit opinion as well as an unqualified regularity audit opinion.

Having considered the report of the external auditors, the Audit Committee resolved to recommend to Court that the financial statements should be approved. The Committee also noted the recommendations contained in the external auditors' Key Issues Memorandum and were satisfied by the associated management responses.

3. INTERNAL AUDIT

Financial Management

At its meetings in October and December 2007 and in March 2008, the Committee discussed progress against the implementation of the internal auditors' recommendations on financial management. The internal auditors had carried out an extensive review in May 2007 producing an action plan in June 2007. The Committee monitored progress carefully and was reassured that the implementation of recommendations was on track. During May and June 2008, the internal auditors carried out a further review, as part of which they spoke with major stakeholders around the University. This allowed an assessment of financial awareness around the University as well as of the effective embedding of revised systems and processes. The report was positive, although it did highlight some continuing challenges in certain parts of the University, although it was noted that these were not peculiar to Dundee. The Committee was reassured of the considerable improvements in the University's financial management, accounting and reporting, all of which had led the internal auditors to issue an unqualified statement of assurance.

Annual Statement of Assurance

The Committee received the internal auditors' annual report. The report concluded, without qualification, that the University's established internal control procedures were adequate to meet the control objectives and generally operated satisfactorily during the review period. The Committee was very pleased with the improvements that had been made over the past two years, culminating in this clean report.

Other reports

During 2007/8 the Committee also received reports on the following internal audit assignments with recommendations graded as shown. Each report was considered in detail, with the auditors and officers addressing comments and questions from Committee members.

	Critical	High	Medium	Low
Business Continuity Planning	0	0	6	2
Partnerships and Collaboration Agreements	0	0	3	3
Asset Management	0	0	4	
Research Income and Forecasting	0	0	1	2
Student Billing & Collection	0	0		3
Financial Accounting – General Ledger & Month-end Routines	0	0	2	2
TOTAL	0	0	16	12

Corporate Governance

The internal auditors also undertook a high level review of corporate governance arrangements. The overall conclusion of the review was that the University had implemented governance arrangements that were in line with best practice. The review highlighted a number of issues for consideration as part of the review of Court and its committee, which would take place in 2008/9, but none of these issues was considered to be of material nature.

4. EXTERNAL AUDIT SERVICES TENDER

In January and February 2008, the Committee carried out a tender process for the provision of external audit services. As part of the process, the Committee received presentations from and interviewed three audit firms. As a result of the process, the Committee recommended to Court that it appoint Grant Thornton UK LLP as the University's external auditors for a period of three years beginning with the year ended 31 July 2008. Court subsequently formally approved the appointment at its meeting on 21 April 2008.

5. INTERNAL AUDIT SERVICES

At its meeting on 4 March 2008, the Committee discussed the performance of its internal auditors, PricewaterhouseCoopers, with a view either to extending the contract for a maximum of two years or to going to a formal tender process. In light of these discussions the Committee decided to recommend to Court that PricewaterhouseCoopers's contract be renewed for a further two years until 31 October 2010, at which time a formal tender process for internal audit services would be initiated.

6. RISK MANAGEMENT

The Committee received regular reports from the Risk Management Monitoring Group and oversaw the annual review of the institutional risk register.

7. OPINION*Auditors*

The Committee has been satisfied with the performance and diligence of both internal and external auditors.

Effectiveness of Internal Controls

The Committee can assure the Court that the University has effective financial management and financial controls in place. The Committee will continue to monitor the progress of the University on the implementation of the recommendations contained in the external auditors' report and the various reports from the internal auditors.

APPENDIX 5

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 27)

1. PRINCIPAL'S REPORT

In addition, the Principal reported that the SFC's response to the Joint Futures Task Force on Higher Education in Scotland had been published in mid-November. It outlined a new approach to resource allocation. There would be two funds: a general fund and a horizon fund, with the latter consisting of around 11% of total funding. The priorities were similar to many of the SFC's current policies: employability, access and progression, research, knowledge transfer and inter-institutional collaboration. The basic principles underlying funding for 2009/10 were expected to become public in the third week of January, some two weeks later than usual, with a consequent knock-on effect on the detailed allocations normally received in early-March.

The Principal expressed his thanks to all those staff involved in the recent, successful Research Innovation Showcase and noted that the momentum in achieving very significant research grants was continuing.

The Senatus decided: to note the report.

2. UNIVERSITY COURT

The Senatus received a communication from the meeting of the University Court held on 27 October 2008.

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

3. LIBRARY AND INFORMATION SERVICES COMMITTEE

The Senatus received the Minutes of a meeting of the Committee held on 14 November 2008.

