

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on Monday 26 April 2010.

Present: Mr JR Milligan (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Mr M Arnott, Mr WI Ball, Mr R Burns, Mr D Cathcart, Lord Provost Dr J Letford, Dr J Lowe, Dr LI McLellan, Dr H Marriage, Professor GJ Mires, Ms A Newton, Mr EF Sanderson, Mr A Smith (President, Students' Association), Mr KAC Swinley, Professor J Taylor, Mr IDM Wright

In Attendance: Vice-Principals Professors AH Anderson, J Calderhead, DA Cantrell, IM Leigh and CA Whatley, Secretary, Director of Finance, Director of Information Services & Deputy Secretary, Directors of Human Resources, External Relations and Strategic Planning, Mr R Isles and Clerk to Court

Apologies: Professor Emerita A Burchell

54. MINUTES

The Court decided: to approve the minutes of the meeting on 22 February 2010.

55. MATTERS ARISINGNotice of Election: Chairperson of Court (Minute 51)

The Court received formal notification of the results of the election to decide a successor to Mr John Milligan as Chairperson of Court. The Court extended its congratulations to Mr Sanderson, who had been elected to serve in the role for the period 1 August 2010 to 31 July 2013. For his part, Mr Sanderson paid tribute to his fellow candidate for the role, Professor A Burchell. He also indicated that he would be meeting with each Court member over the coming months to canvass their views, concerns and aspirations.

56. CHAIRMAN'S BUSINESS

The Chairman reported on his involvement, with other members of the Governance & Nominations Committee, in identifying prospective candidates for membership of Court. The process had been more open and transparent than in previous years, and following interviews in May, it was hoped that the Governance & Nominations Committee would be in a position to recommend appointments at the June Court meeting.

57. **SIR JAMES BLACK**

The Principal paid tribute to the former Chancellor, who had died in March at the age of 85, in particular, drawing out Sir James' humanity and contributions to scientific research. The Court took a moment to reflect on Sir James' life and achievements.

58. **PRINCIPAL'S REPORT**

The Court received a report from the Principal (**Appendix 1**). In introducing the report, the Principal spoke of the University's current financial position, which showed that the University was tracking broadly in line with budget. He also reported that the University had received confirmation from the Scottish Funding Council (SFC) of funding for 2010/11, although some uncertainties remained, notably in relation to the knowledge transfer grant, about which further information was still awaited. The funding letter confirmed the loss of teaching income as a result of a reduction in teacher training provision nationally in Scotland, but also showed an increase in Research Excellence Grant (REG), putting the University ahead of the University of Aberdeen in terms of REG funding.

The Principal also talked of the importance of higher education to the economy: it was an engine room for growth and recovery. He had recently had meetings with local and national politicians in order to convey the sector's views as well as to provide insight into the work and achievements of the University of Dundee.

Finally, he reported that the Drug Discovery Unit in the College of Life Sciences had secured a grant renewal for the next five years worth £8.5m. The unit was making significant advances in research into treating malaria and African sleeping sickness.

59. **STRATEGIC REVIEW**

The Court considered a paper (**Appendix 2**), outlining a series of proposals emanating from the strategic review which had been commissioned by Court at its meeting on 15 June 2009 (Minute 75 of 2008/9 refers).

The Principal introduced the paper, explaining that it had been developed through the Senior Management Team with the input of Deans and other senior academic and administrative colleagues in the University. The paper had already been made available to all staff of the University, to the Students' Association and to the campus unions. It had also been debated at a recent special meeting of the Senate on 21 April 2010, and a note of that meeting was tabled to Court members (**Appendix 3**), along with a response from the Students' Association. [*Note: A response to the review from the Dundee branch of the University & College Union was received after the Court meeting had taken place. It has, however, subsequently been made available to Court members.*] The Senate meeting had been characterised by lively discussion and a wide range of views. The next step in the progress of the review was for full and

comprehensive consultation with staff and students across the University, as a means of strengthening the review through meaningful debate and of eliciting further constructive ideas for the achievement of the vision presented to the Court at its meeting on 14 December 2009 (Minute 29 refers). The Principal highlighted what he saw as the main themes in the paper: the growth and nurturing of excellence in learning and teaching, particularly with the benefit of new interfaces between disciplines and in the establishment of new Schools, with the aim of enhancing the student experience; and increasing the focus on areas of research strength. He also emphasised that the review did not represent a single proposal, but was in fact a series of interrelated proposals/projects aimed at enhancing excellence and focus across the institution.

