

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

A meeting of the University Court was held on Monday 14 December 2009.

Present: Mr JR Milligan (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Mr M Arnott, Mr WI Ball, Professor Emerita A Burchell, Mr D Cathcart, Dr J Lowe, Dr LI McLellan, Dr H Marriage, Professor GJ Mires, Dr AM Roger, Mr EF Sanderson, Mr A Smith (President of the Students' Association), Professor J Taylor, Mr IDM Wright

In Attendance: Vice-Principal Professor J Calderhead, Secretary, Director of Finance, Director of Human Resources, Director of Information Services & Deputy Secretary, Director of Strategic Planning, Mr R Isles & Clerk to Court

Apologies: Mr R Burns, Ms A Newton

**20. MINUTES**

**The Court decided:** to approve the minutes of the meeting on 26 October 2009.

**21. MATTERS ARISING**

(1) Redundancy Committee (Minute 7)

**The Court decided:** to note the composition of the Committee, whose establishment the Court had approved at its meeting on 26 October 2009, as follows: Professor J Calderhead (Convener), Professor AH Fairlamb, Professor RW Duck, Ms A Newton, Professor Emerita A Burchell; and noting additionally that the Committee had not yet met.

(2) Vice-Principal & Head of the College of Life Sciences (Minute 14)

**The Court decided:** to note the appointment of Professor Doreen Cantrell as Acting Vice-Principal & Head of the College of Life Sciences.

**22. CHAIRMAN'S BUSINESS**

The Chairman reported that he had had the honour of chairing Professor Whatley's lecture on Robert Burns, which had been held at the end of November as part of the University's contribution to Homecoming Scotland

2009. He reported also that he had attended the University Carol Service, and encouraged others to do so in future.

### 23. **PRINCIPAL'S REPORT**

The Court received a report from the Principal (**Appendix 1**). In presenting his report, the Principal highlighted in particular the preliminary feedback from the Enhancement-Led Institutional Review, which provided clear evidence of the quality of the learning and teaching experience at the University.

The Principal advised the Court that he had appointed Professor Irene Leigh, Vice-Principal & Head of the College of Medicine, Dentistry & Nursing, as the University's research lead. She would convene the University's Research Committee and would, amongst other things, play an integral role in the University's preparations for the Research Excellence Framework, the successor process to the Research Assessment Exercise. One of the key issues to be addressed in this last role was the question of defining and measuring research impact.

The University had recently played host to a successful visit by a senior delegation from the new King's University College in Accra, Ghana. The Rector had been instrumental in helping to set this visit up and the Principal extended his personal thanks to him for his efforts.

The Principal highlighted also the announcement that the Chancellor, Lord Patel, was to be admitted to the Order of the Thistle. Court members joined with the Principal in congratulating the Chancellor on this well-deserved award.

In discussion, some members expressed their concern that work to identify new Court members appeared to be delayed despite the fact that the Court had agreed that filling the current vacancies was a priority. Officers sought to reassure members that work was indeed ongoing to identify potential candidates, to meet with them, and subsequently to arrange a meeting of the Governance & Nominations Committee to enable a full discussion of all candidates. An email to staff and students would be distributed very soon, and a public advertisement would be placed early in the New Year, in line with the process for future appointments agreed at the Court meeting on 26 October 2009.

### 24. **FINANCE & POLICY COMMITTEE**

The Court received a report from the meeting of the Committee on 23 November 2009 (**Appendix 2**). In discussion, the Court noted the positive result for the Students' Association for the year ending 31 July 2009.

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

## 25. VOLUNTARY SEVERANCE

The Director of Human Resources presented a report which summarised the outcomes of the Voluntary Severance Scheme, which had been in operation since March 2007, and which had ended on 30 April 2009. Of the 347 applications received under the scheme, 155 had been approved by the Senior Management Team; and of these, 64% had come from members of the support staff. The scheme had generated an overall saving of £5.9m against a target of £6.5m. The Director provided information on the impact of the scheme on different staff groups, according to age, and gender. She undertook to provide Court with an assessment of the impact of the scheme according to additional diversity criteria, such as ethnic background and disability.

In discussion, the Court considered what impact the staff losses through the scheme had had on the services provided by the University. In many cases, support services had identified different and innovative ways of delivering certain functions, in others, the University had decided no longer to provide a particular service. The Secretary acknowledged that care needed to be taken to maintain an acceptable level of service and to ensure the student experience was not compromised as a result; but reminded members that all voluntary severances had required the approval of the relevant Director responsible for the service concerned that the post could be lost.

Court members advised officers to be vigilant in the recruitment of new staff to ensure that posts lost under the scheme were not reintroduced. In response, officers emphasised the rigour being exercised by the staffing sub-committees in each of the Colleges and in the Student & Academic Support Services.

**The Court decided:** to ask the Director of Human Resources to provide the Court with a breakdown of the impact of the scheme on a range of diversity criteria, including ethnic background and disability.

## 26. REPORTS AND FINANCIAL STATEMENTS 2008/9

The Director of Finance introduced the annual accounts to 31 July 2009 (available online at: <http://www.somis.dundee.ac.uk/finance/>). The operating result for the year was a surplus of £1.6m with a bottom line surplus, after disposals and voluntary severance costs, of £0.6m. Income had increased by 9% during the year to £208m, including an increase in tuition fees of 17% and of research income of 9%. Expenditure had also increased by 9%, with staff costs rising by 8% overall.

The year saw a net cash inflow of £9.5m, buoyed in part by working capital movements and as yet unspent capital grants, both of which had, along with other factors, contributed to the University moving from a net debt position to a positive cash balance of £8.3m. However, the University had capital commitments and net current liabilities of £28m, representing future expenditure obligations that would unwind over time. As 2009/10 unfolded,

this process was already being witnessed, and would therefore require careful management.

Court members complimented the layout, content and clarity of the statements presented, and the Principal noted that the external auditors had also made positive comments on the format and content of the accounts.

**The Court decided:** as recommended by the Finance & Policy and Audit Committees, to approve the Reports & Financial Statements for the year ended 31 July 2009.

## 27. AUDIT COMMITTEE

The Court received a report from the meeting of the Committee on 1 December 2009 (**Appendix 3**). Dr Marriage presented the report, highlighting a number of issues for particular note.

He was pleased to advise the Court that the final report of the Medicines & Healthcare Products Regulatory Agency's inspection of the University's clinical trials had been received by the Committee and fully discussed. The Committee had been reassured that work was well in hand in preparation for the re-inspection that the MHRA had indicated would be necessary. The re-inspection would be an opportunity for the MHRA to assure itself that procedures introduced over the last 12 months had been fully implemented.

He noted that the Committee had examined the University's risk register, and in response, Court members made helpful comments for enhancing the register.

**The Court decided:**

- (i) to approve the Committee's annual report for onward submission to the Scottish Funding Council;
- (ii) to approve the institutional risk register, noting suggestions for enhancement; and
- (iii) otherwise, to approve the report.

## 28. STRATEGIC FRAMEWORK: PERFORMANCE MONITORING

### (1) Aims 4 & 5: Research, Collaboration & Knowledge Transfer

The Director of Strategic Planning presented a report which provided an update on progress towards meeting the requirements of the Strategic Framework with regard to research, partnerships and commercialisation. He noted that there had been detailed discussion of the report at both the Research Committee and the Senior Management Team. Increased research income and overhead recovery was noteworthy, although maintaining momentum in this area would be challenging in the current economic climate. He noted

that the University recognised the difficulty of maintaining a balance of overhead recovery in order to preserve important relationships with low overhead-awarding funders, such as CRUK and the Wellcome Trust. He pointed out the shortfall of research postgraduate numbers in comparison with peer institutions, and noted that the Research Committee would be investigating this issue in detail. Finally, he argued that decisions relating to the viability of commercialisation opportunities required strategic underpinning to avoid too thinly spread an approach. This would help to target resource on the most likely successful opportunities as well as align such opportunities to areas of existing strength.

Court members discussed the matter of research postgraduate students, acknowledging the possible need for increased investment in this area.

(2) Key Performance Indicators: Time Series

The Director of Strategic Planning also presented a report focussing on the performance over time of the University's progress towards meeting quantitative targets specified in the Strategic Framework. The report used a traffic light system to highlight those areas where progress was on target but also those areas where remedial action would be necessary. Good progress had been made in increasing taught postgraduate income and research activity, but performance in relation to the areas of efficient use of space and efficient consumption of energy was less positive. The Director noted that whilst the indicator relating to undergraduate entry requirements appeared to show some cause for concern, work was being carried out within Admissions & Student Recruitment Services to ascertain to what degree this indicator was being affected by increased numbers of students entering via non-standard routes.

Court members concentrated discussion on the questions of energy efficiency and space utilisation. In relation to the first, the Court learnt that a Carbon Management Board had been established, and additionally that electricity meters had been installed in most buildings to enable closer monitoring by users of their energy consumption. In relation to the second, the Secretary noted that he was setting up a group specifically to consider the best use of the Dalhousie Building and that a project had been established to introduce a centralised timetabling process. It was acknowledged that, for both of these issues, there was a need to influence and change individual behaviour to enable the University to meet the challenging performance targets.

## 29. STRATEGIC REVIEW

The Court received two papers which provided on the one hand an academic context to the review and on the other the financial context in which the review was taking place.

The thrust of the first paper was to set the vision of the University as one which would build on its academic reputation and embed a commitment to impact in all its forms. To achieve this, the University would concentrate investment in its strengths. The emphasis was on excellence, in research, in teaching and in the support services, irrespective of the prevailing economic conditions.

The second paper presented an assessment of the financial environment and considered recent press statements and official reports on the likelihood and magnitude of public sector funding reductions. In doing so, the paper set out a number of scenarios that might apply and their effects for the short to medium term on the financial position of the University.

The papers generated a good deal of discussion from Court members, and it was noted that the papers had been made available to the campus unions in advance of the Court meeting. This had prompted responses to each paper from the local branch of the University & College Union (UCU), which the Court acknowledged.

On the whole, Court members welcomed the papers as a sober and thoughtful response to the exigencies presented by the current challenging economic conditions, and noted furthermore that the vision set out in the first paper would be one which the Principal would ideally have had more time to implement, but which would now require to be accelerated as a result of the scenarios set out in the second paper. Court members were especially pleased to see a range of scenarios, which it was felt were consistent with thinking elsewhere in the sector.

There were also some cautionary observations from other members. These concentrated in particular on the inherent value of the University's staff in the success of the institution, but also questioned whether the stated target of a 3% surplus continued to be appropriate. There was also a call for greater engagement and commitment from Vice-Chancellors across the UK and Scotland to fighting the case for higher education funding with the UK and Scottish Governments.

In response, the Principal emphasised that valuing staff had been and continued to be uppermost in his mind during the Strategic Review and beyond, noting that the excellence agenda was driven by and reliant upon the commitment and quality of the University's staff. There needed to be efficient support for academic work, which had a bearing on the responsiveness of the support services, and workload models in Schools needed to be flexible in their application to be properly tailored to the skills and performance of individual disciplines. He added that teaching excellence would be supported across the board, although it was clear that, particularly

in this context, the University would need to calibrate what it understood by excellence to make it relevant across the institution.

On the question of the 3% surplus, the Principal made clear that a surplus was not a luxury but a necessity if the University was to be sustainable in the longer-term and to be in a position to invest both in its infrastructure and in the areas of strength identified by the review. It was, however, clear from the scenario planning set out in the financial context paper, that this goal would become extremely difficult if the most severe of the possible funding scenarios were proved correct. Even so, he cautioned against the complacent adoption of break even budgets.

The Principal reported that both Universities UK and Universities Scotland had been active in lobbying the respective governments on the importance of adequately funding higher education and, moreover, of recognising that higher education represented the 'engine-room for recovery'. He had to report, however, that these comments were not being particularly well-received, and that the political mood generally was proving to be unsympathetic.

As part of the Strategic Review, the Principal had met with Deans, the Students' Association as well as with representatives of the campus unions. The next steps for the review were that Colleges and Schools were being asked to carry out a scoping analysis of activity in each area. This would be developed into more strategic planning early in the New Year, which would also coincide with the budget setting round for 2010/11. The Secretary indicated that the process underway in Schools and Colleges was being replicated in the support services, with work ongoing to identify potential savings and to examine business processes for opportunities for greater efficiency and effectiveness. Feedback from staff and students would be crucial in this exercise to ensure the University's high standard of student experience. A progress report would be provided for Court at its meeting in February and a more detailed paper outlining emerging proposals would be presented to Court at its meeting in April.

### 30. **KUWAIT: UPDATE**

The Director of Strategic Planning provided the Court with an update on discussions with prospective partners in Kuwait. He reported that he had conveyed to the partners that the University was not in a position to move rapidly, but would rather develop collaborations at a more incremental and gradual place. He reported that the University would now pursue a number of business opportunities in Kuwait: short courses using the Centre for Energy, Petroleum & Mineral Law & Policy as the lead via a Memorandum of Understanding with Kuwait University; and research and training activity linked to the Dasman Diabetes Centre in Kuwait City.

The Court thanked the Director for his considerable work on this project. Given that the focus was on routine collaborative arrangements, there was now no intention to provide Court with specific reports on Kuwait activity.