On paragraph 3(3), Library Budget, it was reported that the moratorium on the purchase of books was no longer necessary and that the position would be reviewed at the end of January when fuller financial information would be available. On the related matter of journals, the Librarian also reported that the University was part of a pilot scheme that gave access to an additional 1140 electronic journals from three major publishers for a modest extra outlay.

The Senatus decided: to approve the report, including the Information Management Strategy (annex).

4. APPOINTMENT OF PRINCIPAL

Following intimation of the Principal's retiral, the Secretary reported that the normal process for appointing a new Principal was for the Court and the Senate to appoint members to a Search Committee which would make a recommendation for an appointment by the Court. The Secretary also indicated that the Chairman of Court wished not only to move quickly to start the process of appointing a successor to Sir Alan Langlands but also wished to be as inclusive as possible. Members of Senate who wished to talk to Mr Milligan were invited to make appointments via the Academic Secretary and those who wished to express their views in writing were invited to do so to the Academic Secretary in the first instance.

The Senatus decided: (i) on a vote (26 for and 2 against) to nominate the following as Senate members of the Search Committee:

Professor Michael Ferguson
Professor Irene Leigh
Professor Alan Page
Dr Angela Roger;

- (ii) to note that the Chairman of Court had expressed the wish to co-opt Professor Peter Davies to the Committee;
- (iii) to note that this method of choosing representatives should not be regarded as established procedure for the future.

UNIVERSITY OF DUNDEE INFORMATION MANAGEMENT STRATEGY

Summary

This strategy provides the context and rationale for a set of principles to guide how the University will store, manage and disseminate its information resources with the aim of promoting efficient and effective working practices at individual, unit and corporate levels. It sets priorities for development and lists key actions to be undertaken in the short to medium term. These are intended to enhance the full productive capacity of staff and enable the University to operate to the highest business standards, in line with the University's Strategic Framework to 2012.

An accompanying discussion and background paper provides further detailed analysis of the issues and suggested actions.

1 Context and Rationale

All large organisations develop a wide range of information resources. Universities, as knowledge organisations, rely heavily on the generation and management of information throughout their teaching, research and administrative functions. Ready access to these rapidly expanding resources is an essential aspect of day-to-day business. Reliance on complex technologies and growing expectations of users present the University with a number of challenges in the management of information.

A coordinated Information Management Strategy will help the University and its staff to:

Make it easier to find information

Several studies suggest that people spend far too much time looking for the information they need to do their job and in unproductive information related activities. Estimates vary from a significant 10% (Scottish Executive) to an alarming 45% - 55% (Butler Group). The University can make every effort to promote ease of use and access to information through:

- Implementing web-based systems wherever possible;
- Buying or developing user centred applications;
- Promoting best value standardised approaches to basic provision;
- Diverting ICT support staff time released by adopting standards into dealing better with specialised user requirements;

Reduce the time taken to do simple tasks.

Failure to use the facilities available in standard software packages is a primary cause of misdirected effort. For example, the GroupWise meeting planning function can reduce significantly the amount of staff time wasted in arranging meetings. A simple to use facility for searching peoples' availability removes the need for lengthy email or telephone correspondence and the creation of elaborate grids. Eighty percent reductions in time consumed are easily achievable.

Protect data.

Critical material can be irretrievably lost due to a PC failing or a pen drive being mislaid. Network drives, with their back-up facilities, are frequently under-utilised or their importance unrecognized

Develop better ways of working.

Well-designed systems that meet the needs of users can increase productivity, reduce wasted time and make working pleasanter.

Make better use of resources.

The misdirection of effort in unproductive information searches has a high cost associated with it. Using a conservative estimate of 20% of time being wasted by 60% of staff as an example, a minimum of £12.5M of the University's annual salary bill could be attributed to this unproductive effort. The true figure is likely to be higher. In addition, more efficient information systems and the electronic storage of resources offer savings in space.

Keep the right side of the law.

Staff generally need to be more aware of their responsibilities under legislation such as Data Protection. They should also be aware of the potential consequences of software piracy.

2 Information Management Principles

It is important to establish some principles underlying the University's approach to Information Management. Some of these will be of immediate interest to users whilst others provide a platform for developing better practice and more usable systems.

2.1 The content of all information systems should, wherever technically possible, operationally practical and taking account of confidentiality, be available to users wherever they are in the world and at any time.

This is increasingly important. Staff working at other institutions, students on vacation or placement and everybody wanting to work at home should be able to access all they need with minimum difficulty. They should be confident that levels of system availability are consistently high and that all their files are available over the Web.

2.2 Information systems should be designed to serve the needs of the users. A primary criterion in the purchase or internal development of an information system should be usability.