The paper elicited much discussion and debate from all Court members. Some members were concerned at what they perceived was a lack of emphasis in the paper on excellence in learning and teaching, and also that there was an implication that unproductive researchers would simply be moved into teaching roles. The Principal acknowledged that clear recognition of the value and importance of learning and teaching needed to be reinforced in the review. To underpin this, the Vice-Principal (Educational Development), Professor Calderhead, would oversee the proposals to ensure that learning and teaching aspects were fully addressed, and the Senate was being asked to develop a definition of excellence in learning and teaching to support this. On the issue of shifting resource from research to teaching, the Principal underscored the notion that the excellence of teaching, particularly in relation to curriculum innovation, new programme development and outcomes such as retention, progression and employability, was equally as important as excellence in research, and that any re-allocation of resource needed to take account of this. Additionally, the promotion and career progression criteria of teaching staff needed to be addressed, to ensure their contributions to the University were properly rewarded.

Court members wished to understand the process of consultation that was envisaged. The consultation phase was welcomed, but there was some concern at what appeared to be a short window for it, since the paper seemed to suggest that the consultation would culminate in a paper to be presented to the Court meeting in June 2010. The Principal clarified that the period of consultation would continue beyond the next Court meeting, and that therefore the June meeting represented an opportunity to show clear progress in initiating consultation across the University, in providing further detail for some of the key proposals/projects in the Colleges and in SASS, and in setting out timescales for further consultation and development of other proposals. The changes envisaged should be seen as a process and as a series of projects for implementation rather than as a single event or proposal to be approved by Court at the June meeting. Acknowledgement was given to the need to consider the effects of programme changes on current and prospective students, and that careful change management would therefore be necessary.

Court members also considered the nature and structure of the paper to be presented at the June Court meeting and the level of detail of the proposals that would be contained therein. Given that the various proposals would be

at different stages of consultation and development, approval would be sought at the June meeting to continue the process of review. There was a need for momentum, the Principal said, given the varying timescales and the difficult economic conditions and likely public spending cuts, the University did not have the luxury of waiting until *all* proposals were fully formed before beginning the process of implementation. In those areas where the proposals were mature, Court needed to be in a position to consider endorsement so that implementation could begin.

Given that newspaper reports had focussed on the potential cost reductions anticipated in the review, officers were requested to consider the effects of the paper on staff morale, and therefore to ensure that both staff and students understood the nature of the proposals. The Principal agreed, and assured the Court that this was precisely why full and broad consultation was necessary so that staff and students could contribute to the review, understand the rationale, and hopefully buy into the notion of excellence, focus and impact as drivers for the enhancement of the University's achievements and reputation.

In response to a question from a member, the Secretary informed the Court that discussions were ongoing with the Book & Paper Conservation Unit with regard to its future activity.

In summing up the debate, the Chairman noted the comments from across the Court, those in support and those voicing concern, and charged the Principal and the Senior Management Team with ensuring that there was extensive consultation, and that in preparing the paper for the June Court meeting, attention was directed at meeting those concerns.

The Court decided: by eleven votes to seven, to endorse the proposals in principle in their current form for extensive consultation across the Schools, Colleges and Directorates and with the campus unions, with a view to more developed proposals being submitted to the June meeting of Court for formal approval.

60. FINANCE & POLICY COMMITTEE

The Court received a report from the meeting of the Committee on 22 March 2010 (**Appendix 4**). The Convener noted that he would be discussing with the Director of Finance how the phasing of the budget might be enhanced to ensure it reflected more accurately the profile of expenditure across the year. Additionally, it was noted that the Committee had accepted that capital project proposals should in future all include an explicit consideration of space management issues.

The Court decided: to approve the report, and in particular the recommendation that capital project proposals should include an explicit consideration of space management issues.

61. GOVERNANCE & NOMINATIONS COMMITTEE

The Court received a report from the meeting of the Committee on 22 March 2010 (**Appendix 5**).

- The Court decided:**
- (i) to approve the appointment of Mr Keith Swinley as a trustee of the University of Dundee Superannuation Scheme;
 - (ii) to approve the changes to Ordinances 18, 20 and 45 (annex to **Appendix 5** refers), subject to ratification at the meeting of Court on 14 June 2010; and
 - (iii) otherwise, to approve the report.

62. REDUNDANCY COMMITTEE

The Court received a report from a Redundancy Committee established by Court at its meeting on 26 October 2009 to consider the case of two named staff in Duncan of Jordanstone College of Art & Design. The Court noted that the Committee had had at its disposal all relevant documents. There was concern that not all options to avoid redundancy might have been considered, but the Director of Human Resources assured the Court that this was not the case and indeed an opportunity for redeployment had been put to the staff concerned, who had however declined. She noted in addition that a further opportunity would be considered in the near future, and that in fact consultation on other possible opportunities would continue.