### 31. V&A AT DUNDEE: UPDATE

The Court received a report from the Director of Strategic Planning which provided an update on progress with the V&A at Dundee project. The Project was entering a critical phase as it moved towards the establishment of a charitable company to take the development and fundraising of the project forward. In January, an international design competition would be launched and the site for the project would be announced. The partners in the project had formed a Steering Group, of which the Principal was the chair, and all partners were committed to making the project succeed.

Court members were enthusiastically supportive of the project, although they urged the partners to ensure that the business plan was viable. There was also encouragement to involve Creative Scotland, the proposed successor body to the Scottish Arts Council and Scottish Screen, in the development process.

The Principal confirmed that there was no commitment for the University to contribute to recurrent funding of the project. The partners had agreed to financial contributions for the development phase, prior to the establishment of the charitable company, of £255k, of which the University's share was £30k. The finished project would bring significant benefits to the University: it would be a showcase for the interface between contemporary design and the research that underpins it and it would act as a persuasive attractant for students and staff.

### 32. UNIVERSITY STATUTES: STATUTE 9 – THE COURT

The Court received from the Clerk to Court proposed amendments to Statute 9 – The Court (**Appendix 4**). This was the first stage in the implementation of the proposals designed to enhance the effective operation of the Court which had been approved at the Court's meeting on 26 October 2009.

**The Court decided:** to approve the amendments to Statute 9, subject to i) the endorsement of the Senatus, ii) ratification at a subsequent meeting of the Court, and iii) formal approval by the Privy Council.

### 33. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report of the meeting of Senate on 2 December 2009 (**Appendix 5**).

**The Court decided:** (i) to concur with the proposed date for the next rectorial election of 11/12 February 2010;

(ii) to approve the provision of a maximum grant of £1000 for hospitality and travel costs incurred by rectorial candidates coming to Dundee to participate in hecklings, noting that the

Students' Association would provide a similar amount;

- (iii) to endorse the translation of Roger Soames from a Personal Chair of Functional & Applied Anatomy to the Cox Chair of Anatomy; and
- (iv) otherwise, to note the report.

#### 34. HUMAN RESOURCES COMMITTEE

The Court received a report from the meeting of the Committee on 4 November 2009 (**Appendix 6**).

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

#### 35. APPOINTMENT BY COURT TO EXTERNAL BODIES: UNIVERSITY OF LIVERPOOL COURT

- The Court decided:**
- (i) to approve the appointment of Dr Ian Harvey, lecturer in the School of Biological Sciences at the University of Liverpool and PhD graduate of the University of Dundee, as its representative on the Court of the University of Liverpool for the period 1 January 2010 to 31 December 2012; and
  - (ii) to ask officers to provide Court with a list of all Court appointments to external bodies.

#### 36. STAFF

##### Professorial and Other Grade 10 Appointments

The Court noted the appointment of the following:

Chris Reed	Personal Chair of Computer Science & Philosophy	1 August 2009
Graeme Houston	SINAPSE Chair of Imaging	1 December 2009

#### 37. RECTOR & RECTOR'S ASSESSOR

It was understood that the incumbent Rector, Mr Craig Murray, would not be seeking re-election, and in view, therefore, of the upcoming rectorial election, the Chairman took the opportunity to pay tribute to the work and contribution of the Rector and his Assessor, Mr Mike Arnott, both of whom had been enthusiastic and vocal Court members. Mr Murray had been a

particularly conscientious contributor to the work of the Court, and members joined the Chairman in thanking him for his commitment.

## APPENDIX 1

### PRINCIPAL'S REPORT (Minute 23)

#### Finance

As usual, the December meeting of Court will consider the audited accounts for 2008/9. As was previewed in my report for the October meeting, these show an operating surplus of £1.6m and a bottom-line surplus, after voluntary severance and disposals, of £0.6m. Both the Finance & Policy and Audit Committees have examined the accounts and recommend that Court approve them.

In respect of 2009/10, the management accounts currently forecast a small deficit of around £0.4m. It is, however, still early in the session, and the final position on expected tuition fees for the year will not be known until after the January 2010 intake of new students. The Senior Management Team and the College Executives will of course monitor this position in the coming months, and in particular in preparation for the budget-setting round for 2010/11.

In October, I reported that the Scottish Funding Council (SFC) had issued a consultation document proposing changes to the Higher Education subject price groups, which form the basis for calculating the University's teaching income from the SFC. It now seems likely that these proposals will not be implemented for 2010/11, but that further discussion on the evidence base for establishing new price groups will take place ahead of revised proposals in the future. The University will, however, almost certainly face a reduction in support for teacher training from 2010/11 onwards.

With regard to the negotiations on pay between the campus unions and UCEA (the Universities & Colleges Employers Association), there is still no final outcome, although it seems that UNITE will be joining UNISON in accepting the pay offer of 0.5%.

#### Teaching Excellence

In mid-November, the University played host to the Part II visit of the Enhancement-Led Institutional Review, and the University has already received a preliminary report on the key themes of the review. The full report will not be issued to the University until the end of January, but the preliminary report is extremely positive and places emphasis on the University's 'highly effective' quality assurance framework. There is also praise for the management of the student learning experience and for the University's approach to quality enhancement. All of this serves to underpin the excellent teaching that is carried out across the institution as well as the focus of our teachers and learning technologists on creating an optimal environment in which our students can achieve their full potential. I would like to thank the University's ELIR Working Group, and in particular the Director of Quality Assurance, Dr Jonathan Weyers, for their hard work in preparing for the review.

#### Strategic Review

Two papers later in the agenda provide members with an update on the progress of the review to date, but I want to tease out a couple of important overarching concepts here.

The preliminary ELIR report, as we have seen, provides evidence for the excellence of our teaching provision and the students' learning environment, but by extension it also underscores my view that the excellence of a University is not defined solely by the quality and reputation of its research activities. Teaching excellence is as important an objective as is the pursuit of research excellence; and in the case of the University of Dundee both are crucial to our future success. In financial terms, the two funding drivers over which we can exercise some control are research income and overseas/taught postgraduate fee income; but these are to a large extent concentrated in different parts of the University. This means that the University's academic strategy cannot and should not be focussed either on research or on teaching alone. The University's strategy has to be one which takes a qualitative view – and that is why I believe the University must pursue excellence in all that it does and support strength wherever we find it.

## Research

As some of you may be aware, I have appointed Professor Irene Leigh as the University's research lead. Following Professor Boxer's departure in March 2009, I have been overseeing the co-ordination of research issues for the University, but since my appointment as Principal, this has become increasingly unfeasible, so I am delighted that Irene has agreed to take on this role, which will see her, amongst other things, convene the University Research Committee.

One of Irene's key priorities, of course, will be preparation for the successor to the RAE: the Research Excellence Framework (REF). On this particular topic, the University is currently finalising its response to the 'Second consultation on the assessment and funding of research' published by the UK Funding Councils (co-ordinated by HEFCE). The main thrust of the University's response is endorsement, in general, for the revised REF proposals which are based on a system of peer review informed by metrics, rather than vice versa. The most controversial aspect of the new proposals concerns the significance that research impact will play in the overall assessment. This University has a strong track record of ensuring our fundamental research has an impact on society, whether this is economic, sociological, scientific or cultural. We therefore support this proposal provided that rapid progress can be made to find reliable ways to measure impact. The response insists that any citation data or assessment of research impact should be made at the level of the Unit of Assessment and not at any lower level, where this would be to the detriment of, for instance, early career researchers. We also make clear that, with the sector approaching the halfway point of the next reporting period, the precise mechanisms for the operation of the REF need to be agreed soon.

## Nominations

Following the last meeting of Court, members were asked to forward the names and any additional information of potential candidates as Court members in order to begin work on filling the two vacancies on Court. As a result a number of suggestions have been made, for which I would like to thank members, and the University Secretary and I, along with the Chair of Court, are working towards identifying a shortlist of suitable candidates for submission to the Governance & Nominations Committee (GNC) for further discussion. We are putting together a programme of meetings with promising candidates and hope to be able to convene a meeting of the GNC early in the New Year.

## and finally...

Some of you may have seen in the news the announcement by HM The Queen that the Chancellor, Lord Patel, is to be admitted to the Order of the Thistle, the highest order of chivalry in Scotland. I am sure you will all join with me in congratulating Naren on this award, which recognises outstanding achievement throughout his long career.

It just remains for me to wish you all a very happy Christmas and all the best for 2010!

Professor Pete Downes  
Principal & Vice Chancellor

### Major Grants & Awards

- **£1.6m from the Engineering & Physical Sciences Research Council to Professor Vikki Hanson** for the Digital Economy Hub (Joint with Newcastle University)
- **£1.2m from the Framework 7/European Research Council to Dr Thimo Kurz (Scottish Institute for ceLL Signalling)** for Nedd8 Ubiquitin-like Protein Conjugation System and Regulation of Cullin-Ring E3 Ligases
- **£1m from Cancer Research UK to Professor Roland Wolf** for Understanding the Function of Genes which Determine Drug Efficacy and Susceptibility to Environmental Agents
- **£0.8m from the Medical Research Council to Professor Julie Frearson** for Translating a Portfolio of Novel Biological Targets Towards Therapeutics
- **£0.5m from the Engineering & Physical Sciences Research Council to Dr Edik Rafailov** for Compact Diode-Laser-Pumped THz Source Based on a Novel Photomixer Device

### International Links

- In November the University was host to a delegation from the new King's University College in Accra, Ghana. Links to be explored under a memorandum of understanding include the Centre for Energy, Petroleum & Mineral Law & Policy, Computing and Accounting & Finance.

### Learning & Teaching

Learning & Teaching Lunches have been held to celebrate academics from the University of Dundee whose contribution to teaching at the institution has seen them win awards. Winners of the University's Teaching Awards discussed issues relating to teaching, and the innovative techniques they have deployed to enhance the learning experience for students. Winners giving presentations were: Professor Mono Chatterji (Senate Award for Excellence in Teaching winner), Andy Milligan (Honorary Graduates' Award for Innovative Teaching winner), Dr Mhairi Towler and Janice Aitken (Honorary Graduates' Award for Innovative Teaching winners), Allan Jones (Chancellor's Award for Lifetime Contribution to Teaching winner), Dr Nicholas Brewer and Margaret Adamson (Honorary Graduates' Award for Innovative Teaching winners), and Dr Fraser Smith (Senate Award for Excellence in Teaching winner).

### People & Prizes

- Forty graduates of the University of Dundee's distance learning courses were awarded their degrees by the Dean of Nursing at a ceremony in Asmara, Eritrea on 10 October 2009
- Professor Ron Hay has been elected a member of the European Molecular Biology Organisation (taking the total of University of Dundee members to 15)
- Dundee was once again named amongst the top 10 international institutions from countries outside the United States in The Scientist magazine's annual survey of scientists to name the best places to work in the world. In sixth place, Dundee was joined in the list by the University of Bristol, the only other UK university to make it into the top 10.
- 'The Happy Duckling', an enchanting animation short produced by students from the universities of Dundee and Abertay, scooped a prestigious BAFTA Scotland Award

## APPENDIX 2

### FINANCE & POLICY COMMITTEE (Minute 24)

A meeting of the Committee was held on 23 November 2009.

Present: Mr EF Sanderson (Convener), Principal Professor CP Downes, Mr WI Ball, Professor J Calderhead, Dr J Lowe, Dr LI McLellan, Mr JR Milligan, Mr A Smith (President of the Students' Association), Mr IDM Wright

In Attendance: Mr R Burns, University Secretary, Director and Deputy Director of Finance, Director of Campus Services and Clerk to Court

The Convener welcomed Dr Lowe and the Director of Campus Services to their first meeting of the Committee.

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting on 5 October 2009

#### 2. MATTERS ARISING

##### (1) University of Dundee Superannuation Scheme (Minute 3(1))

The Director of Finance reported that the University had appointed KPMG to act as its pensions adviser. The first meeting of the Pensions Sub-Group with the adviser would take place in due course.

##### (2) Investment Management Tender (Minute 3(2))

The Director of Finance reported that following a shortlisting process and presentations by those shortlisted as part of the tender, the University had narrowed down the selection to two potential providers of investment management services. A final decision would be made shortly.

##### (3) Dundee Student Villages (Minute 6)

At its last meeting, the Committee had considered what action would be necessary in the event that the Retail Prices Index (RPI) was negative for the purpose of calculating future pricing for the residences. The Director of Finance confirmed that the relevant RPI figure was indeed now negative (-0.8%). The original business model for DSV had price rises set at 1.5% above RPI and the revised model had them set at 1% above RPI. It was noted that the DSV board expected that the increase would be between 0.2-0.7% and therefore within the terms of the original agreement. Price modelling on this basis was ongoing.

The Director of Finance informed the Committee that the University was considering rebalancing the pricing of West Park and the campus residences to take account of the distance from the city campus of the West Park Villas. This would be introduced in such a way that total income would remain the same.

The Secretary reported that he and the Students' Association, along with representatives of Sanctuary and of the University Residences Office had recently met and would be continuing to hold regular liaison meetings.