A principal concern in the selection of systems in recent years has been usability. Blackboard was chosen because academic staff found it easier to use than its rivals whilst GroupWise provided a much superior user interface to its only credible rival in the tendering exercise. The development of Management Information browsing facilities is driven primarily by the need to give users easy access to comprehensible data sets.

2.3 Information quality should be assured through the adoption of policies and procedures that clearly delineate the roles, responsibilities and standards expected of staff responsible for its management.

Information used in the management of an organisation as complex as the University needs to be accurate, consistent and trusted. The lack of clear policies to ensure quality leads to the maintenance of duplicate databases. Central datasets tend to be very accurate but do not always provide all that is needed at local level. Better understanding of the various uses to which information is put will allow the development of coherent policies that promote better quality.

2.4 It is recognised that there are distinct categories of information that shall be managed with differing degrees of rigour. These comprise Core Information (from central systems), Derived Information (using core information but changing or adding to it), Local Information (supporting College teaching and research or other devolved activity) and Personal Information such as drafts and work in progress (of little corporate interest but still needing effective management).

It is necessary to draw distinctions between these four categories of information to provide a framework for devising codes of practice and establishing action plans. A longer version of this appears in the accompanying discussion document and the report of the Management Information Working Group ((2008).

2.5 Personal preference in the use of computers and the handling of information is subordinate to the University's corporate interest.

Refusal to use a standard operating environment or the University's chosen software systems without overriding operational justification is not uncommon. Limits should be set to ensure that self-interest does not waste money, compromise security or the efficient working practices of colleagues.

3 Priorities and actions

3.1 Data Stewardship

Information creation and management is a significant part of the majority of jobs in the University. It is not an incidental activity or a by-product. Once it has been created information needs to be looked after, either by being checked for continued relevance, updated, archived or deleted. Without clear guidelines on who is responsible for information and what this entails, it is inevitably the case that material is duplicated, stored in the wrong place and left in place long after it is out of date.

The University should adopt the concept of 'data stewardship' and encourage all those responsible for managing information to do so according to clearly articulated policies and guidelines.

Individuals have a stewardship role for the material they use on a day-to-day basis. There should be guidelines on good practice in looking after personal materials, particularly on safe storage.

Actions.

- Prepare guidelines covering the roles and responsibilities of those responsible for university information.
- Identify Data Stewards and provide advice and training.
- Produce good practice guidelines for individual members of staff.

3.2 Improve the filing and organisation of current information and the storage and archiving of historical information

In 2006 the University agreed that its filing systems should comply with the JISC Record Retention Schedule and model file plan. Following successful piloting work in School Offices a timetable should be set out to convert all University file stores to compliance. Units will benefit by gaining space, easier access to information etc. The improvement of filing systems (physical and electronic) is critically important in the drive to reduce misdirection of effort.

Actions

- Implement formal filing plans based on JISC guidelines, accepted by the University in 2006.
- Establish a network of unit records managers charged with implementation of the policy (guided by the University's Records Management and Information Compliance Officer).
- Put all information, paper and electronic, into good order in preparation for the introduction of electronic document management.
- Provide guidelines on material that should be kept in the long term.
- Archive important material, having disposed of ephemera, in structured physical and electronic archives.

3.3 Replace paper filing systems with an Electronic Document and Records Management System (EDRMS)

A filing system is only truly useful if it is complete. Since the introduction of personal computers the utility of paper filing systems has declined massively. It is unlikely that there is a single instance of a fully effective one left in the institution, outside the Archives. Information is stored in mixed media across many locations, with the balance continuing to tip in the favour of disorganised electronic filing. The University should recognise that, in the longer term, Electronic Document and Records Management Systems will be ubiquitous. The continued use of paper records should be restricted to cases where an external agency has ruled that paper records must be kept and the university record, maintained in the Archives.

To promote faster, easier and more efficient access to information, the University should adopt a strategy of moving fully to an EDRMS based approach. This course will be fraught with behavioural challenges, but implementation of well-designed electronic systems will do more than anything else to improve information management. This is a long term, ambitious approach. In the shorter term extending the use of document management in GroupWise and implementing a dedicated EDRMS on a pilot basis should demonstrate the value of the approach.

Actions

- Identify and purchase an enterprise EDRMS.
- Conduct proof of concept testing in a significant area, such as the University file store attached to the Court Office.
- Establish a project plan to replace all paper filing systems within three to five years
- In the interim continue to manage documents and work flows by using existing facilities available in GroupWise and other supported products

3.4 Overhaul the University Website and implement emerging web-based approaches to information management.

Current plans to rebrand the University site and introduce common information architecture, in the form of a corporate web content management system, will continue with the full support of the University SMT. The potential of the web interface as a vehicle for delivering information tailored to individual need will be promoted through the implementation of a staff portal and the development of applications using service oriented architecture.