Members involved in the process voiced their concern at the inadequacy of Statute 16 in terms of compliance with modern employment legislation and in dealing appropriately and clearly with cases such as this, and it was recommended that the Human Resources Committee should consider revision of the Statute.

The Court decided: by eleven votes to six with one abstention, to dismiss by reason of redundancy the two named staff concerned.

63. UNIVERSITY HOUSE

The Court received a paper setting out the case for disposing of University House. The property was not being used as the current Principal's residence and also required extensive and costly maintenance work. In light of this, and noting the inadequacy of the current kitchen facilities for use for formal functions, it was proposed that the property be disposed of and that a reception facility be developed on the city campus. A number of possible locations for this facility were presented, with a preference for converting existing space in the Dalhousie Building for this purpose. It was accepted

that a new facility would need to be of an appropriate and similar quality to that provided by University House, and members noted that preliminary suggestions presented at the Finance & Policy Committee meeting on 22 March 2010 had not fully met this criterion. It was suggested that a designer be approached to identify appropriate space on campus for such a facility. Further discussions on a reception facility would take place in conjunction with the Principal and the Chairperson elect, and proposals would be brought to a future meeting of the Finance & Policy Committee.

The Court decided: to approve in principle the disposal of University House at an appropriate time once proposals for a replacement reception facility had been agreed.

64. **TAYSIDE ACADEMIC HEALTH SCIENCES CENTRE (TAHSC)**

The Court received the text of the proposed memorandum of understanding between the University and NHS Tayside on the establishment of TAHSC.

The Court decided:

- (i) to approve memorandum of understanding and endorse its signature on behalf of the University as appropriate; and
- (ii) to invite any lay member of Court who was interested in serving on the Board of TAHSC to submit an expression of interest to the Secretary or Clerk to Court for consideration by the Governance & Nominations Committee.

65. **STRATEGIC FRAMEWORK: AIMS 1-3**

The Court received a report from the Director of Strategic Planning, which outlined the progress being made by the University against the targets set out in the Strategic Framework in the areas of attracting high-achieving students; providing the best student experience; and increasing postgraduate activity. In terms of undergraduate entry requirements, there appeared to have been a dip, although there were indications that the data for 2009/10 entry were showing an upward trend. For both the employability of the University's graduates and the progression rates for undergraduates there was evidence that these had reached a plateau and that further work was needed to ensure these indicators recommenced their upward trajectory. In terms of student satisfaction, teaching quality and increased taught postgraduate tuition fee income, the University was exceeding its targets. The Court noted that the Students' Association had been voted the seventh best students' union in the world.

66. **COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

The Court received a report from the meeting of the Senate on 31 March 2010 (**Appendix 6**).

- The Court decided:** (i) to approve the Academic Calendar for 2010-11; and
- (ii) otherwise, to note the report.

67. **AUDIT COMMITTEE**

The Court received a report from the meeting of the Committee on 9 March 2010 (**Appendix 7**).

- The Court decided:** (i) to approve the Financial Regulations (annex of **Appendix 7** refers), noting that both the Audit Committee and the Finance & Policy Committee had recommended their approval; and
- (ii) otherwise, to approve the report.

68. **STAFF**

(1) Professional and Other Grade 10 Appointments

The Court noted the appointment of the following:

Andy Flavell	Personal Chair of Plant Genomics	1 April 2010
Harinder Hundal	Personal Chair of Molecular Physiology	1 April 2010

(2) Dignity at Work and Study Appeal

The Court decided: to note the establishment of a committee under the grievance procedures of Statute 16, comprising Professor James Calderhead (Convener), Mr Iain Wright and Professor Carol MacKintosh, to hear an appeal against a decision following the outcomes of an investigation under the University's Dignity at Work & Study Policy.

(3) Composition of Grievance Committees under Statute 16 – Part VI

The Court considered a paper from the Clerk to Court, which proposed changes to the way in which the composition of Grievance Committees was identified so that delays caused by the spacing of Court meetings could be avoided. Some discomfort with the proposal was voiced. Nevertheless, the Court understood the need not to delay unduly the consideration of grievances brought by members of academic staff.

The Court decided: to approve, subject to the concurrence of the Senate, the establishment of Grievance Committees as proposed under delegated authority, as long as this was agreed by the member of staff bringing the grievance, and subject to the reporting of this to the next meeting of Court. Where the member of staff did not agree, the composition would be approved in the usual way by the Court.