#### 3. SUBSIDIARIES' AND ASSOCIATE COMPANIES' ACCOUNTS 2008/9

The Committee received a report outlining the overall performance of the following subsidiary companies: AMCET Ltd, Dundee University Press (DUP), Dundee University Project Management (DUPM), Dundee University Sports Village (DUSV – now dormant), Dundee University Utility Supply Company (DUUSCo), University of Dundee Nursery, Dundee

University Incubator (DUI) and Dundee Student Villages (DSV). All subsidiaries' accounts were now being audited by Grant Thornton UK LLP.

In relation to DUP, it was noted that 2009/10 presented an important year for the company as it sought to move into a break even position, although it was acknowledged that it was still a young company and had experienced some problems in the commissioning of new titles. The Committee was reminded that the company had a £100k revolving credit facility in place with the University.

In relation to DUUSCo, which runs a combined heat and power installation providing the University with its heating and electricity, the Committee noted that a five-year contract to procure the fuel for the installation was due to expire in July 2010, after which it was likely that a contract would need to be placed through Procurement Scotland. It was noted that it was likely that prices would increase given the significant rise in gas prices over the past 5 years. The plant was currently being reviewed to investigate the possibility of expansion, since it was currently running near to capacity.

It was noted that the Nursery had achieved a surplus for 2008/9 (albeit lower than in 2007/8) and had therefore increased its reserves. The Committee wondered whether there were any plans for utilising the accumulated reserves. The Secretary responded that the Directors had agreed to seek to build up reserves with a view to relocating the nursery to other premises once funding allowed, thereby enabling the facility to be made available to more students and staff.

#### 4. **DUNDEE UNIVERSITY STUDENTS' ASSOCIATION (DUSA) – ACCOUNTS 2008/9**

The Committee received a report outlining the financial performance of the Students' Association for the year 2008/9. The Committee heard that 2008/9 had been a good year for DUSA with an underlying surplus of £63k. Whilst evening trade was down on the previous year as a result of stiffer competition, daytime trade from the shop and library coffee shop especially had risen. It was noted that the University was acting as guarantor for the loan which had been used for redevelopment work, but that DUSA had sufficient cash reserves to cover the loan repayments. It was noted further that DUSA had met the terms of the liquidity covenant set by its bankers, and indeed that the bank had removed the covenant. The President of DUSA commented that changes in personnel had contributed to reduced costs, while improvements to the service and to the quality of food in DUSA had undoubtedly led to increased income. The Committee extended congratulations to the President and his colleagues on such a commendable outcome.

#### 5. **FINANCIAL STATEMENTS FOR THE YEAR ENDED 31 JULY 2009**

The Committee received draft audited financial statements for the University for 2008/9. The operating result was a surplus of £1.6m with a bottom line surplus of £0.6m after disposals and voluntary severance costs. Income had increased during the year to £208m, including an increase in tuition fees of 17%. Research income, in particular buoyed by increases from Research Councils, the European Commission and commercial grants, also rose by 9% in the year.

Expenditure likewise rose by 9% in 2008/9, with staff costs rising by 8% (including the final stage of the three year pay settlement) and accounting for 59% of total expenditure. Interest and depreciation costs were both down on 2007/8, but there was an increase in pension costs under FRS17 as a result of a lower than expected return on assets and higher financing charges.

The year saw a net cash inflow of £9.5m, buoyed in part by working capital movements of £4.4m and as yet unspent capital grants. This inflow, along with other factors, contributed to the University moving from a net debt position to a positive cash balance of £8.3m at the year end. However, the University had capital commitments and net current liabilities of £28m, representing future expenditure obligations which would require careful cash management as they unwound.

Committee members made minor suggestions for clarification of points in the operating and financial review, which appeared at the front of the statements, and in the corporate governance statement. The latter suggestions would be considered by the Audit Committee at its meeting on 1 December 2009. The Committee also discussed the pension liability which had

increased by £4m, although it acknowledged the work of the pensions sub-group in addressing this issue.

**Resolved:** subject to minor amendments, to recommend to Court that it approve the financial statements for the year ended 31 July 2009.

#### 6. MANAGEMENT ACCOUNTS – PERIOD 3

The Committee received management accounts for the period to the end of October 2009. Against the phased budget there was currently a favourable variance of £2.2m although the operating forecast for the year end was a deficit of £0.4m (against a break-even budget), with a forecast overall surplus, after disposals, of £1.1m. In relation to tuition fees, the figures represented an estimate, and final results would be known after the January intake. The University faced a potential clawback in respect of nursing fees, although this appeared to be the result of differences in the calculation of student numbers between the Scottish Government, which until recently had itself funded nursing directly, and the Scottish Funding Council (SFC), which now had the responsibility of funding nursing education. The University would be meeting with the SFC and the Scottish Government to explore the apparent differences and negotiate a way forward. In terms of the cash flow, the Director of Finance was still expecting a significant cash outflow in year of £15m as capital and research grants unwound.

The Committee discussed what further disposals of University-owned buildings were possible. It also considered the progress in the national pay negotiations, noting that the employers, *via* the Universities and Colleges Employers Association, had made an offer of 0.5%, which however had been rejected by the majority of the campus unions.

#### 7. TREASURY MANAGEMENT POLICY

The Director of Finance introduced the draft policy and invited comments from members of the Committee. The policy itself was acknowledged as being fairly conservative in nature and had been based on guidelines provided by the Chartered Institute of Public Finance & Accountancy (CIPFA). The Director noted that much of the policy was already in place, although some work was necessary to fully implement it.

**Resolved:**

- (i) to approve Schedule A of the policy (relating to counterparty lists, liquidity and exchange rates); and
- (ii) to note that a final draft of the entire policy would be presented to the Committee at its meeting on 1 February 2010.

#### 8. STRATEGIC REVIEW

The Principal provided the Committee with a brief update on the progress of the review, and indicated that the Court would receive a more detailed update at its meeting on 14 December 2009.

#### 9. CAMPUS SERVICES BUSINESS

In light of the decision to incorporate the work of the Campus Services Committee into that of the Finance & Policy Committee, the Director of Campus Services took the opportunity to propose a means whereby estates business could be appropriately considered by the Committee. Subjects of particular interest to the Committee would include carbon management, space management, the Estates Strategy and the review of estates-related performance indicators. The Convener welcomed the Director's involvement in the work of the Committee.

**Resolved:** to approve the inclusion of a paper relating to estates business as a standing item at each meeting, noting that substantial items, in particular those with significant financial implications, would be included as separate agenda items.

10. **TRANSLATIONAL MEDICINE RESEARCH COLLABORATION (TMRC)**

The Committee discussed a recent press report relating to the TMRC and the decision by Scottish Enterprise to change the terms of a loan of £8m for the project into a grant, to facilitate access to the funds. This decision had already been reported to the Committee some time ago, at its meeting on 24 November 2008.

## APPENDIX 3

### AUDIT COMMITTEE (Minute 27)

A meeting of the Committee was held on 1 December 2009.

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

In Attendance: The Principal, Professor JF Belch (Item 5), University Secretary, Director and Deputy Director of Finance, Mr D Barnes and Mr G Devlin (Grant Thornton), Mr A Gray (PricewaterhouseCoopers) and Clerk to Court.

Apologies: Professor Emerita A Burchell, Ms A Newton, Mr EF Sanderson.

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting on 7 October 2009.

#### 2. MATTERS ARISING

##### Legal/Regulatory Compliance Matters (Minute 7)

The Secretary undertook to inform members of the outcome of a conveyancing issue, relating to property on the Perth Road, which had been raised at a previous meeting.

#### 3. INTERNAL AUDIT

##### (1) Information Governance

The Committee received a report from the internal auditors investigating the extent to which the University had internal controls in place to ensure data security. In particular, the report considered controls surrounding three distinct data sets: personnel data (P3), student records (SITS) and research grants and applications (IRIS). Whilst acknowledging a degree of awareness amongst University staff of the importance of data security controls, the report noted that this had not yet been translated into formal controls across the University. It noted the development of an Information Governance Strategy and Framework, and the recommendations contained in the report would provide the senior management with an action plan for further implementation of the strategy. Whilst there was some way to go before the University could be fully assured of the internal controls in this area, the auditors pointed out that the University's position was comparable to that at other institutions.

The Secretary welcomed the conclusions of the report and assured the Committee that the University had accepted all the recommendations made within it. One of the important issues in handling data security was the attitude and culture of those using information in an organisation, so much of the focus of improvements would be on educating data users. The Committee noted that the Secretary had undertaken to identify an appropriate senior manager for the role of Chief Information Officer and would report to the Committee once he had done so.

##### (2) Student Services

The internal auditors presented a report which had considered the provision of Student Services within the University. The auditors highlighted the wide variety of discrete services offered by the University, but suggested that work needed to be done to draw together an overarching strategy in relation to the services and to focus on delivering what students needed and on being clear about how services were accessed.

In light of earlier discussions at Court, Committee members welcomed the report which provided helpful pointers for enhancing the student experience. The Secretary noted that the University had accepted all the recommendations, and added that the

issue of a clear single route of access, in particular, was one which would receive some further consideration.

(3) Internal Audit Progress Report

The Committee received a routine progress report on the work of the internal auditors, who had recently held their quarterly meeting with the Secretary and the Director of Finance.

4. **TRANSPARENT APPROACH TO COSTING (TRAC): COMPLIANCE SIGN-OFF**

The Committee learnt that, as part of the annual reporting of the institutional attribution of income and costs to teaching, research, support and other activity required under TRAC, the Principal would now be required to sign a statement confirming that the Audit Committee had itself confirmed compliance with the requirements of TRAC. To this end, the Committee considered an annotated checklist detailing the University's compliance with the requirements. The Committee noted that where compliance was qualified with explanations in the checklist, this was in areas where overall compliance with TRAC would not be compromised.

**Resolved:** to confirm compliance with the requirements of TRAC as detailed in the checklist, noting the accompanying qualifying statements.

5. **MEDICINES & HEALTHCARE PRODUCTS REGULATORY AGENCY (MHRA)**

The Committee considered the findings of the MHRA inspection, which had taken place during the first week of August. Provisional findings had been considered at its previous meeting on 7 October 2009, at which it also noted the areas of concern highlighted informally by the inspectors. The final findings were in line with the provisional findings, and the Committee had the opportunity to reflect on them in more detail.

The Director of the Clinical Trials Unit (CTU), Professor Jill Belch, provided context to the findings. All of the criticisms in the report related to trials which had been carried out prior to the establishment of the CTU in October 2008, and the inspectors had acknowledged this and, moreover, they had been impressed by the quality of the processes and systems which had been put in place for new trials since the establishment of the CTU. Additionally, some of the findings related to elements of clinical trials that had been delegated to units within NHS Tayside, which was itself due to be inspected in the near future. The Committee noted that the University would be re-inspected within two years, during which time the focus would be on providing evidence for the effective implementation of the new procedures.

The Committee subjected Professor Belch to rigorous questioning, and was reassured that the new processes would serve to prevent similar findings by the MHRA in the future. The Committee concluded by thanking Professor Belch and her team for the hard work in preparing for the inspection and in implementing the corrective and preventive measures necessary.

6. **FINANCIAL STATEMENTS FOR YEAR ENDED 31 JULY 2009**

The Committee considered the draft financial statements, the Key Issues Memorandum from the external auditors and the draft Management Representation Letter for submission to the auditors.

(1) Draft Financial Statements

The Director of Finance introduced the statements: the operating result was a surplus of £1.6m with a bottom line surplus of £0.6m after disposals and voluntary severance costs. Income had increased by 9% during the year to £208m, including an overall increase in tuition fees of 17%, and within that an increase in overseas tuition fees of 27%. Research income, in particular buoyed by increases from Research Councils, the European Commission and commercial grants, also rose by 9% in the year.

Expenditure likewise rose by 9% in 2008/9, with staff costs rising by 8% (including the final stage of the three year pay settlement) and accounting for 59% of total expenditure. Interest and depreciation costs were both down on 2007/8, but there

was an increase in the pension costs under FRS17 as a result of a lower than expected return on assets and higher finance charges.

The year saw a net cash inflow of £9.5m, buoyed in part by working capital movements of £4.4m and as yet unspent capital grants. This inflow, along with other factors, contributed to the University moving from a net debt position to a positive cash balance of £8.3m at the year end. However, the University had capital commitments and net current liabilities of £28m, representing future expenditure obligations which would require careful cash management as they unwound.

(2) External Auditors' Report – Key Issues Memorandum

The external auditors presented their report of the audit process. Their work had been carried out in accordance with the audit plan which had been approved by the Committee in outline form at its meeting in May 2009. In the view of the auditors, the audit had progressed well, although they indicated that for future audits they would assign different teams to the audits of the University subsidiaries on the one hand and of the University itself on the other.

The auditors proceeded to comment on the issues that had been raised during the audit process. They noted that the FRS17 provisions, in relation to the University of Dundee Superannuation Scheme, were in line with those elsewhere in the sector. They recommended closer attention to student numbers planning, in particular in relation to nursing, to avoid the kind of clawback for which provision had been necessary in the accounts. Noting an increase in student debtors, as was the case elsewhere in the sector, the auditors recommended that the University ensure that its policies and procedures in this area were properly adhered to. The auditors noted that they were fully satisfied with the University's Corporate Governance statement, confirming that it was at the top end of compliance in the UK within the sector. The auditors confirmed that the adjustments noted to the accounts were of no material significance.