Actions

- Complete the overhaul of the look and feel of the site
- Implement a web content management system
- Use web services, service oriented architecture and portal technology to develop applications and views of information that provide significant benefit to staff and capitalise better on the University's investment in information systems.

3.5 Investigate the possibility of implementing an institutional search system

The scale of the tasks envisaged in sections 3.2 – 3.4 is such that benefits will take time to accrue. In the meantime it would be wise to invest in a search engine that will allow staff to search their own PC, departmental file stores, the web site and email. Such products are available for c £50k and are shown to give a very good return on investment.

Action

- Identify and purchase a good value search engine which can be tailored to the University's needs.

3.6 Improve the way in which individuals use ICT facilities, particularly communications software

Email is now as much a hindrance as a benefit to its users. There is probably more misdirection of effort in the area of email than any other part of information handling. Better management of the technology and the way we use it will make an important contribution to increases in efficiency and reductions in levels of frustration. A series of measures covering better use of facilities like meeting planning, and less reliance on GroupWise as a filing system, would improve matters, as would more uptake of training. Use of other systems, such as Office, is rarely optimal and virtually all staff would benefit from basic or refresher training. The University does not set standards or require any formal induction training before staff are given access to systems.

Actions

- Develop a staff ICT induction course containing the key messages about best practice in the use of University facilities.
- Consider making the ECDL compulsory for new staff and requiring existing staff to undertake it where they do not hold it (or an equivalent).
- Provide a range of simple guides on core systems, such as email, which describe the University's requirements for their effective use.

3.7 Promote the widest operationally possible adoption of Standard Operating Environments

There is often strong resistance to using a Standard Operating Environment (SOE). This is a version of Windows, which has built into it all the additional software, and networking programmes needed to do

the day-to-day computing tasks required by the University. It can be provided in a protected form that the user cannot change, suitable for the majority of non-specialist staff. It can also be provided with full administrative rights to specialists and those staff who think that the imposition of a standardised system is inhibiting.

Many departments have adopted the SOE provided by ICS. Benefits conferred include:

- Lower support costs (usually halved);
- Easy access to business applications, communications tools, office software, courseware applications for learning & teaching;
- Access to file-store facilities and resources needed to do the day-to-day computing tasks required by the University.

There is a strong case for developing a universal Windows SOE, based on the work done by ICS, and incorporating the requirements of those Schools that have built their own general-purpose environments. This has proven both successful and popular in universities that have followed this course, such as Cardiff.

Actions

- Establish a timetable to develop a common general purpose Windows Standard Operating Environment, replacing departmental versions.
- Require all non-specialist users to use the Standard Operating Environments on grounds of better security and lower support costs
- Investigate the development of Macintosh and Linux environments.

3.8 Remain at the forefront of eLearning developments whilst developing a coherent and consistent institutional approach to the management and use of digital assets.

There will be a continuing need for comprehensive IT induction and training in study skills. The sophistication of the 'digital native' is broad rather than deep and there is an identifiable class of 'digital dissidents' who prefer print.

The University has established a powerful position in e learning and will continue at the forefront of developments. It will promote integration of systems, better to track progress, build a comprehensive repository of digital learning objects and continue to promote the productive partnership between academic staff and the Learning Centre that underpins its position.

Actions

- Develop repository of digital assets
- Promote the integration of systems to improve student experience and the management of learning.

3.9 Review the provision of research materials and establish robust information related processes to support research activity and its future assessment

Year on year reductions in the number of journals purchased will probably continue. A review of the way funding is allocated to research materials should be undertaken to ensure that overall University strategic imperatives are taken into account.

There is an established need to improve information management covering the full lifecycle of grants and contracts and their outputs. It has been made clear by the Research Committee that the University requires better systems for managing research performance, both locally and in the context of the successor to the RAE.

Information gathering for external research assessment should be converted into a more devolved yet process driven system: both to reduce reliance on too small a group of individuals and to ensure that knowledge and understanding of what is required remains current.

The Research, Learning & Teaching and Library & Information Services Committees all recognise the need for a university publication repository. This will assist in local and national research performance

management and measurement activities, raising the University's profile and in making these more easily available.

Actions

- Review Library research material spends to ensure University strategic imperatives are being properly served.
- Develop robust processes for gathering and storing information for research performance management and external assessment
- Introduce a University publications repository.

3.10 Extract maximum value from current investment in core business systems through optimal use of built in facilities and the development of integrated applications using emerging web based technologies

In the discussion document each core system is considered in terms of how its contents can be made more accessible and useful. There are no specific recommendations for action beyond the general requirement that best value be extracted and integration of the information in the systems be pursued. The virtues of integration and accessibility are widely recognised and all improvement plans will be based on the need to make the users' experience better.