APPENDIX 1

PRINCIPAL'S REPORT (Minute 58)

Sir James Black

As Court members will know Sir James, who died last month at the age of 85, was Chancellor of the University from 1992 until 2006. He won the Nobel Prize in Physiology or Medicine for his groundbreaking work developing beta blockers for the treatment of heart disease and cimetidine/Tagamet for the treatment of stomach and duodenal ulcers. In the face of such acclaim he remained utterly self-effacing and was a perfect role model for the many thousands of Dundee students who graduated with a deft flick of the Dundee bonnet which he wielded with genuine pride and affection. I am personally proud to have known Sir James and to have worked in the centre which now bears his name and which fittingly houses the University's innovative Drug Discovery Unit. Court will, I am sure, join with me in expressing the University's sorrow at Sir James's passing, but also in celebrating his association with the University and the achievements of his life. The latter was very much the theme at his funeral which took place at St. Columba's Church of Scotland in London on March 29th which I attended with the University Chaplain, Fiona Douglas, the current Chancellor, Lord Naren Patel and Sir Alan and Lady Elizabeth Langlands.

Finance & SFC Funding Letter

Moving to rather more mundane issues, the management accounts now show that the University is tracking more or less according to budget. Following, amongst other things, strong taught postgraduate recruitment in the College of Arts & Social Sciences, the University is now forecasting an operating surplus of around £1m against a breakeven budget. The bottom-line surplus is forecast to be around £1.1m, which is less than originally budgeted due to delays in disposals, primarily as a result of the current property market.

On 23 March 2010 the University received confirmation of its funding for 2010/11 from the Scottish Funding Council (SFC). Funding from the Council is split into the General Fund, including the main teaching and research excellence grants, and the Horizon Fund, which includes specific initiatives as well as, *inter alia*, the knowledge transfer grant. The overall General Fund allocation is broadly flat in cash terms compared with 2009/10 and reflects previously announced cuts to teacher training places. Hidden within it, however, is also an increase of £0.8m in the research excellence grant (REG), mainly to lab-based clinical research and biological sciences. This increase puts us back in third place in Scotland in terms of REG funding, nudging ahead of Aberdeen.

The announcement relating to the Horizon Fund is not very explicit at this stage, and in fact in terms of the University's Knowledge Transfer funding (KTG) there is no mention of when an announcement will be made or what the likely level of funding will be. In 2009/10 the University received £1.7m in KTG, so there is a not inconsiderable amount of funding which remains unclear.

Whilst the lack of any real increase is disappointing, it was not wholly unexpected. The increase in research funding is welcome and reflects our continuing strengths in this area, but the lack of certainty around the KTG and the loss of teacher training places present us with tricky problems as we plan for the future.

Strategic Review

We will be discussing the review in more detail later in the meeting, but I want here to say something about how the outcomes of the review are being communicated to staff and what the expectations are for further consultation in Schools and the Student & Academic Support Services. An additional meeting of Senate will take place on 21 April 2010, and an outline of the views expressed at that meeting will be provided to Court at its meeting on 26 April 2010. At the same time as the Court paper is released to Senate members it is also being made available to all members of staff in the University, and a meeting with the campus unions will be held on the same day as the extra Senate meeting. The proposals contained in the paper will be subject to consultation across the University, with both staff and students, in the period between this Court meeting and the next Court meeting in June, when it is intended to bring more developed proposals for final approval.

Excellence and Impact

As usual, the annex to this report notes a number of major research grants and highlights awards and accolades that our scholars and researchers have received over the period since my last report. These are all indicators of excellence, and in terms of prizes and plaudits provide recognition for the impact of the work carried out at the University. But I also want to draw attention to a number of other significant areas of achievement which show some of the industry, dedication and success of our academic and support staff.

Firstly, I want to mention the tremendous success in the College of Arts & Social Sciences in attracting large numbers of taught postgraduate students to courses in law, business, accounting and economics. Numbers have been growing over the last few years, and this is in no small part due to the growing reputation of these areas of the University, and staff are to be congratulated.

I also want to focus on the successes in the College of Art, Science & Engineering in recent EPSRC sandpit events. For those not familiar with the term, a sandpit is a residential interactive workshop of 20-30 participants, who are encouraged to develop ideas for novel research projects in the areas covered by the sandpit. Nothing is predetermined at these events, and any resultant funding is awarded on the basis of the ideas generated through the discussions and debates during the workshop. Dundee academics in design, in particular, are making a mark at these events, with a number of collaborative research grants flowing to the University as a result. These events are not just about funding though, they are about ensuring our staff are plugged into a wider network of academics, designers, industrial partners and policy makers.