The auditors, as part of their report, had made recommendations on particular areas of internal control (returns on research projects, fixed assets – equipment, IT systems), and the University had accepted each. In relation to IT systems and the implementation of recommendations made during the audit of the accounts for 2007/8, the Secretary acknowledged that insufficient progress had been made to date. He assured the Committee, however, that the recommendations in this report as well as those in the internal auditors' report on information governance would be taken forward to improve internal controls in this important area.

The auditors indicated that they would be happy to sign off the financial statements with an unqualified opinion following the meeting of Court on 14 December 2009.

(3) Management Representation Letter

The Committee considered the draft text of the letter.

The Committee discussed all three of the above documents, and were assured of the conduct, quality and outcomes of the audit process.

- Resolved:**
- (i) to recommend to the Court that it approve the Financial Statements for the year ended 31 July 2009;
  - (ii) to note the Key Issues Memorandum and approve the management responses to the recommendations contained within it; and
  - (iii) to approve the draft Management Representation Letter.

## 7. FINANCIAL STATEMENTS OF SUBSIDIARY AND ASSOCIATED COMPANIES

The Committee considered the accounts for the year ended 31 July 2009 for:

- 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)
- i) West Par Conference Centre (WPCC)

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

## 8. PRIVATE MEETING WITH AUDITORS

At this point the officers withdrew from the meeting to enable the Committee to speak in private with the external and internal auditors. At the conclusion of their meeting, officers were re-admitted, and the Convener advised that no issues of concern had been raised during the meeting, indeed both auditors were complimentary in their comments on the senior management and in particular on the finance team of the University.

## 9. ANNUAL REPORT OF THE COMMITTEE

The Committee considered a draft of its annual report to Court. 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 (annex a refers).

## 10. RISK MANAGEMENT

### (1) Risk Management Monitoring Group

The Committee received a report of the Monitoring Group's meeting on 3 November 2009. Whilst it was noted that the outbreak of Swine Flu (H1N1) appeared to have been less serious than first thought, it had nevertheless provided the opportunity for the University to ensure it was prepared for incidents of this type.

**Resolved:** to note the report.

### (2) Institutional Risk Register

The Committee considered a revised risk register for the institution.

**Resolved:** subject to minor amendment, to recommend to Court the approval of the register at its meeting on 14 December 2009 (annex b refers).

## 11. LEGAL MATTERS

The Committee received an update on legal matters from the University Solicitor and the Clerk to Court. A reporting group was being proposed as a means to ensure the comprehensiveness of such reports in future and to consider the level of risk to the institution posed by such matters. The group would also endeavour to identify areas of potential risk for reporting to the Committee.

**Resolved:** to approve the proposed means of reporting legal matters to the Committee and of assessing associated risk.

### AUDIT COMMITTEE: ANNUAL REPORT 2008/9

#### 1. MEMBERSHIP AND MEETINGS

The Committee meets four times *per annum*, and the meetings for the year 2008/9 took place as follows: 8 October 2008, 2 December 2008, 10 March 2009, 27 May 2009.

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	Y	Y
Howard Marriage	Court member	Y	Y	Y	Y
Alison Newton	Court member	N	Y	N	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 2008/9. Janet Lowe was replaced on the Committee by Ann Burchell from 4 September 2009.

#### 2. FINANCIAL STATEMENTS

*Year ended 31 July 2009*

The Committee received draft financial statements for the University for the year ended 31 July 2009 at its meeting on 1 December 2009, following their consideration by the Finance & Policy Committee at its meeting on 23 November 2009. The Committee also received a report from the external auditors (Grant Thornton UK LLP) – Key Issues Memorandum.

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

- the University should review the forecasting procedures for student numbers to minimise the risk of future clawbacks from the SFC;
- the University should continue to keep the costs associated with HERA under review;
- the University should review its accounting policy for capital grants;
- the University had for the first time disclosed individual attendance by Court members on key committees, and was therefore now fully compliant in this aspect of the Combined Code on Corporate Governance.

As regards the design effectiveness of internal controls, the auditors noted the following, that:

- the University should monitor the returns requirement for research projects;
- the University had agreed an action plan for the implementation of recommendations emanating from the auditors' review of the controls over IT systems and applications.

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

During 2008/9 the Committee 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. The Committee was generally satisfied with the management responses to the issues raised and with the timescales for addressing them, where appropriate.

	Critical	High	Medium	Low
Procurement		1	6	1
Student Records Management			5	2
Capital Project Accounting			1	4
Student Recruitment			1	3
Estate Management			4	1
TrAC Return 2007/8			3	1
Pension Scheme		2	1	2
Non-Pay Expenditure (incl. staff expenses)			2	2
Total		3	23	16

#### *Financial Management*

The Committee received a report which followed up on the business process review in support of long-term financial sustainability which had been carried out in 2007/8. The report focussed on the financial awareness of senior staff at College and School levels, as well as on School and College perceptions of the central finance function. The report had uncovered a very positive response, with the main areas of progress being: a stronger feeling of trust; more inclusive and effective budget-setting; and the positive development of the role of the College Accountant. The report also highlighted some areas for continued attention, none of which were unusual in the sector, including the desire for better management information and training and for a better understanding of the interplay between Finance and other service directorates.

#### *Dundee University Students' Association*

The Committee received a report covering the operations of DUSA. The report had found a number of areas of good practice. Given the challenging climate in which the association operated, it was suggested that some scenario planning on future financial arrangements would be beneficial, and officers agreed to raise the issue of medium term planning with the DUSA management team.

#### *Annual Statement of Assurance*

The internal auditors provided the Committee with their overall assessment of the University's internal control procedures. The auditors found that these procedures, without qualification, were 'adequate to meet the control objectives' and 'generally operated satisfactorily during the period under review'. The report highlighted areas of good practice that had been reviewed during the past year, namely payroll, student records management and admissions and recruitment. The auditors had uncovered no issues which required disclosure in the corporate governance statement in the financial statements for the year ended 31 July 2009.

#### 4. **RISK MANAGEMENT**

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

#### 5. **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.

## INSTITUTIONAL RISK REGISTER

RISK REGISTER (Version 10.0 November 2009)						
Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
Core Business Risk	1	Reduction of public funding in the higher education sector	A	<ul style="list-style-type: none"> <li>Lobbying through Universities UK/Universities Scotland</li> <li>Avoidance, where possible, of unbreakable long-term financial commitments</li> <li>Early warning of changes through existing networks and monitoring of political developments</li> </ul>	<ul style="list-style-type: none"> <li>Diversification of sources of income</li> <li>Conduct Strategic Review of University activity</li> <li>Implement a prudent approach to capital development</li> </ul>	Senior Management Team
Core Business Risk	2	Loss of teaching income through: <ul style="list-style-type: none"> <li>failure to recruit and retain sufficient numbers of students;</li> <li>Changes by SFC to teaching funding methodology;</li> <li>Reductions in controlled student places</li> </ul>	A	<ul style="list-style-type: none"> <li>Effective External Relations Strategy: co-ordinating all externally facing activities, including Admissions and Student Recruitment</li> <li>Detailed market knowledge and awareness feeding:               <ul style="list-style-type: none"> <li>responsiveness for the development of new programmes</li> <li>internal monitoring of the quality and attractiveness of programme portfolios, as well as student progression</li> </ul> </li> <li>Ongoing enhancement of student experience through the leadership of the Vice Principal (Educational Development) and the Learning and Teaching Committee (LTC)</li> <li>Senior Management Team monitoring of admissions processes and trends and allocation of funded numbers</li> <li>Lobbying through Universities Scotland and close discussion with SFC and other bodies.</li> </ul>	<ul style="list-style-type: none"> <li>Increased responsiveness to emerging markets and disciplines</li> <li>Increased drive to recruit from beyond the East of Scotland</li> <li>Improvements to retention strategy</li> <li>Development of the University's web presence</li> <li>Increased drive to recruit international students</li> <li>Development of PG taught provision</li> <li>Enhancement of the PG experience</li> </ul>	Colleges/ Schools  Director of ASRS/ Schools  Vice-Principal (ED) & LTC  Directors of ASRS/ICS/Extern al Relations  Director of ASRS/Schools  Colleges/ Schools  Senior Management Team

Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
Core Business Risk	3	a) Loss of research-related income	A	<ul style="list-style-type: none"> <li>Institutional steering of and support for REF strategy through Heads of Colleges and Research Committee</li> <li>RIS provision of specialist support to maximise number/financial value of research awards and to maximise benefits of full economic costing</li> </ul>	<ul style="list-style-type: none"> <li>Improved monitoring and reporting of research income</li> <li>Increase overhead recovery rates associated with research income</li> <li>Earlier and increased liaison between researchers and RIS</li> <li>Establishment of the Tayside Academic Health Sciences Centre</li> </ul>	<p>Director of Finance</p> <p>Director of RIS/ Colleges</p> <p>Director of RIS</p> <p>Dean of Medicine</p>
		b) Inability to maximise commercial potential of research activity		<ul style="list-style-type: none"> <li>Co-ordination of research commercialisation strategy through Court, including establishment of Business Ventures Group</li> <li>Provision of leadership and support by Principal, Vice Principals and RIS</li> </ul>	<ul style="list-style-type: none"> <li>Implementation of research commercialisation strategy</li> </ul>	Principal and Heads of Colleges
		c) Over-reliance on research income from funding sources which exclude overhead component		<ul style="list-style-type: none"> <li>Ongoing diversification of funding sources by RIS and Colleges</li> </ul>	<ul style="list-style-type: none"> <li>Increased awareness of alternative funding opportunities</li> </ul>	Heads of Colleges
		d) Failure to make research pooling initiatives sustainable in the long term		<ul style="list-style-type: none"> <li>Rigorous appointment procedure of research-pooling posts</li> </ul>	<ul style="list-style-type: none"> <li>Effective monitoring of activity controlled by research pooling</li> </ul>	Heads of Colleges

Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
<b>Core Business Risk</b>	4	Inability to maximise income potential from teaching and other activities	A	<ul style="list-style-type: none"> <li>• Provision of strategic funding at institutional and College levels</li> <li>• Monitoring of College/School plans by Senior Management Team</li> <li>• Provision of leadership and support by Vice Principal (Educational Development) and Senior Management Team Research Lead</li> <li>• Development of institutional partnerships</li> <li>• Robust governance arrangements for collaborations and partnerships</li> </ul>	<ul style="list-style-type: none"> <li>• Development of income-generating potential of e-learning, CPD and other activities not centrally directed</li> <li>• Increased proactivity at College/Support Service level</li> <li>• Increased flexibility in organisational structures and funding mechanisms to exploit opportunities</li> <li>• Improve planning by entrenching funded numbers, targets and fee income in the process</li> <li>• Development of a strategic approach to opportunities from the SFC Horizon Fund</li> </ul>	<p>College Heads/Directors of Support Services</p> <p>College Heads/Directors of Support Services</p> <p>Senior Management Team</p> <p>Senior Management Team</p> <p>Senior Management Team</p>

Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
Core Business Risk	5	Loss of reputation	A	<ul style="list-style-type: none"> <li>• Maintenance of academic standards through quality assurance arrangements</li> <li>• Central co-ordination of student support services</li> <li>• Ongoing investment in student facilities</li> <li>• Periodic review of student discipline procedures</li> <li>• Institutional steering of and support for REF strategy</li> <li>• Enhancement of teaching and learning through institutionally led strategy</li> <li>• Robust policies, strategies, procedures               <ul style="list-style-type: none"> <li>• Health and Safety</li> <li>• Human Resources</li> <li>• External Relations</li> <li>• Estates strategy (incl. residences)</li> <li>• Business Planning Process</li> <li>• Misconduct in Research</li> <li>• Research Governance (incl. clinical trials)</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Increased focus on quality of student experience</li> <li>• Increased focus on financial sustainability</li> <li>• Improved structures for communicating with staff</li> <li>• Maintaining good relations with the media</li> <li>• Improving the green credentials of the University</li> <li>• Improve the robustness of external data submissions to enhance showing in League Tables</li> </ul>	<p>Heads of College/Senior Management Team</p> <p>Heads of College/Senior Management Team</p> <p>Senior Management Team/Director of HR</p> <p>Director of External Relations/Press Officer</p> <p>Senior Management Team/Director of Campus Services</p> <p>Senior Management Team/ Director of Registry</p>

Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
<b>Control Risk</b>	6	Inadequate budgetary control of University's financial resources, and inability to achieve savings and income generation targets	A	<ul style="list-style-type: none"> <li>Monitoring by Senior Management Team, Finance &amp; Policy Committee and Audit Committee</li> <li>Monitoring of internal controls by Finance Office and internal auditors</li> <li>Rigorous control of new appointments</li> <li>Tight budgetary control</li> </ul>	<ul style="list-style-type: none"> <li>Enhancement of financial systems</li> <li>Improved financial monitoring procedures</li> <li>Development of budget holders' expertise</li> <li>Introduction of commitment accounting and e-Procurement Systems</li> <li>Encouragement of opportunities for income generation</li> <li>Implementation of workload planning and performance management</li> </ul>	<p>Director of Finance</p> <p>Finance &amp; Policy Committee</p> <p>Director of Finance</p> <p>Director of Finance</p> <p>Senior Management Team</p> <p>College Heads/Directors of Support Services</p>
<b>Business Continuity Risk</b>	7	Breach of IT security with consequent damage to mission-critical operations and theft of IPR or personal data	A	<ul style="list-style-type: none"> <li>Firewalls</li> <li>Anti virus procedures</li> <li>Network monitoring</li> </ul>	<ul style="list-style-type: none"> <li>Development of information systems security policy within network improvement project</li> <li>Implementation of recommendations of Internal Audit on Information Governance</li> </ul>	<p>Director of Information Services</p> <p>Senior Management Team/Directors of Support Servs</p>

Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
Control Risk	8	Inability to manage capital programme within budget	B	<ul style="list-style-type: none"> <li>Approval of capital developments on project-by-project basis</li> <li>Monitoring of cashflow and borrowing requirements by Senior Management Team and Finance &amp; Policy Committee</li> <li>Careful selection of approved contractors</li> <li>Improved financial monitoring procedures</li> </ul>	<ul style="list-style-type: none"> <li>Improved communications between Estates, Finance and the Secretary via a regular forum</li> <li>Ensuring timely expenditure of external income to avoid SFC clawback</li> </ul>	Secretary/ Directors of Finance and Campus Services  Directors of Finance and Campus Services
Control Risk	9	External claims against the University for breach of contract	B	<ul style="list-style-type: none"> <li>Provision of specialist advice from Human Resources, RIS, Procurement Office and University solicitor for prevention and mitigation</li> <li>Annual review of professional indemnity insurance</li> <li>Increased scrutiny of proposed contracts</li> </ul>	<ul style="list-style-type: none"> <li>Develop mechanisms (such as internal dipstick checks) to increase compliance by academic staff</li> <li>Raise awareness of compliance duties and risks</li> <li>Review of all documents by Legal Counsellor</li> </ul>	Director of RIS / College Heads  Director of RIS/ College Heads  RIS/Legal Counsellor
Control Risk	10	Failure of Health and Safety mechanisms	B	<ul style="list-style-type: none"> <li>University Health and Safety Policy</li> <li>Network of Safety Officers</li> </ul>	<ul style="list-style-type: none"> <li>Improve compliance with, and monitoring of, University Health and Safety Policy</li> <li>Improve vigilance for identifying Health &amp; Safety risks</li> </ul>	Director of HR  Heads of Colleges/Deans/ Directors

Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
<b>Control Risk</b>	11	Failure to comply with other legislative requirements	B	<ul style="list-style-type: none"> <li>• Employment-related policies</li> <li>• Equality-related policies and staff network</li> <li>• Data Protection and Freedom of Information guidance and FoI Publication Scheme</li> <li>• Monitoring by Support Services</li> <li>• Clinical study-related procedures</li> </ul>	<ul style="list-style-type: none"> <li>• Application of effective compliance policies and procedures</li> </ul>	Secretary / Director of Human Resources / Records Manager / Equality & Diversity Officer / Legal Counsellor
<b>Business Continuity Risk</b>	12	Disruption to operations following: <ul style="list-style-type: none"> <li>• catastrophic loss (buildings or life)</li> <li>• breakdown of critical equipment or services</li> <li>• loss of single source of external provision</li> <li>• staff absence as a result of widespread disease or infection</li> </ul>	B	<ul style="list-style-type: none"> <li>• University Disaster Recovery Team</li> <li>• Fire Prevention and Safety Officers</li> <li>• Disaster recovery plans developed by Colleges and Support Services</li> <li>• Estates and Buildings damage control capabilities</li> <li>• Provision of 24 hour emergency cover</li> <li>• Pandemic Flu Group</li> </ul>	<ul style="list-style-type: none"> <li>• Co-ordination of disaster planning by Emergency Planning Working Group</li> <li>• Reflection on lessons provided by actual incidents</li> <li>• Diversify External Providers</li> </ul>	Risk Management Monitoring Group  Do.  College Heads / Directors of Support Services
<b>Business Continuity Risk</b>	13	Disruption to operations due to concerted campaign by activists to interfere with scientific work or due to attempts to use restricted materials by terrorist groups	B	<ul style="list-style-type: none"> <li>• Security procedures pertaining to Resource Units and hazardous materials</li> <li>• Rigorous ethical review procedures</li> <li>• Vetting of publicity by Principal's Office and Human Resources</li> <li>• Liaison with police and other agencies</li> </ul>	<ul style="list-style-type: none"> <li>• Increased security for high profile activities</li> <li>• Development of PR response strategy</li> </ul>	Director of Campus Services  Director of External Relations

Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
<b>Infrastructure Risk</b>	14	Degradation of estate through failure to address backlog maintenance requirements	B	<ul style="list-style-type: none"> <li>Prioritised maintenance programme</li> </ul>	<ul style="list-style-type: none"> <li>Provision of data on backlog maintenance completion</li> <li>Co-ordination of programmes across all campus locations</li> <li>Disposal of poor quality and/or uneconomic buildings</li> </ul>	Director of Campus Services  Director of Campus Services  Senior Management Team/Director of Campus Services
<b>Allied Risk</b>	15	Effect on the University's core finances of failure or poor performance of subsidiary or associated companies	B	<ul style="list-style-type: none"> <li>University Membership on subsidiary and associated Company Boards</li> </ul>	<ul style="list-style-type: none"> <li>Provision of data on performance of subsidiary and associated companies</li> </ul>	Secretary/ Director of Finance

Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
<b>Core Business Risk</b>	16	a) Inability to retain and develop high calibre staff	B	<ul style="list-style-type: none"> <li>• Ongoing improvement of workplace capabilities through Estates strategy</li> <li>• Maintenance of high standards of teaching and research performance</li> <li>• Comprehensive HR strategy, including reward mechanisms, staff development and management training</li> <li>• Strong corporate ethos in high-performing research areas</li> <li>• Development of critical staffing mass in successful research areas</li> <li>• Reward strategy for senior staff through Remuneration Committee</li> </ul>	<ul style="list-style-type: none"> <li>• Promotion of corporate ethos</li> <li>• Broaden opportunities for staff training and development</li> <li>• Develop mechanisms to monitor levels of staff satisfaction</li> <li>• Development of Succession Planning within Colleges, Schools and Support Services</li> </ul>	Principal  Director of Human Resources  HR Committee  College Heads/Directors of Support Services
<b>Business Continuity Risk</b>		b) Loss of staff with specialised knowledge	C	<ul style="list-style-type: none"> <li>• Provision of succession/back-up training</li> <li>• Sickness absence management</li> </ul>	<ul style="list-style-type: none"> <li>• Identify and eliminate single points of failure</li> <li>• Staff training and development</li> </ul>	College Heads / Directors of Support Services

Risk Category	No.	Risk	Risk Rating	Existing Controls	Improvement Actions	
					Actions	Responsible Officer /Body
<b>Control Risk</b>	17	Fraud, impropriety or misconduct	D	<ul style="list-style-type: none"> <li>Financial Procedures and Policies: <ul style="list-style-type: none"> <li>Finance Operations Manual</li> <li>Procurement Strategy</li> <li>Fraud Policy</li> </ul> </li> <li>Adherence to key principles and good practice in corporate governance</li> <li>Monitoring of internal controls by Finance Office and internal auditors, as well as the Audit Committee</li> <li>Policy and Procedures on Misconduct in Research</li> </ul>	<ul style="list-style-type: none"> <li>Increased staff awareness of University rules and guidelines on financial procedures</li> <li>Improved awareness of procurement</li> <li>Development of Financial Regulations</li> </ul>	<p>Secretary/ Director of Finance</p> <p>Director of Finance/ Procurement Officer</p> <p>Director of Finance</p>
<b>Control Risk</b>	18	Vulnerability to theft of equipment and damage to buildings through poor physical security	D	<ul style="list-style-type: none"> <li>Security Manager and staff</li> <li>CCTV on main campus</li> <li>Access control in some high risk areas</li> <li>Asset registers</li> </ul>	<ul style="list-style-type: none"> <li>Review of security <input type="checkbox"/></li> <li>Enhancement of staff awareness of security issues</li> <li>Improved vigilance and control by academic and non-academic units</li> <li>Central co-ordination of asset registers procedures</li> <li>Relocation of Security Control Centre</li> </ul>	<p>Director of Campus Services</p> <p>Director of Campus Services</p> <p>College Heads/ Directors of Support Services</p> <p>Director of Finance</p> <p>Director of Campus Services</p>

## APPENDIX 4

UNIVERSITY STATUTES: STATUTE 9 – THE COURT  
(Minute 32)

[...]

**9 The Court**

- (1) The Court shall consist of the following persons, namely:
- (a) ~~The Chancellor~~ A Chairperson (in terms of section (3) below)
  - (b) The Principal or, in the absence of the Principal, a Vice-Principal
  - (c) The Rector or an Assessor nominated by the Rector, after consultation with the Students' Association, to serve throughout the Rector's term of office
  - (d) An Assessor nominated by the Chancellor
  - (e) ~~An Assessor nominated by the Rector after consultation with the Students' Association~~ The Lord Provost of Dundee City Council or an Assessor nominated by him or her to serve throughout the Lord Provost's term of office.
  - (f) Two Assessors elected by the Graduates' Council.
  - (g) Two Professors and two Readers, Senior Lecturers or Lecturers elected from among its members by the Senatus.
  - (h) Two members of Academic Council elected by the Academic Council.
  - (i) A member of non-academic staff elected by the non-academic staff.
  - (j) The President of the Students' Association of the University.
  - (k) A current student determined by the Students' Association of the University.
  - (l) Seven other persons, not holding full-time appointments from Court, as may be co-opted by the Court.
- Provided always that no matriculated full-time student of any university, other than the President of the Students' Association of the University of Dundee or the member appointed under clause (k), shall be a member of Court.
- Provided also that no full-time member of the staff of the university may serve as a nominated or elected Assessor or representative save as provided for under clauses (g), (h) and (i) of this paragraph.
- Provided also that no former member of staff of the university or former student of the university may serve as a nominated or elected Assessor or representative or be co-opted to the Court until four years have elapsed from the point at which that person ceased to be a member of staff or a student of the university.
- (2) (a) ~~The Chancellor, the~~ Principal and the Rector shall hold office as long as they continue to occupy the positions named respectively.
- (b) The manner of election of the Assessors of the Graduates' Council, of the members of Court elected by the Senatus, by the Academic Council and by the non-academic staff and their respective periods of office shall be as prescribed in the Ordinances.
- (c) The Assessor nominated by the Chancellor shall hold office for a period of four years from the date of nomination and shall be eligible for further nomination, but shall not hold office continuously for a longer period than eight years:
- Provided always that in the event of the Chancellor ceasing to hold office the serving Assessor shall continue to be a member of the Court until an Assessor is nominated by the new Chancellor and no longer.
- (d) ~~The An~~ Assessor nominated by the Rector shall hold office until the expiry of the term of office of the Rector by whom he or she was nominated and shall be eligible for further nomination, but shall not hold office continuously for a longer period than six years:

Provided always that on the expiry of a Rector's term of office ~~the~~ any serving Assessor shall continue to be a member of the Court until an Assessor is nominated by the new Rector and no longer.

- (e) A co-opted member shall hold office for a period of four years from the date of co-option or such lesser period as may be prescribed in the Ordinances and shall be eligible for further co-option
- (f) ~~Excepting the Chairperson, a co-opted member shall be eligible for further co-option, provided always that no co-opted member shall hold office continuously for a longer period than eight years. co-opted members and appointed, elected or nominated members and representatives, not being members of staff or students in terms of 1 (g-k) above, shall not hold office continuously for a longer period than eight years, regardless of their category of membership. They shall also not be permitted to seek re-election, re-nomination or re-appointment until a period of at least four years has elapsed.~~

Provided always that, where a particular skill or expertise might otherwise be lost, such members may be appointed to an additional term. Such additional term shall be reviewed annually.

- (g) Casual vacancies among the members of the Court shall be filled as soon as conveniently possible by the body which or person who nominated or elected the person whose place has become vacant, and the person nominated or elected to fill the vacancy shall be a member for the unexpired portion of the period of office of his or her predecessor and shall be eligible for further nomination or re-election.
- (h) Any member of the Court, not being an ex officio member, may resign at any time by writing addressed to the Secretary.
- (i)
  - (i) The Court shall have the power after due investigation to remove the Chairperson or any other member of Court on the grounds of serious personal misconduct, abuse of the rights and privileges of membership of Court, bringing the University into disrepute, persistent absenteeism, medical incapacity or legal impediment.
  - (ii) When an investigation of the case for dismissal of a member of Court has been instigated the individual concerned shall be suspended from Court membership pending the outcome of the investigation and the Court's decision thereon.
  - (iii) In all proceedings under this paragraph the Court shall ensure that the requirements of human rights legislation are observed.
- (3)
  - (a) A Chairperson of Court shall be elected from among its members who are not students or salaried staff of the University.
  - (b) The Chairperson so elected shall begin a new term of office on the Court and shall hold office for a period of three years whereafter the Chairperson shall cease to be a member of the Court. Provided always that the Chairperson shall be eligible for re-election but shall not serve continuously for more than six years in that office.
  - (c) In the absence of the elected Chairperson from a meeting of the Court or, in the event of the business of the Court making it inappropriate for the elected Chairperson to act as Chairperson, a Chairperson for the time being shall be elected by the meeting.
  - (d) The person presiding over any meeting of the Court shall have a deliberative vote and also a casting vote in case of equality.
- (4) Seven members of the Court shall constitute a quorum. In the absence of a quorum, no business shall be transacted other than the adjournment of the meeting. At the adjourned meeting, the business for which the original meeting was called may be completed in the absence of a quorum. The manner of summoning the adjourned meeting and the period of notice to be given shall be prescribed in the Regulations.