Actions

- Conduct audit of the facilities available in existing systems to ensure that best value is being enjoyed.
- Use Service Oriented Architecture and Web Services, as set out in 3.4

3.11 Properly exploit investment in Management Information / Business Intelligence software within a University wide development framework

The 2006 restructure led to a strong demand for timely, accurate and relevant Management Information. A Management Information Working Group has made good progress in articulating and better organising provision of key information to Colleges and Schools. It has also identified additional principles specific to management information.

The main tool to be used in providing management information is and will continue to be the COGNOS suite. The University has yet to take full advantage of the facilities available in COGNOS and so will expand significantly the pool of expertise in creating applications, as well as creating a much more broadly based data catalogue.

Actions

- Implement the recommendations of the Management Information working Group (2008)
- Extend expertise in using COGNOS BI suite

3.12 Establish an Information Governance body to oversee the implementation of this strategy and advise the University on future development

Many large organisations have a formally defined Information Governance Framework that aims to bring together policy, practice and the technicalities of information architecture. This is important because, to take records management as an example, policy is driven by a wide range of stakeholders and legal obligation; practice varies widely and the 'technology stack', from network through to PC is ferociously complex yet needs to fit with the other two. The University has many of the pre-requisites, but on an informal and ad hoc basis.

LISC partially fulfils some of the remit, but does not have a locus in the work of, say, the Audit, Risk Management or HR Committees. It is suggested that an Information Governance Steering Group be established to provide the cross cutting experience and expertise needed to ensure that this programme of work is carried out successfully and that good Information Management remains a staple of University business.

The remit of the group would include advising on:

- Development of common business practices;
- Optimising performance of critical business processes;
- Knowledge management and advising on management and exploitation of intellectual capital;
- Regulatory and legal compliance;
- Information security policies;
- Business continuity policy,
- IT architecture;
- Development standards;
- Centralisation v decentralisation of IT management and resources;
- Policies governing ownership and usage of data and processes.

Membership should include representatives of all Colleges, together with key SASS Directorates including Information Services, Finance, HR and the Principal's Office. Its position in the organisation structure could be alongside the Risk Management Monitoring Group.

Actions

- Formalise the University's Information Governance Framework
- Establish an Information Governance Steering Group

David George
November 2008

Appendices

1. Indicative costs
2. Priorities and responsibilities

Implementation costs

1. The primary cost will be in staff time. Many of the proposals are administratively onerous, though ultimately rewarding. A few percentage points reduction in the misdirection of effort will release thousands of hours of staff effort for more focussed teaching, research and administrative activity.

2. System purchase

2.1 Institutional search engine

We have an indicative quotation of £50k for four years or a recurrent payment of £16.5k.

2.2 Electronic Record and Document Management

We have an indicative quotation of c £150k - £200k for implementation. This will require a line in the capital programme since it cannot be met from recurrent budgets.

2.3 Web Content Management

Purchase price c £50k, with five year cost c £140k. Capital outlay covered by 2008 – 09 major equipment allocation.

3. Equipment costs

There are major equipment purchase implications in the development of a robust information governance framework. Good practice in performance management, business continuity and disaster recovery suggests expansion of facilities to include duplication of key systems and storage. It is probable that c£500k would be required as a one off 'lumpy' investment. Recurrent major equipment allocations should cover interim updates.

An ICT strategy to support implementation of this strategy will be prepared, including a case for additional investment in the technical infrastructure.

4. Training

ECDL currently costs £95 per person.

The cost of leaflets and other materials promoting good practice would be subsumed in ICS recurrent budgets.

An online reference and ICT training facility has already been purchased and is currently being configured.

Priorities and responsibilities (draft)

The number of recommended actions and the broad spread of responsibilities will require the establishment of a complex implementation programme. The proposed Information Governance Steering Group should take responsibility for managing the process and will set priorities in discussion with the lead units / officers identified in this draft schedule.

Category key

- 1 Already happening
- 2 Immediate (starts when the strategy is adopted)
- 3 First priority – starts in 2009
- 4 Second priority – start date to be determined by Steering Group or responsible authority
- 5 Continuing process over medium term