Thirdly, I also want to touch on the establishment of the Cancer Research UK Centre at the University. As the first centre in Scotland, the Dundee Centre will help set the pace for national and international progress in bowel, breast and skin cancer. It will build on Dundee's world class research in the areas of radiotherapy and surgery by focussing on new highly advanced image-guided surgical techniques and promoting the translation of fundamental research into clinical outcomes. Collaboration is the key to the success of the Centre which will enable researchers who do not normally work together to exchange ideas and information more easily. It now brings together researchers and support from University of Dundee, Cancer Research UK and NHS Tayside.

These three examples all go to show not only the success of the University's staff, whether in terms of teaching & learning, research grants or major discoveries, but also the wider impact of their work on society. In the run-up to a general election, particularly with public spending high on the agenda, it is important that we all understand how necessary universities are to society and particularly as an engine for economic growth. The University of Dundee is littered with examples of our impact in the local and national economies. We play fundamental roles in the creative industries, in biomedicine and biotechnology, and increasingly in the field of renewables. Our public engagement activity has always been strong, but it is also growing and garnering greater recognition, as evidenced by the success of IgNobel event in February. I hope Court members, when given the chance, will use these examples to argue on behalf of higher education in general, but also for the University of Dundee in particular.

Pete Downes
Principal & Vice Chancellor

Major Grants & Awards

- **£1.7m from the EC Innovative Medicines Initiative to Professor Helen Colhoun** for SUMMIT: Surrogate Markers for Micro- and Macro-vascular Hard Endpoints for Innovative Diabetes Tools
- **£1.2m from the EC Innovative Medicines Initiative to Professor Roland Wolf** for MARCAR: Mechanism-Driven Development of Early Biomarkers for Non-Genotoxic Carcinogenesis and their Application to Risk Assessment
- **£1.3m from the Biotechnology and Biological Sciences Research Council to Professor Julian Blow** for Proteomic, Functional and Systems Analysis of Mitotic Chromosome Organisation and its Interdependence with DNA replication
- **£0.5m from industry to Professor Elaine Shemilt** for South Georgia Habitat Restoration Project
- **£0.3m from the World Bank to Professor Peter Cameron** for Extractive Industries Source Book
- **£0.2m from the Engineering & Physical Sciences Research Council to Mr Chris Rowland** for IDEAS Factory – Detecting Terrorist Activities: Making Sense

People & Prizes

- A postgraduate student in Psychology, Mandy Yilmaz, has won the National Psychology Postgraduate Teaching Award for 2010 from the Higher Education Academy Psychology Network.
- Two Dundee professors have been named among the world's top 20 most cited biochemists over the last decade in a recent survey published in Times Higher Education. Professor Dario Alessi was named 16th in the list, with Sir Philip Cohen named 18th.
- Professors Geoffrey Codd (Microbiology), Allan Struthers (Cardiovascular Medicine) and Daan van Aalten (Biological Chemistry) and Emeritus Professor Will MacLean (Visual Art) have all been elected as fellows of the Royal Society of Edinburgh.
- Professor Angus Lamond (Wellcome Trust Centre for Gene Regulation and Expression) has been awarded the 2011 Novartis Medal and Prize from the Biochemical Society.
- The University has again been voted as one of the top international institutions for postdoctoral researchers to work in. The survey of institutions outside the USA placed Dundee third, the only Scottish institution on the list.
- The University has received a Cycle Friendly Employer Award from Cycling Scotland; the University is the first employer in Tayside to receive such an award.

APPENDIX 2

STRATEGIC REVIEW (Minute 59)

Introduction

- 1 This strategic review was commissioned by Court on the basis of a proposal from the Finance & Policy Committee that the Senior Management Team (SMT) review the University's activities in the context of current academic performance, the likelihood of cuts in public spending for higher education and the challenges faced by the University in attempting to reach the 3% surplus identified by the Scottish Funding Council (SFC) as that required to generate the levels of investment necessary to ensure long-term institutional sustainability.
- 2 The review commenced with a debate around the University's overarching vision and mission that was led by the Principal and communicated to all staff through a series of open receptions in September 2009. This was underpinned by a review of the external context and a detailed analysis of the University's current position, using a range of performance indicators and other data. As a result, a vision for the future development of the University has been developed that was presented to Court in December 2009 and is centred on the three pillars of *excellence, focus and impact*. On the basis of clear examples of excellence in all four Colleges and within many of the service directorates, the vision proposes that investment must be focused on these areas of strength if we are to enhance the effectiveness of the University and grow its reputation. The University is a major employer and has a significant economic, social and cultural role regionally, nationally and internationally. Such investment will necessarily therefore also be coupled with the creation of strategies to enhance further the impact of our academic work on society and ensure that this impact is communicated effectively and widely.
- 3 While financial sustainability will underpin the University's ability to deliver this vision and achieve its strategic objectives, it does not represent an end in itself. Nevertheless, significant financial pressures and uncertainties exist and so the extent to which they materialise and the timescales over which public funding reductions are implemented will inevitably influence the scope and timescales for implementation of our vision.
- 4 This paper presents a series of proposals developed by the SMT that bring together the work undertaken by the University's four Colleges and Student & Academic Support Services (SASS) to review their activities and performance consistent with the University's new vision and is presented to Court for discussion.