[...]

## APPENDIX 5

### COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 33)

#### 1. PRINCIPAL'S REPORT

On Learning & Teaching issues, the Principal reported that the recent ELIR visits had gone well and that a very positive preliminary letter outlining the key themes to be included in the final report had been received from the QAA. Members could view the letter at <http://www.dundee.ac.uk/qaf/elir.htm>. In particular, the review team had been impressed by the effectiveness of the University's management of the student learning experience and regarded the Quality Assurance Framework as a model of good practice. On behalf of the Senatus, the Principal thanked the University's ELIR team for their efforts.

On the review of Senate's effectiveness, the Academic Secretary reported that a first meeting of the group would be held before Christmas to look at some examples of reviews undertaken by other pre-1992 Scottish universities and that a questionnaire to elicit staff views would be issued in the New Year.

On research, the Principal reported that Professor Irene Leigh had agreed to be the University's research lead and Convener of the Research Committee. In relation to the REF, it was noted that there was still a lack of clarity about the level of significance of research impact in the overall assessment and, indeed, in how to measure that impact. The University was to participate in a pilot exercise on how the new system might operate.

On strategic planning, the Principal indicated that a preliminary report on progress to date with the strategic review would be made to the December meeting of the Court. When the review process was completed a report with proposals and recommendations will be submitted to Senate to enable its views to be represented and taken into account when the report was considered formally by the Court in February 2010.

**The Senatus decided:** to note the Principal's report.

#### 2. UNIVERSITY COURT

The Senatus received a communication from a meeting of the University Court held on 26 October 2009.

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

#### 3. SENIOR MANAGEMENT TEAM

##### Translation from Personal to Established Chair

**The Senatus decided:** to approve the translation of Roger Soames from a Personal Chair of Functional and Applied Anatomy to the Cox Chair of Anatomy.

#### 4. RECTORIAL ELECTION

**The Senatus decided:** to approve the revised Regulations and arrangements for the 2010 Rectorial election (annex).

**REGULATIONS FOR THE CONDUCT OF THE ELECTION OF RECTOR**

These Regulations are made in terms of Statute 4(5)(c).

1. No member of the academic staff, officer or employee of the University and no matriculated student of any university shall be eligible for nomination as Rector.
2. The Senatus shall appoint two Presiding Officers from amongst the most recently appointed professors in the University, who shall also act as Returning Officers.
3. The Secretary of the University shall appoint one further Administrative Returning Officer who shall be responsible for the electoral arrangements.
4. When the date of the election has been determined under the terms of Statute 4(5)(b), the Administrative Returning Officer shall arrange for the publication of a notice calling for the submission of nominations by a prescribed date and time.
- 5(1) Nomination forms for the election shall be obtained from the office of the Administrative Returning Officer.
- 5(2) Each nomination form must be signed by 50 matriculated students – including the Proposer and Secunder – each of whom must also enter on the form his/her matriculation number, year of study, School and name in block letters.
- 5(3) No elector may subscribe to more than one nomination.
- 5(4) Each completed nomination form should be accompanied by an acceptance of nomination form signed by the nominee. Such forms may be obtained from the office of the Administrative Returning Officer.
- 6(1) Nomination forms, together with the associated acceptance of nomination forms shall be lodged with the Administrative Returning Officer by 5pm on the prescribed day.
- 6(2) Any valid nominations lodged before the prescribed day shall be held by the Administrative Returning Officer and shall not be made public until nominations have closed.
- 7(1) Each nomination form shall be scrutinised by the Administrative Returning Officer to establish its validity.
- 7(2) If the Administrative Returning Officer finds that any student has subscribed to more than one nomination or is an unqualified elector by reason of not being a matriculated student in the University, he/she shall strike out the entry concerned and give the Proposer an opportunity to obtain a valid substitution by not later than 12 noon on the second day following the close of nominations.
- 7(3) The Administrative Returning Officer shall publish a notice listing the names of the candidates who have been duly nominated along with their respective Proposers and Seconders not later than 5pm on the second day following the close of nominations.
8. Heckling of candidates for election shall be conducted in accordance with the bye laws of the Students' Association provided that all hecklings shall be conducted under the chairmanship of a Presiding Officer.
- 9(1) Polling for the election shall take place by electronic means over a two day period using (if required) the single transferable vote system in general use for University elections.
- 9(2) The Returning Officers shall determine where the counting of votes shall take place.
- 9(3) The following persons may be present at the counting of votes: DUSA Executive members, the Proposers and Seconders and the candidates.

10. When the counting of votes has been completed and has been checked to the satisfaction of the Returning Officers, the result of the poll shall be declared and a notice thereof will be published.
- 11(1) The Court, at its discretion, may provide a grant towards the expenses for hospitality and the travel costs incurred by candidates coming to Dundee for hecklings provided that a matching grant is made by the Students' Association.
- 11(2) The maximum grant which the Court may award shall be determined by the Principal in consultation with the Administrative Returning Officer.
12. Any person who contravenes any provision of these Regulations may be disqualified from voting or being elected as the case may be.
- 13(1) Any damage to University property during the course of an election will be treated as a serious disciplinary offence.
- 13(2) Demonstrations in favour of candidates may be held only in open spaces outwith University buildings and supporters may not interfere with the normal business of the University. Failure to comply with this direction will, likewise, be treated as a serious disciplinary offence.

November 2009

**UNIVERSITY OF DUNDEE**

**SENATUS ACADEMICUS**

**ARRANGEMENTS FOR 2010 RECTORIAL ELECTION**

1. With the concurrence of the Court, the election of a Rector to succeed Craig Murray will be held on 11/12 February 2010. The closing date for nominations will be 22 January 2010 and voting will take place electronically in order to improve the previous levels of participation.
2. The 'Regulations for the Conduct of the Election of Rector' have been amended and simplified to enable electronic voting and are attached for the approval of the Senatus.
3. The Academic Secretary will act as 'Administrative Returning Officer' for the 2010 election and is in process of identifying two Presiding Officers from amongst the most recently appointed Professors.
4. The Court will also be invited to specify the amount of grant provided for hospitality and travel costs incurred by candidates coming to Dundee for hecklings with a like amount provided by DUSA: the suggested maximum amount from each is £1,000.

Dr I K Francis  
Academic Secretary

24 November 2009

## APPENDIX 6

### HUMAN RESOURCES COMMITTEE (Minute 34)

A meeting of the Committee was held on 4 November 2009.

Present: Dr J Lowe (Convener), Professor A Anderson, Professor J Calderhead, Mr D Cathcart, Mr I Leith, Dr H Marriage, Professor G J Mires.

In Attendance: Director of Finance, Director of Human Resources, Deputy Director of Human Resources, Head of Generic Skills (for Item 7), Director of Personal and Professional Development (for Item 7).

Apologies: Professor R J Abboud.

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting on 25 May 2009.

#### 2. MATTERS ARISING

##### (1) ACAS Arbitration (Minute 2(3))

It was noted that the outcome of the ACAS Arbitration was that employees affected by the Trade Union's claim (64 staff) were entitled to an increment with effect from 1 October 2006, rather than 1 October 2007. Appropriate adjustments to salaries were made to implement this decision.

##### (2) HERA Appeals (Minute 2(6))

It was reported that by 26 November 2009 the HERA appeals panels will have considered 50 appeals under the formal process. It was noted that 27 cases were still being considered under the informal process and that it was anticipated that a significant proportion of these would go to formal appeal. Feedback on the appeal process had been positive and members of the Appeal Panel were commended for their time and effort to ensure the process had been conducted in a fair and transparent way.

**Resolved:** to note that the formal appeals were progressing and nearing completion.

#### 3. VOLUNTARY SEVERANCE SCHEME

The Director of HR confirmed that in total 160 applications had been approved under the Voluntary Severance scheme, resulting in savings of £5.9 million for the University. It was noted that there were still 7 cases still to be considered and that a final report on VS would be submitted to Court and to the next meeting of the HR Committee. There was some discussion about the impact of VS at the level of School/Directorate, however it was acknowledged that each VS case had been considered at School and Directorate level before being approved and the impact on various areas were considered at this time.

**Resolved:** to note the position.

#### 4. EARLY DISPUTE RESOLUTION

The Committee noted with interest the developments taking place in Dundee with respect to edr, including the conference taking place on 10 November 2009 at which 130+ delegates from 14 different University/Colleges were being represented. The Committee was encouraged to note that Dundee was being recognised as a model of good practice in Scotland and that edr was being used to good effect at the University. The Committee looked forward to further updates from the convener of the edr group.

**Resolved:** to note the position.

## 5. HUMAN RESOURCES

### (1) National Pay Negotiations

The Director of HR advised that although the offer of a 0.5% pay increase had been accepted by Unison, the other unions, Unite and UCU were yet to accept the offer. Further discussions facilitated by ACAS were ongoing and it was hoped that the matter would be brought to a conclusion fairly soon. It was noted that while Unison had balloted members on the offer, the other unions had not gone to ballot and had instead taken soundings at branch level.

### (2) Performance Management

The proposal to roll out to all staff a Performance Management system had been agreed with the three campus unions on the proviso that it would be reviewed after the first year. A different set of papers had been developed for three distinct groups of staff – academic, research and support. Training was to be organised for both reviewers and reviewees in the New Year and timescales for implementation would be agreed shortly. It was reported that a review of the Professorial Performance Management review had revealed that the process had been a very positive experience and there had been no examples of objectives not being agreed.

There was some discussion about the scheme and about the documentation and it was suggested that further clarity should be provided on who should conduct the review if it was not immediately apparent who the line manager was (paragraph 3). There was also some clarity sought on how this would dovetail with other processes such as appraisal for clinical academics.

The Committee welcomed the introduction of Performance Management for other groups of staff and felt that this had the potential to be of great value to individuals as well as the University. It was recognised that it was a top level KPI for the University and it was important that its introduction was supported effectively at all levels.

### (3) Pensions

The Director of Finance summarised information previously submitted to Court regarding the two main pension schemes at the University – USS and UODSS. It was noted that the actuarial review of USS would soon be completed and the expectation was that employer contributions would rise from 14% to 16% and that employee contributions would remain at 6.35%. An actuarial review of the UODSS scheme had also taken place and as a result it was expected that the employers' contributions would be increased from 21.1% to 22.1%; the employee contributions would remain unchanged at 7.75%. It was highlighted that the final salary schemes offered in the public sector remained a standard part of an overall employee benefits package, however in many institutions a final salary pension scheme had been closed to new members. In this context it was noted that USS, following the USS Actuarial Review, had set up a Joint USS Review Group to review the current USS rules. In relation to the UODSS, the Director of Finance confirmed that at its meeting in June, Court had agreed to set up a group to review the future options for the development of the University's pension scheme and that recommendations would be made to Court for consultation with the appropriate Unions and Trustees.

**Resolved:** to note the position.

### (4) Model Statute

As national negotiations relating to the development of a Model Statute had not proceeded, individual HEIs were now considering revisions to the Statute at a local level. It was noted that a number of Scottish Universities had gone forward to the Privy Council to request amendment to their Statute and it was confirmed that Dundee also planned to take this course of action. It was stressed that revisions to the

Statute would not affect academic freedom but would apply specifically to employment related matters so they could be brought up to date with current legislation and best practice. Any changes would require Privy Council approval. It was confirmed that plans to revise Statute 16 had been raised at the last Local Joint Committee with DUCU. One member raised concerns about the proposal to revise the Statute and suggested that Dundee should instead continue to run other processes alongside the Statute to make it legally compliant. The Committee was reassured that changes to the Statute would only be taken forward after extensive discussion and consultation and any proposals developed would be considered fully by the HR Committee and Court.

**Resolved:** to recommend that the process to review Statute 16 should commence, recognising that appropriate discussions and consultation would take place at each stage.

(5) Academic Terms and Conditions

The Director of Human Resources highlighted a particular term in the current academic contract which was peculiar to Dundee University and which was anomalous compared to other members of staff's terms and conditions. This condition was that in the event of redundancy 12 month's notice would be given to an academic member of staff once the redundancy had been established. It was recognised that any change to this would be a matter for consultation with the unions and if the University did wish to bring this condition in line with other staff it would only affect new members of staff. There was some surprise expressed that this condition applied equally to someone who had been in post for a very short period of time for example, one month, as to a member of staff with long service and there was some understanding as to why the University might wish to review this. The Committee recognised the sensitivities surrounding this subject however felt that this was not a reason not to discuss it.

**Resolved:** to recommend that this particular condition in the academic contract should be discussed with the unions with a view to negotiating a change through the appropriate channels.

(6) Redundancy Committee

The Committee was advised that Court was in the process of setting up a Redundancy Committee. It was noted that discussions were still ongoing with the unions to see whether anything further could be done to avoid the redundancy situation.