	Action	Lead
2	Formalise the University's Information Governance Framework & Establish an Information Governance Steering Group	Principal's Office / Director IS
2	Prepare guidelines covering the roles and responsibilities of those responsible for university information	Director IS
2	Identify Data Stewards and provide advice and training	Director IS
2	Produce good practice guidelines for individual members of staff	Director IS / Records Manager
3	Establish a network of unit records managers & Implement formal filing plans based on JISC guidelines, accepted by the University in 2006	Records Manager
5	Put all information, paper and electronic, into good order in preparation for the introduction of electronic document management.	Records Manager
4	Provide guidelines on material that should be kept in the long term.	ARMMS
	Action	Lead
4	Archive important material, having disposed of ephemera, in structured physical and electronic archives	ARMMS
3	Identify and purchase an enterprise EDRMS	Director IS
3	Conduct proof of concept testing in a significant area, such as the University file store attached to the Court Office	Director IS / Clerk to Court
5	Establish a project plan to replace all paper filing systems within three to five years	Records Manager
3	In the interim continue to manage documents and work flows by using existing facilities available in GroupWise and other supported products	GroupWise Service coordinator
1	Complete the overhaul of the look and feel of the web site	Web Site Programme Board
1	Implement a web content management system	Web Site Programme Board

4	Use web services, service oriented architecture and portal technology to develop applications and views of information that provide significant benefit to staff and capitalise better on the University's investment in information systems	ICS Management Team
3	Identify and purchase a good value search engine which can be tailored to the University's needs	Director IS
4	Develop a staff ICT induction course containing the key messages about best practice in the use of University facilities	Director HR / ICS Training Team
4	Consider making the ECDL compulsory for new staff and requiring existing staff to undertake it where they do not hold it (or an equivalent)	Director HR / ICS Training Team
3	Provide a range of simple guides on core systems, such as email, which describe the University's requirements for their effective use	Director of Computing Services
4	Establish a timetable to develop a common general purpose Windows Standard Operating Environment, replacing departmental versions	Director of Computing Services
3	Require all non-specialist users to use the Standard Operating Environments on grounds of better security and lower support costs	Director of Computing Services
4	Investigate the development of Macintosh and Linux environments	Director of Computing Services
2	Develop repository of digital assets	Director, Library & Learning Centre
3	Promote the integration of systems to improve student experience and the management of learning	Director, Library & Learning Centre
	Action	Lead
2	Review Library research material spends to ensure University strategic imperatives are being properly served	VP Research / Research Committee
2	Develop robust processes for gathering and storing information for research performance management and external assessment	VP Research / Director IS
2	University publications repository	VPs Research & Education
3	Conduct audit of the facilities available in existing systems to ensure that best value is being enjoyed	Director IS
3	Use Service Oriented Architecture and Web Services	ICS Management Team
1	Implement the recommendations of the Management Information working Group (2008).	MI Working Group
1	Extend expertise in using COGNOS BI suite	Director IS

APPENDIX 6

NOMINATIONS COMMITTEE (Minute 29)

A meeting of the Committee was held on 27 October 2008.

Present: Mr JR Milligan (Convener), Principal Sir Alan Langlands, Mr WI Ball, Mr R Burns, Mr BWM Johnston, Dr J Lowe.

In Attendance: Professor RJ Abboud, Secretary and Clerk to Court.

1. MEMBERSHIP OF COURT COMMITTEES 2008/9

Resolved: to note that the Committee, following consultation by correspondence in October 2008, had recommended to Court that it approve the nominations of Professor RJ Abboud to the Nominations Committee and Professor GLP Follett to the Finance & Policy Committee.

2. LAY APPOINTMENTS TO COURT

(1) Dr Alison Goligher

The Committee discussed the contribution of Dr Goligher to the work of the Court.

Resolved:

- (i) to ask the Principal to enquire of Dr Goligher whether she was willing to continue as a Court member; and if so
- (ii) to recommend to Court that she be re-appointed as a Court member in terms of Statute 9(1)(l) for a second term of four years from 1 August 2009 to 31 July 2013.

(2) Dr Janet Lowe

The Committee discussed the contribution of Dr Lowe to the work of the Court.

Resolved: to recommend to Court that Dr Lowe be re-appointed as a Court member in terms of Statute 9(1)(l) for a second term of four years from 1 August 2009 to 31 July 2013.

(3) Dr Howard Marriage

The Committee discussed the contribution of Dr Marriage to the work of the Court.

Resolved: to recommend to Court that Dr Marriage be re-appointed as a Court member in terms of Statute 9(1)(l) for a second term of four years from 1 August 2009 to 31 July 2013.

(4) Mr Bruce Johnston

The Committee noted that Mr Johnston, having served two full terms by 31 July 2009, would be ineligible for further re-appointment. The Committee praised the industry and dedication of Mr Johnston during his long service on Court and its Committees, in particular as Convener of the Finance & Policy Committee. The Committee unanimously agreed that he would be a tremendous loss to Court and to the University. For his part, Mr Johnston expressed the enormous enjoyment he derived from his work for the University, and looked forward to enjoying the next nine months before his departure.

3. CHANCELLOR'S ASSESSOR

The Committee noted the intention of Dr Larry Rolland to step down as Chancellor's Assessor and thereby also as a member of Court, his departure to take effect to suit the University, the

Chancellor and the identification of a successor. The Committee agreed that it would be appropriate to identify a successor to take over with effect from 1 August 2009.