Overview

- 5 In summary, this paper presents a range of proposals that are consistent with the University's new vision. In the area of research, we will seek to increase the proportion of 4* and 3* research outputs we produce and to reduce the quantity of unfunded research we undertake that is not of this level of quality. In learning and teaching, we will review our undergraduate portfolio to ensure its relevance, attractiveness and efficiency of delivery, while continuing to develop and deliver postgraduate and professional development programmes that appeal to the unregulated markets and are based on strengths in Dundee. These actions will be combined with the effective and efficient delivery of support services and a fundamental, ongoing commitment to maintaining and enhancing the student experience, not least through developing a stronger alignment between our research strengths and the programmes we offer.
- 6 Early indications are that these proposals will be able to deliver targeted, strategically focused, savings on the current overall core pay and non-pay budgets of the order of 10-12%. However, a precise figure will only be identified following a period of extensive consultation across Schools, Colleges and Directorates, and with the campus unions, prior to the submission of more developed proposals to Senate and Court in June. The focus of reprioritisation and disinvestment will predominately be on areas where academic staff are undertaking unfunded research that does not meet appropriate thresholds of quality and on the opportunities available to rationalise the teaching portfolio in a manner that enhances the relevance, quality and attractiveness of the programmes offered to students and is more efficiently and effectively delivered.

- 7 These proposals will lead to the identification of a need to reduce academic staff costs in the short-term. However, the focus on reprioritisation and investment to deliver excellence will mean that their implementation will provide a strong platform for our strategic development and future growth both as an employer and as a leading Scottish research-intensive University. We believe that savings can be implemented progressively and in a controlled manner over a two to three year period, although these timescales may be influenced externally by the timing of future public sector funding cuts. The extended period over which the implementation process will be taken forward should enable staffing savings to be realised predominately through natural wastage and other voluntary means, although compulsory redundancies cannot be ruled out, as a last resort, if the required levels of change are not achieved through other means.

Key areas of excellence

- 8 The review recognises that there are examples of excellence across all four of the University's academic Colleges.

College of Art Science & Engineering

- 9 The College of Art, Science & Engineering (CASE) is forecast to earn £8.8m of external research income in 2009/10, predominantly from highly competitive research council sources. The College is internationally renowned for its research strengths in civil engineering, where 85% of its work was graded 4* and 3* in the 2008 Research Assessment Exercise (RAE) and it was placed top in Scotland; as well as its research allied to life sciences and medicine, including biophysics, bio-mathematics and bio-engineering. Duncan of Jordanstone College of Art & Design has seen a significant increase in research activity over the past 3 years and is now one of the most research-intensive art schools in the UK as well as the highest-rated Scottish art school in the 2008 RAE. The School of Computing is a partner in one of only three 'RCUK Digital Economy Hubs' (a major 6-year research investment by the EPSRC) and has sustained research excellence in assistive technologies, with a growing reputation in mainstream computing science and major research links with IBM in the United States.
- 10 CASE offers a wide range of high-quality accredited programmes such as Civil Engineering and Architecture, which have increased in reputation, demand and demographic pool year-on-year. Major features of both the undergraduate and postgraduate curricula are an alignment with research strengths, links to industry and innovative interdisciplinary programmes such as Product Design and Interactive Media Design. CASE offers strong postgraduate courses such as bio-engineering, renewable energy, and design ethnography, with an international market. Duncan of Jordanstone College of Art & Design maintains a high quality reputation for its teaching and robust student demand.