**Resolved:** to note the position.

(7) Concordat

The first meeting of the University Steering Group on the Concordat had taken place chaired by Professor Anne Anderson. At the meeting it had been agreed that the group would source various information so that areas of activity could be mapped and examples of good practice identified. Information to be collated would include details on researchers' representation on University Committees and groups; recruitment and selection procedures; the management of fixed-term contracts; research staff profiles and induction processes. External benchmarking would also be carried out and the Group would then consider how to progress the implementation of the Concordat principles at Dundee.

**Resolved:** to commend the Group on taking this important initiative forward and to request further updates as the work progresses.

(8) Human Resources Away Day

The Director of Human Resources reported that a Human Resources Away Day had taken place in September with all members of the HR Directorate invited to attend. The purpose of the day had been to discuss HR priorities at College, Directorate and

University level and to draw together key themes for a future HR Strategy. The Principal, the Director of Finance and the Director of Strategic Development all made valuable contributions to the day and helped to set the context for identifying key HR objectives for the future.

There was some discussion regarding communication within the University and the importance of developing a more co-ordinated approach. It was confirmed that the University Secretary had already started to consider options with regard to internal communications. Staff engagement, and undertaking a staff survey was also identified as a key objective for the future. It was noted that various surveys had already been conducted in the University for different purposes and that, again, it would be of benefit to have a co-ordinated approach when seeking the views of staff.

**Resolved:** to note that the draft HR Strategy would be shared with Colleges and SMT and would be submitted to a future meeting of the HR Committee.

(9) E-Recruitment

Plans to introduce e-recruitment were progressing well with discussions at an advanced stage with one provider. The company, Stepstone, was considered to be one of the market leaders with a number of other Universities, including Glasgow, already using their product. It was reported that the Stepstone software also included a redeployment module which was considered of interest to Dundee as it would assist in the identification of suitable redeployment opportunities for staff at the end of fixed-term contracts. It was agreed that an e-recruitment system would provide a much more effective and efficient mechanism for recruitment and would be a fundamental change to the way the recruitment function operated at the University.

**Resolved:** to note the position and to request updates as the implementation of e-recruitment proceeds.

6. **EQUALITY AND DIVERSITY**

The Committee received a report from the Equality and Diversity Officer including a report on completion numbers relating to the Equality and Diversity on-line training modules. It was noted that following the initial launch, significant numbers of staff had attempted one or more of the modules but not necessarily completed the full set. It was agreed that staff should be reminded that the modules were mandatory and encouraged to complete the full set. It was reported that the Equality and Diversity Officer had recently facilitated the tutor-led training with domestic staff and that 160 cleaners had now successfully completed the training.

**Resolved:** to send a reminder to staff regarding the mandatory training modules and request that Heads of Schools/Units encourage their staff to complete the modules.

7. **PERSONAL AND PROFESSIONAL DEVELOPMENT**

(1) The Director of Personal and Professional Development (PPD), Dr Terry Vickers, outlined to the Committee, the current provision in relation to Personal and Professional Development. It was highlighted that many events offered were designed to provide something for the 'mass market' i.e. 3,200 staff. The workshop programme had run approximately 90 events last session and attracted 800 participants. This was 200 more than the previous year. In addition, specific requests from individuals or departments were catered for including coaching and training for Staff Development and Review/appraisals. In terms of providing for the 'niche' market this was currently considered much more difficult due to financial constraints, however use was made of courses provided by other organisations, such as the Leadership Foundation, and these opportunities had been accessed by Deans and Heads of Service. It was acknowledged that the Principal was very keen to promote management development and it was felt that offering opportunities in management development for senior and middle managers was an important priority for the future. Coaching was seen as a very effective method of supporting individuals at various levels and training had been provided by the Director of PPD up to Deans and

Head of Service level. The Director felt that it would be difficult to develop this service further at the moment without additional resource. It was recognised that the current staffing for Personal and Professional Development was Dr Terry Vickers (0.5 FTE) and a full-time secretary, Morag Pollard.

There was some discussion about Performance Management and the impact this may have on Staff Development resources as it was highlighted that implementation of appraisal in other parts of the University, such as for post-doc researchers at College of Life Sciences, had resulted in significant engagement of staff and serious consideration of opportunities for career development. Also recent appraisals of support staff had highlighted over 100 training needs which then had to be met.

The Committee was advised that, in advance of Dr Vicker's retirement, the Director of HR and the University Secretary were taking the opportunity to discuss with Dr Vickers his views on the kind of model of Staff Development would suit the University for the future.

- (2) A report from the Director of Academic Professional Development was received.

It was noted that since April 2009, Academic Professional Development had moved out of the HR directorate and had become part of the new structure within the Library and Learning Centre. Regular meetings were still, however, taking place with the Director of HR and certain work activities were being progressed between the two areas. One of these projects was the establishment of criteria for promotion within the Teaching and Scholarship career development route. It was recognised that this was an important piece of work as criteria for promotion in teaching and scholarship were least well developed. It was mentioned that Manchester had developed criteria for teaching and scholarship recently and that this may provide a possible example of good practice. It was suggested that early consultation with Schools over the proposals would be beneficial. Allied to these activities, it was noted that a Working Group had been established to examine and explore the concept of 'scholarship' and to develop a University definition (taking cognisance of disciplinary differences) with agreed criteria and activities that represent 'scholarship'

- (3) Dr Christine Millburn, Head of Generic Skills, highlighted key areas of work being progressed by Generic Skills Dundee. The summary of the Generic Skills Dundee programme and engagement 2008/9 was discussed. It was reported that for the post-graduate programme there was an increase in engagement with post-graduate research students increasing from 318 to 344; feedback on the training had also been very positive. For early career researchers, engagement levels had remained fairly static. New initiatives such as working lunches and short seminars to cater for those not wanting to take time away from their research had helped but had not resulted in the increased engagement numbers that had been hoped for. The main reason for this appeared to be the attitude of supervisors of early career researchers. It was noted that Dr Millburn had been working closely with Dr Lorraine Walsh to develop a training programme for new research leaders and it was hoped that this would help to change attitudes and behaviours for the future.

The Committee was aware from previous reports that engagement and take-up of training opportunities were the main challenges to Generic Skills but recognised that Dr Millburn and her team had been responsive to feedback and had worked hard to tailor the programme to demand. It was acknowledged that a research leader in a globally competitive environment was primarily judged on the quality of the research and not on how well trained their staff were, although this was not felt to be the view held at Dundee. It was agreed that studies on the first destination of post-docs following their initial appointment would be a useful document in influencing research leaders for the future. It was recognised that a change of ethos would take time but that Dundee was providing the right environment to support this and it was hoped would have an impact in influencing research leaders for the future.

**Resolved:** to thank Dr Vickers and Dr Milburn for their work and to acknowledge their significant contribution to developments in their respective areas with limited resources.

**8. HEALTH & SAFETY**

A report from the Head of Safety Services and minutes from the Health and Safety Subcommittee were received.

Resolved to approve the following new and revised Safety Policy Arrangements:

- (i) Highly Dangerous Substances (annex a)
- (ii) Fire Safety Induction Training (annex b)
- (iii) Noise (annex c)
- (iv) No Smoking (annex d)

**9. LOCAL JOINT COMMITTEES****(1) University/UNITE Local Joint Committee**

Draft minutes of the meeting held on the 17 September 2009 were received. The Committee noted that these had still to be agreed.

**(2) University/UNISON Local Joint Committee**

Draft minutes of the meeting held on the 17 September 2009 were received. The Committee noted that these had still to be agreed.

**(3) University/DUCU Local Joint Committee**

Draft minutes of the meetings held on 24 September 2009 were received. The Committee noted that these had still to be agreed.

**10. ANNUAL REVIEW**

- (1) The minutes from the CASE Annual Review held on 17 September 2009 were received (annex e).
- (2) The minutes from the CLS Annual Review held on 22 September 2009 were received (annex f).
- (3) The minutes from the CASS Annual Review held on 22 October 2009 were received (annex g).

It was noted that the Annual Review Committee for CMDN would be held on 10 December and minutes would be submitted to the next HR Committee meeting.

## SAFETY POLICY ARRANGEMENT - HIGHLY DANGEROUS SUBSTANCES

### Statement

The University of Dundee accepts its responsibility to ensure highly dangerous substances are used only by authorised staff and post-graduate students for their intended research purpose. To discharge this responsibility, and fulfil its Duty of Care to staff and other people, the University will implement measures it, and other Agencies, consider reasonable, practicable and proportionate. These measures will be kept under active review.

### Arrangements

Head of Safety Services will list substances that fall under the heading of a highly dangerous substance for the purposes of this Policy (Appendix 1). This list is not exhaustive so it remains the responsibility of Heads of School to ensure substances stored and used within their Schools that they consider to be highly dangerous are controlled to at least a similar standard as defined in this Policy.

Head of Safety Services will circulate the list of highly dangerous substances to School Safety Representatives and ask them to complete an inventory. They will use a variety of means to complete the inventory including scrutiny of procurement system and COSHH risk assessments, and asking Group Leaders and other staff. This inventory will be updated and sent to Head of Safety Services on an annual basis.

Group Leaders and staff will provide information to School Safety Representatives upon request. They will also notify School Safety Representatives when they procure a highly dangerous substance.

Heads of School must implement safety and security measures to control the risk of unauthorised use of a highly dangerous substance. They will include safeguards to ensure only staff and post-graduate students authorised by themselves or their nominee to use a highly dangerous substance for research purposes can purchase and have access to stocks of the substance, and the keeping of an inventory.

Staff and post-graduate students must report loss of highly dangerous substances to School Safety Representatives as soon as it is discovered, and School Safety Representatives must report the loss to Head of Safety Services immediately.

School Safety Representatives will physically check security arrangements on a monthly basis.

Head of Safety Services will keep a list of secure stores of highly dangerous substances. S/he will monitor safety and security arrangements on a regular basis.

Head of Safety Services will organise training for School Safety Representatives and other relevant laboratory staff. Security Manager will organise training for Group Leaders and other staff as required by external Agencies.

This Policy will be reviewed annually, and updated immediately in response to new information.

### Appendix 1 – Highly Dangerous Substances

1. Toxins and Pathogens detailed in Schedule 5, Anti-Terrorism, Crime and Security Act
2. Schedule 1, 2 and 3 chemicals under Chemical Weapons Act.
3. Highly toxic chemicals of any physical form with Risk Phrases from the Chemicals (Hazard Information and Packaging for Supply) Regulations R26, 27, 28 and 32.

### **SAFETY POLICY ARRANGEMENT - FIRE SAFETY INDUCTION TRAINING**

#### **Statement**

The University of Dundee recognises the importance of training all new staff and students in what to do if they find a fire, and if they hear the fire alarm.

#### **Arrangements**

HR Director will arrange for details of new staff to be sent to Safety Services on a monthly basis.

Fire Safety Adviser, Safety Services will contact new staff and arrange for them to complete a short on-line training course. Lecturing staff will also be asked to watch a short on-line video.

New staff must complete the on-line training course.

Fire Safety Adviser will monitor compliance and report non-compliance to line manager.

Registry will arrange for details of new students to be sent to Safety Services before matriculation.

Fire Safety Adviser will ask students to watch on-line video.

## SAFETY POLICY ARRANGEMENT - NOISE

### Statement

The University of Dundee recognises that working in a noisy environment may lead to temporary or permanent hearing loss and tinnitus, as well as difficulties in hearing instructions and safety warnings. Therefore, it is committed to reducing exposure to noise in the workplace to as low a level as is reasonably practicable for its staff, students, contractors and visitors.

### Arrangements

Deans/Directors are responsible for identifying workplaces where normal conversation is difficult or loud noises are generated. For these workplaces they should ensure a risk assessment is carried by a competent member of staff. This assessment should include:

- level of noise either from information provided by equipment/machinery suppliers, industry standards or direct measurement
- duration of exposure based upon observation of work practices and procedures over a typical working day and week
- whether anyone has a health or other condition that increases their risk
- any detrimental health effects arising from the interaction between noise and other agents eg vibration or ototoxic chemicals
- any detrimental effects from difficulties in communication, or hearing safety alerts/warnings
- whether an exposure action value or limit value is likely to be exceeded
- eliminating exposure to noise, or if this is not reasonably practicable reducing exposure to as low a level as is reasonably practicable by a formal programme of measures including engineering means and management controls
- provision of hearing protection when daily or weekly personal noise exposure is above 80dB(A), together with information, instruction and training in its use and monitoring of its use
- establishing hearing protection zones when daily or weekly personal noise exposure is above 85dB(A)
- maintaining and checking that noise control equipment is in good condition and monitoring that it is being properly used
- providing information, instruction and training to staff and students so they understand the risks to their health, how to use the control measures correctly, and the importance of using them.

Risk assessments should be recorded and reviewed annually to ensure the findings remain valid or when changes are introduced eg new machine, altered working hours.

Safety Services can provide advice on risk assessments.

OH service will include surveillance for hearing loss or damage as part of their health surveillance programme.

Further information about Noise at Work including Lower and Upper Exposure Action Values and Exposure Limit Values and advice on risk assessments can be found at <http://www.hse.gov.uk/noise/>.

## SAFETY POLICY ARRANGEMENT - NO SMOKING POLICY

### 1. Introduction

The University of Dundee will fulfil the requirements of the Smoking, Health and Social Care (Scotland) Act 2005. It will also take all reasonable steps to minimise exposure to second hand smoke (or passive smoking) as required by the Health and Safety at Work Act 1974 since such exposure may cause lung cancer, heart disease and other illnesses.