The Committee commended Dr Rolland's long and distinguished service to Court and to the University in general, in particular noting his unstinting work as a former Chair of Court and as Convener of the Campus Services Committee, where his contribution would be sorely missed.

Resolved: to ask the Principal to confer with the Chancellor on the manner for identifying a successor to Dr Rolland as Chancellor's Assessor, noting that Dr Rolland's position as Convener of the Campus Services Committee would likewise need to be filled.

4. CONVENERSHIP OF THE FINANCE & POLICY COMMITTEE

Resolved:

- (i) to recommend to Court that Mr Eric Sanderson be invited to become the Convener of the Finance & Policy Committee with effect from 1 August 2009; and
- (ii) noting that Mr Sanderson's term as Graduates' Council Assessor would cease on 31 July 2009, to recommend to Court that Mr Sanderson be appointed a Court member in terms of Statute 9(1)(l) for the period from 1 August 2009 to 31 July 2013.

5. STRATEGY FOR APPOINTING NEW LAY MEMBERS

The Committee discussed the means by which new lay members of Court could be identified in the future, that is by advertising, by the network of current Court members, by contacting students and staff, and by the use of headhunters. The Committee discussed the merits of formal advertising in the press, noting that this would demonstrate a commitment to transparency of process and to equal opportunities. In the past advertising had not produced many suitable candidates, but the Court agreed that this method was useful in attracting candidates whom the other methods would be unlikely to reach. The Committee was not in favour of engaging headhunters to identify suitable candidates.

The Committee noted that there was no longer any restriction on overseas appointments to Court, although it was to be borne in mind that an effective Court member would need to be able to commit to regular attendance and to sustained contribution to the work of the Court.

Resolved:

- (i) subject to Court's approval of the recommendation that Mr Sanderson serve as a co-opted member of Court and noting that thereby there would be just one lay vacancy on Court (the Chancellor's Assessor) on 31 July 2009 and that the means for identifying a new Assessor would be conducted following consultation with the Chancellor himself, to recommend that for this vacancy no external advertising be used; but
- (ii) to recommend that for vacancies arising on 31 July 2010 there should be some form of external advertising coupled with consultation with individual Court members and with staff and students of the University.

APPENDIX 7

**REMUNERATION COMMITTEE
(Minute 30)**

A meeting of the Remuneration Committee was held on 10 November 2008.

Present: Mr Richard Burns (Convener), Mr John Milligan, Dr Janet Lowe.

In Attendance: Principal (for part of the meeting); other officers also attended parts of the meeting to advise on specific items.

1. The Committee met to conduct a review of non-clinical Professorial and equivalently graded staff salaries.
2. Salary increases in addition to the nationally agreed settlement were agreed as follows:

<u>College</u>	<u>2008/09</u>
	£
Art, Science & Engineering	5,159
Arts & Social Sciences	9,500
Life Sciences	8,141
Medicine, Dentistry & Nursing (non-clinical)	9,000
Student & Academic Support Services	10,000
Principal and Vice-Chancellor's Office	-
Principal and Vice-Chancellor	-

3. A total of £41,800 (cf £61,377 in 2007) was distributed selectively to 26 individuals from the eligible group of 165 members of staff. In reaching decisions on this matter, the Remuneration Committee took note of the relevant college and support services salaries over the last five years, issues of gender equity and University sector comparators. The Committee adopted a highly selective approach, also taking account of the level of pay increases (3% in May 2008 and 5% in October 2008) resulting from national negotiations.
4. The Committee also noted that the Principal had not received any award from the Remuneration Committee since 2005. In view of this and his relative position with other Vice-Chancellors it was agreed to examine the options for making a modest increase in the University's pension contribution to USS on behalf of the Principal.
5. Approval was given for a number of 'in-year' decisions which had been taken with the authority of the Principal and, where appropriate, the Chair of Court or another Court member.
 - (i) an enhanced salary level was agreed for a member of staff in the School of Medicine in order to retain the member of staff in Dundee;
 - (ii) five cases of Voluntary Severance which required the approval of the Remuneration Committee were approved;
 - (iii) an 'attraction' payment which also partly recognised work carried out by a new member of staff before his actual start date in Dundee was agreed;
 - (iv) a travel allowance was agreed for a member of staff.
6. Having considered a case outlined by the relevant Vice-Principal and Head of College, a severance package was approved for a senior member of staff.

7. The Committee was reminded that under the 'Schedule of Delegation' as approved by the University Court, the Committee had the responsibility for reviewing honoraria payments made to Deans and other members of staff. Having considered this, the Committee agreed that it was appropriate that such payments were reviewed every three years. These payments would therefore be reviewed by the Committee at its meeting in 2009.