College of Arts & Social Sciences

- 11 The College of Arts & Social Sciences (CASS) has significant research strengths in geography, history and law, which all performed well in the 2008 RAE, with at least 50% of their work being graded 4* and 3*. Across the College, forecast external research income for 2009/10 is £2.3m. The College boasts a number of areas where the impact factor is high: the work of Dundee's historians, geographers, lawyers and psychology staff has been widely publicised and contributes to public debates, thinking and policy in a number of topical areas. In addition, CASS hosts a number of high profile, internationally-regarded research centres that make a substantial impact on policy and practice, including the UNESCO Centre for Water Law, Policy & Science, the Scottish Institute for Policing Research and the recently-established Centre for Environmental Change & Human Resilience.
- 12 CASS has a major strength in teaching, both at the undergraduate and postgraduate levels, evidenced for example by three of its disciplines (Law, Psychology and Education) receiving top rankings in the 2009 National Student Survey. Teaching generates the bulk of the College's income, whether through SFC grants or in fees. It has in particular delivered against the University's strategic objectives by achieving very significant increases in international taught postgraduate student recruitment over the last two years. The College has a diverse portfolio across a range of disciplines, many of which are professionally accredited and vocational in nature, and focus on the delivery of high quality graduates for the professions (such as accountancy, education, social work and law). There remains a strong focus on the humanities

as well as the delivery of high quality programmes in niche areas such as those offered by the Graduate School of Natural Resources Law, Policy & Management for the water and energy industries.

College of Life Sciences

- 13 The College of Life Sciences (CLS) has over 850 staff and postgraduate research students, forecasts nearly £36m in competitive research funding income in 2009/10 and has a world-class reputation for excellence in translational research through its Drug Discovery Unit and the Division of Signal Transduction Therapy, the MRC Protein Phosphorylation Unit and the Scottish Institute for Cell Signalling. The College was rated top European University for Biology and Biochemistry based on citations per paper over the period 1999-2009 and received a Queen's Anniversary Award in 2007. In the 2008 RAE, CLS was rated first in Scotland and in the UK top 5. The College undertakes minimal unfunded research, with its scientists generating very high citation indices and esteem factors.
- 14 CLS offers a large number of undergraduate programmes, ranging from the very broad (Biology or Zoology) to very focused bio-molecular degrees. Students apply for entry to particular degree routes, often using several UCAS choices to select several degrees. Other than in the case of Forensic Anthropology, delivered by the Centre for Anatomy & Human Identification, entry is not competitive and the College has been unable to address key issues in relation to lower than expected average entry grades, limited international and taught postgraduate recruitment, poor employability statistics and inefficiencies in programme delivery. However, CLS has a dedicated and committed learning and teaching staff complement, which provides high quality support for students throughout their studies as is evidenced by feedback and external league tables. The provision is characterised by a very strong focus on research excellence as part of the student experience at the degree and honours degree levels.

College of Medicine, Dentistry & Nursing

- 15 The College of Medicine, Dentistry & Nursing (CMDN) is forecast to earn £21m of competitive research funding income in 2009/10 and has strong industrial funding, especially from its work in clinical trials. Some 420 of 604 Medical School staff are externally funded. In the 2008 RAE, the main Medical School submission was top in Scotland and 4th in the UK, while the University entered a submission in Nursing for the first time and came 2nd in Scotland and 12th in the UK. The College houses a number of high profile initiatives, including the Wellcome Trust Centre for Molecular Medicine, the Dundee Cancer Centre, the Tayside Academic Health Science Centre, the Scottish Health Informatics Programme and the International Prevention Research Institute Dundee. It has a record of impacting on the local and national health economies and evidence-based clinical practice through commercial exploitation, its influence in public policy and its contribution to the Translational Medicine Research Collaboration with Wyeth/Pfizer.
- 16 CMDN is widely recognised as a provider of an excellent undergraduate education through programmes that are highly regulated by the relevant professional bodies. It recruits high numbers of good-quality students with good retention and completion rates in Medicine and Dentistry, although there are challenges in both recruitment and progression in the School of Nursing & Midwifery. Numbers are controlled, although there is capacity to accept more overseas undergraduates if permitted to by the Scottish Government. The Medical and Dental Schools are highly placed in national league tables, have the highest tariff scores in the University and very high employability. Dundee is a national leader in clinical skills education and has an international reputation for innovation in medical education which is being maintained by the Centre of Medical Education and the Institute of Health Skills Education. The distance learning centre graduates nurses in many low and medium resource countries including Eritrea and Kenya, but also in the United States where it carries National League for Nursing Accreditation Commission (NLNAC) accreditation; and there is a large number of part-time distance learning students on postgraduate programmes in medical education, clinical practice and health-related science.