### 2. No Smoking Areas

Smoking is prohibited:

1. within University Buildings including Residences;
2. at entrances to University Buildings;
3. within vehicles owned and operated by the University;
4. within private or leased vehicles used during University business to transport a University employee or student who does not smoke tobacco products;
5. anywhere within NHS managed premises.

Smoking is permitted a reasonable distance (i.e. 6m) away from a building to ensure that tobacco smoke does not enter into the building by any means.

### 3. Application

This Policy applies to all staff, students, visitors and contractors.

### 4. Responsibility

Deans/ Directors are responsible for ensuring that staff, students, visitors and contractors are made aware of this Policy, and that they comply with its requirements.

### 5. Enforcement

This Policy forms part of the University's Health and Safety Policy and non-compliance will lead to disciplinary procedures for staff, students and Contractors.

If visitors are found smoking within University Buildings then any member of staff should ask them politely to smoke outside. If they refuse then explain to them that they, and the University could be fined under the 2005 Act, and ask them to leave. If the situation escalates then staff should move away and contact Security.

### 6. Complaint procedure

Staff wishing to register a complaint regarding non-compliance with this Policy should contact first their Dean/Director. If this complaint is not dealt with to their satisfaction, staff should contact University Safety Services via their School / Department Safety Representative.

### 7. Smoking cessation

The University Health Service provides information about smoking cessation for staff and students, and the Occupational Health Service provides information for staff.

Other sources of support are: Smokeline 0800 848484, [www.hebs.com/tobacco](http://www.hebs.com/tobacco), [www.canstopsmoking.com](http://www.canstopsmoking.com) and GP surgeries.

This policy was approved by HR Committee on 4 Nov 2009 and will be reviewed annually by Safety Services.

**ACADEMIC STAFF ANNUAL REVIEW COMMITTEE**

**COLLEGE OF ART, SCIENCE & ENGINEERING**

A meeting of the Committee was held on 17 September 2009

**Present:** Professor AH Anderson, Vice Principal and Head of College (Chair)  
 Professor G Follett, Deputy Principal, Duncan of Jordanstone College of Art and Design  
 Dr MR Jones, Dean, School of Engineering, Physics and Mathematics  
 Professor P Gregor, Dean, School of Computing  
 Mr G Hutton, Dean, School of Architecture  
 Professor S Black, College of Life Sciences, External Representative  
 Mrs M Davidson, College Human Resources Officer

**PROBATIONARY ANNUAL REPORTS**

**Resolved:** (i) to note annual reports for 1 Lecturer (Teaching & Research).  
 (ii) to note annual reports for 3 Lecturers (Teaching & Scholarship).

**ELIGIBLE FOR CONFIRMATION OF APPOINTMENT AT 1 OCTOBER 2010**

**Resolved:** (i) to note the annual report for 2 Lecturers (Teaching & Research);  
 (ii) to note the annual report for 1 Lecturer/Academic Fellow;  
 (iii) to approve early confirmation subject to completion of the LTA module for 1 Lecturer/Academic Fellow;  
 (iv) to note the annual report for 1 Lecturer (Teaching & Scholarship);  
 (v) to note the annual report for 1 Lecturer (Teaching & Scholarship) and award a salary increase.

**CONFIRMATION OF APPOINTMENTS 2009**

**Resolved:** (i) to approve confirmation of appointment for 3 Lecturers (Teaching & Research);  
 (ii) to approve confirmation of appointment for 1 Lecturers (Teaching & Research) subject to successful completion of the LTA module;  
 (iii) to approve confirmation of appointment for 1 Lecturer (Teaching & Research) as Lecturer (Teaching & Scholarship);  
 (iv) to extend probation by 1 year for 1 Lecturer (Teaching & Research);  
 (v) to dismiss 1 Lecturer (Teaching and Research);  
 (vi) to approve confirmation of appointment for 2 Lecturers (Teaching & Scholarship);  
 (vii) to extend the probationary-style review by 1 year for 1 Lecturer (Teaching & Scholarship).

**PROMOTION FROM GRADE 7 TO GRADE 8**

**Resolved:** to approve promotion from Grade 7 to grade 8 for 1 Lecturer (Teaching & Research).

**PROMOTION FROM GRADE 8 TO GRADE 9**

**Resolved:** (i) to approve promotion to Senior Lecturer (Teaching & Research) for 2 Lecturers (Teaching & Research);  
 (ii) to approve promotion to Senior Lecturer (Teaching & Scholarship) for 1 Lecturer (Teaching & Research);  
 (iii) to decline to promote 2 Lecturers (Teaching & Research).

## ACADEMIC STAFF ANNUAL REVIEW COMMITTEE

### COLLEGE OF LIFE SCIENCES

A meeting of the Committee was held on 22 September 2009.

**Present:** Professor MJ Ferguson, Acting VP & Head of College of Life Sciences and Dean of School of Life Sciences Research (Chair)  
 Professor R Soames, Acting Dean of School of Life Sciences Learning & Teaching  
 Professor K Storey, Associate Dean, Division of Cell and Developmental Biology  
 Professor D Van Aalten, Associate Dean, Division of Molecular Microbiology  
 Professor M Chaplain, Division of Mathematics, College of Art, Science and Engineering  
 Professor D Cantrell, Head of the Division of Cell Biology and Immunology  
 Professor T Tanaka, Division of Gene Regulation & Expression,  
 Professor T Palmer Head of the Division of Molecular Microbiology,  
 Mrs G Jones, College HR Officer

#### CHAIR INTRODUCTION

Meeting convened in accordance with the 2009 Academic Staff Annual Review Procedures and Guidelines.

#### SCOPE OF ANNUAL REVIEW 2009

It was noted that the use of Accelerated Advancement/Contribution-Related Points has been placed into abeyance at present. The group strongly supported a mechanism whereby cases where retention is identified as the central issue may be considered at College Staffing Sub-Committee.

#### ANNUAL REPORTS FOR STAFF ON PROBATION/TENURE TRACK

##### Tenure Track PIs

**Resolved:** to note the undertaking of probationary annual reports for 6 Principal Investigators and 1 Independent Investigator. To note Tenure Review arranged for 3 Principal Investigators during November 2009. To note Tenure confirmed for 1 Principal Investigator in May 2009.

##### Lecturer (Teaching & Research)

**Resolved:** to note the undertaking of probationary annual report for 1 Lecturer (T&R).

##### Fixed-term Lecturer (Teaching & Scholarship)

**Resolved:** to note the undertaking of probationary annual report for 2 Lecturers (T&S).

#### NOMINATION FOR PROMOTION TO GRADE 8

**Resolved:** (i) to approve promotion from training grade 7 to grade 7 for 1 Research Assistant, subject to confirmation of external funding;  
 (ii) to approve promotion from grade 7 to grade 8 for 2 Postdoctoral Research Assistants, subject to confirmation of external funding.

#### NOMINATIONS FOR PROMOTION TO GRADE 9

**Resolved:** (i) to decline self-nominated promotion from grade 8 to grade 9 for 1 Lecturer (Teaching & Scholarship);  
 (ii) to decline promotion from grade 8 to grade 9 for 2 Senior Research staff. The Group noted evidence of sustained outstanding performance and identified the retention of these key staff as the central issue.

**ACADEMIC STAFF ANNUAL REVIEW COMMITTEE**

**COLLEGE OF ARTS & SOCIAL SCIENCES**

A meeting of the Committee was held on 22 October 2009.

**Present:** Professor C Whatley, Vice-Principal and Head of College  
 Professor Y Muschamp, Dean, School of Education, Social Work and Community Education  
 Professor A Page, Dean, School of Law  
 Dr M Frame, Deans Representative, School of Humanities  
 Professor T Harley, Dean, School of Psychology  
 Professor R Duck, Dean, School of Environmental & Social Sciences  
 Professor J Haslam, Dean's Representative, School of Accounting & Finance  
 Mr I Ball, Acting Dean, Graduate School of Natural Resources Law, Policy & Management  
 Professor P Davies, External Representative, College of Science & Engineering  
 Ms L Potter, College Secretary  
 Mrs K Gray, College HR Officer  
 Ms L Poor, College HR Officer (Minute Secretary)

**PROBATIONARY ANNUAL REPORTS (not in penultimate or final year)**

**Resolved:** (i) to note annual reports for 4 permanent Lecturers (Teaching & Research)  
 (ii) to note annual reports for 8 permanent Lecturers (Teaching & Scholarship)  
 (iii) to note annual reports for 4 fixed-term Lecturers (Teaching & Research)  
 (iv) to note annual reports for 4 fixed-term Lecturers (Teaching & Scholarship)

**PENULTIMATE YEAR ANNUAL REPORTS**

**Resolved:** (i) to note annual reports for 3 permanent Lecturers (Teaching & Research)  
 (ii) to issue a warning letter to 2 permanent Lecturers (Teaching & Research)  
 (iii) to note annual reports for 1 permanent Lecturer (Teaching & Scholarship)  
 (iv) to note annual reports for 1 permanent Academic Fellow  
 (v) to note annual reports for 2 fixed-term Lecturers (Teaching & Scholarship)

**EARLY CONFIRMATION OF APPOINTMENT**

**Resolved:** (i) to approve early confirmation of 1 permanent Lecturer (Teaching & Research)  
 (ii) to note the annual report for 1 permanent Lecturer (Teaching & Research) but not approve early confirmation of appointment.

**CONFIRMATION OF APPOINTMENT**

**Resolved:** (i) to approve the confirmation of appointment for 2 permanent Lecturers (Teaching & Research)  
 (ii) to extend the probationary period for one year for 5 permanent Lecturers (Teaching & Research)  
 (iii) to approve the confirmation of appointment for 4 permanent Lecturers (Teaching & Scholarship)  
 (iv) to approve the confirmation of appointment for 1 permanent Lecturer (Teaching & Scholarship) once the LTA module has been completed  
 (v) to extend the probationary period for one year for 1 permanent Lecturer (Teaching & Scholarship)

**PROMOTION TO GRADE 8**

**Resolved:** to approve promotion to Grade 8 for 1 permanent Lecturer (Teaching & Research)

**PROMOTION TO GRADE 8 AND PENULTIMATE REPORT**

**Resolved:** to note the annual report and approve promotion to Grade 8 for 1 permanent Lecturer (Teaching & Research)

**PROMOTION TO GRADE 9, SENIOR LECTURER**

**Resolved:** (i) to approve promotion to Senior Lecturer (Teaching & Research) Grade 9 to 6 permanent existing Lecturers (Teaching & Research)  
(ii) to decline promotion to Senior Lecturer (Teaching & Research) Grade 9 to 6 existing permanent Lecturers (Teaching & Research)

**OTHER POINTS**

1. It was noted that some of the CVs submitted were not in the standard format and it was again reiterated that all CVs should be submitted in the requested format. Furthermore, the inclusion of guidance on standard terminology would be helpful in allowing the Group to establish the author's situation with regard to research output, i.e. if a publication was in print, published or in the idea stage.
2. It was noted that it would be useful to ask all staff for a small narrative on their research in their CVs. It was noted that in the CV guidance, Appendix A, at 5 and 8, that guidance on what to include in the research descriptions and publications list was given. It was also noted that where no or few successful awards had been obtained, it would be useful to give details of unsuccessful research applications to show that there had been some research activity.
3. It was noted that one member of staff had put forward 3 references and that another member of staff who had put forward 2, had used one internal referee. The Committee agreed that it would be useful to have no more than 2 references and that both be external. (The guidance states 'the candidate concerned must supply the names of two referees of substance...at least one referee must be of international standing and at least one referee must be external to the University.'). Further discussion was had regarding the application process for professors, and whether the process for receiving references might provide a preferred model for Annual Review...
4. It was agreed that work needed to be done on the criteria for all posts and in particular for Senior/Lecturer (Teaching & Scholarship). Whereas the research element for Senior/Lecturer (Teaching & Research) was fairly well understood, it was less clear what research was expected from Senior/ Lecturer (Teaching & Scholarship) and what the scholarship criteria were at the Lecturer and Senior Lecturer levels in Teaching & Scholarship. It was agreed that it would be necessary to define scholarship, what contribution was expected of staff on Teaching & Scholarship contracts, and progression criteria for each category of staff..
5. It was noted that it would be helpful to have different probation forms for Teaching & Research and Teaching and Scholarship. As T&S staff were not expected to perform in research to the same level, it was thought this could be taken out or replaced with a more appropriate heading.
6. It was noted that more experienced staff who had moved to take up positions at the University may have undertaken probation elsewhere. HR confirmed that if this was apparent to the Dean of School on appointment, they could request to HR that this person be exempt from probation or the LTA Module and that this be reflected in their contract.
7. It was agreed that in future annual review meetings the full minutes of the previous meeting should be made available to all the Committee and sent out with the submissions
8. It was acknowledged that although Deans are under a lot of pressure from staff to put them forward for Senior Lecturer, that it is the Dean's job only to put forward staff that are fully supported by the Dean. (This guidance is also given in Appendix B, 2 (iii).)
9. The reports from the Dean, including those related to probation and also promotion, should be incisive with a clear view expressed regarding a recommendation. It was considered that this approach would assist the Committee in reaching its decisions.