APPENDIX 8

CAMPUS SERVICES COMMITTEE (Minute 30)

A meeting of the Committee was held on 18 November 2008.

Present: Dr L A L Rolland (Convener), Professor S Gallhofer, Dr J Elliott.

In Attendance: Dr D Duncan, Mr D Yule, Mr G Davies, Mr R Kennedy, Mr M Galloway, Ms S Hamilton, Ms M Kenley (part).

1. MINUTES OF PREVIOUS MEETING

Resolved: to approve the Minute of the meeting held on 3 October 2008.

2. MATTERS ARISING

Botanic Gardens (Minute 5)

The University Secretary reported that following discussion with the Friends of the Garden it was confirmed that, subject to certain operational conditions, they would withdraw their opposition to the development of land on Taypark House and the east end of the Garden.

It was noted that there had been reports that a potential buyer might have gone into administration. In the meantime the Director of Campus Services and other Estates colleagues were engaging in talks with other interested parties.

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

The Head of Estates reported as follows:

(1) IMSAT Wilson House

The discrepancy between the budget approved figure and the outturn cost was because the outturn includes the cost of the MRI Scanner.

(2) TMRC

This project was nearing completion with handover expected at the beginning of December, slightly later than anticipated.

4. ESTATES KPIS

The Director of Campus Services described the headline Estates KPIS which feature in the University Strategic Framework. These relate to building condition, space and energy use.

Following dialogue on KPI 13 - Efficient use of space by staff, the Committee approved the suggestion by the Director of Campus Services that this be changed to non-residential total room area per student as this would be a more effective measure which was more easily comparable within the University's peer group.

The Space Manager confirmed that these figures did not include Ninewells teaching space but that she was presently working on this and hoped to produce a summary towards the end of the year.

In commenting on the development and implementation of the Capital Programme the Director of Strategic Planning referred to the need for robust performance management reporting particularly in relation to Aim 7 of the Strategic Planning document which addresses the University's long term financial sustainability. He suggested that the amount and quality of work that had been done in the capital programme over the last few years be emphasised more in this section.

Resolved: the Director of Campus Services to amend KPI 13 as discussed and agreed by the Committee.

5. **SPACE MANAGEMENT**

The Space Manager reported on progress in the three important areas of effective space management namely Space Management Information, Space Management Tools / Techniques and the Space Management Group.

A sub-committee has been established at Ninewells to encourage collaboration between the University and NHS on space matters.

6. **ENVIRONMENTAL SUSTAINABILITY**

The Head of Estates presented a paper which summarised the work of the Environmental Task Force and the progress made in the four key target areas. The Environmental Officer would update the Committee on further progress at the next meeting in March 2009.

Resolved: to invite the Environmental Manager to attend the next Committee meeting.

7. **V & A DUNDEE**

The University Secretary updated the meeting on progress. A second more detailed feasibility study had been commissioned by the University and SET and it was intended to hold a seminar to discuss the findings and implications of this study.

Resolved: to report back to a future Committee meeting on the findings of the feasibility study.

8. **CAMPUS SERVICES COMMITTEE FUTURE REMIT**

The Director of Campus Services suggested that there was a need to review the remit of this Committee and that he had discussed the following proposed changes, in draft form, with the Principal:

The main points from the draft review document were:

- (i) The role of the new Committee should fit neatly with the Finance & Policy Committee, develop a project vetting process and give guidance on pre K2 projects.
- (ii) A change in title from Campus Services to Estates Committee was proposed.
- (iii) The Committee membership would need to be revised before the commencement of academic year 2009-10. The Convener emphasised the need to include someone with an architectural and planning background on the Committee.

Mr Galloway suggested that the University's Masterplanning exercise should be kept in mind as the central motivation for the work of the Committee.

Resolved: the Director of Campus Services should submit the amended paper to the Governance Review which would take place from February to September 2009.

9. **ANY OTHER BUSINESS**

(1) Future Agenda Items

- (i) Capital authorisation procedures
- (ii) Backlog maintenance progress

- (2) The Convener thanked the University Secretary for all the work he had put into this Committee and wished him well in his new post.

APPENDIX 9**COMMITTEE FOR THE APPOINTMENT OF A NEW PRINCIPAL
['Appointing Committee']
(Minute 32((2)))**Membership

Court representatives:	Mr John Milligan (Convener) Professor Georgina Follett Dr Janet Lowe Mr David McLeod Mr Eric Sanderson
Senate representatives:	Professor Michael Ferguson Professor Irene Leigh Professor Alan Page Dr Angela Roger
Co-opted:	Professor Peter Davies