Maximising excellence and increasing focus and impact: Research

- 17 The key focus of the review in the area of research has been a commitment across the University to continuing to make investments in our areas of research excellence and to increasing the proportion of our researchers who produce internationally leading, high impact,

outputs at an RAE 3* and 4* level, in order to enhance Dundee's reputation in research and further increase both the income and overhead generated by these activities. In many instances, this will lead to a process of consolidation that will focus research activities and investment on fewer, larger, research groups that have greater critical mass and are consistent with our current and future strategic direction. There will remain, however, the opportunity for individual researchers and smaller research groups to flourish providing they can meet the required thresholds of excellence.

- 18 Consistent with that approach has been a comprehensive review of research performance in the context of staff workloads, which has identified academic disciplines where staff are undertaking significant amounts of unfunded research. A key driver in delivering the University's new vision will be a robust focus on ensuring that only unfunded research that meets our thresholds for excellence and impact will be supported. This approach will release considerable staff time for more productive activities, particularly in learning and teaching, as well as generating staffing efficiencies.

College of Art, Science & Engineering

- 19 Within CASE, reductions in staffing costs associated with eliminating unfunded research will create headroom for future investment in appointments consistent with identified areas of research excellence across its Schools. Building on existing world class strengths, the two larger Schools within the College (Engineering, Physics & Mathematics and the Duncan of Jordanstone College of Art & Design) will form fewer, larger, research groups to give critical mass and steer strategic appointments and collaboration prospects. Joint chair appointments with the College of Life Sciences are already being progressed in key areas such as the mathematical modelling of cancer.
- 20 The School of Engineering, Physics & Mathematics will focus on the themes of Bio-interfaces (linked to the work of the Institute of Medical Science & Technology (IMSaT), the further development of bio-mathematics and bio-physics and associated with enhanced collaboration with both the College of Life Sciences and the College of Medicine, Dentistry & Nursing) and Environment, Infrastructure & Sustainability, building on strengths such as Civil Engineering and Photonics. Research themes in Duncan of Jordanstone College of Art & Design will comprise Digital Economy, Futures & Culture, Visualisation & Application of Visual Thinking and Archival & Curatorial Practice, History & Theory, while the School of Computing will focus on Assistive & Healthcare Technologies, Artificial Intelligence & Computer Vision and the work of the Space Systems Research Centre. The School of Architecture will focus its research on architectural design and developing its profile in low-energy design and sustainability, with the Geddes Institute becoming the dedicated conduit for multi-disciplinary research activity under the governing theme of 'Sustainability' (see paragraph 39 below).

College of Arts & Social Sciences

- 21 Immediately following the results from the 2008 RAE, the College undertook a detailed analysis of the outcomes and identified that it would focus in future on attaining research profiles and outputs graded 3* and 4*. Only research work of the highest quality will be supported, with resources concentrated in the highest-achieving disciplines from the 2008 RAE. Within the arts, humanities and social science areas, research that is unlikely to achieve 3* and 4* ratings will not be supported, other than in the case of early career researchers, with staff time being reallocated to other duties. As a result, research in Politics will reduce and Economics research will be focused on the themes of health and the environment. Selective, strategically-driven, senior appointments will be made in areas where there is potential for further success, such as Geography, the proposed new School of the Environment (see paragraph 39 below), History, Law and Education; and support will be enhanced for the pan-University Centre for Environmental Change & Human Resilience
- 22 Although the climate for external funding is becoming more difficult, effort will be directed towards securing research council and other external sources of funding, with the lead being taken by the College's professors. However, all staff allocated research time will be expected to seek external support that not only contributes to the cost of that research, but can also enhance it, and the reputation of the individual, the discipline and the University.

College of Life Sciences

- 23 In the forthcoming Research Excellence Framework, the College will seek to increase its proportion of 4* and 3* outputs, improving on its RAE2008 performance of 25% and 40% respectively, through robust benchmarking of individual researcher performance against excellence criteria in terms of outputs, impact and sustainability. The College's current research themes will be reviewed to explore whether the existing twelve research divisions are optimal in number and sustainable in terms of quality, critical mass and financial performance. Given its world-class reputation, it is not anticipated that there will be significant disinvestment in research in CLS, although the restriction of tenure to those who meet the College's performance criteria may open up opportunities for redeployment associated with the new teaching portfolio and some reductions in support staffing levels may be achieved.
- 24 Current space usage within the Life Sciences complex will be reviewed, with allocations made to Divisions based on current needs and sustainable future development plans; and in a manner consistent with their capacity to generate funding from external sources and deliver increased overhead income. The MRC Protein Phosphorylation Unit, Scottish Institute for Cell Signalling, Wellcome Trust Centre for Gene Regulation & Expression and the Division of Biological Chemistry & Drug Discovery (which includes the Drug Discovery Unit) are all seeking additional space to expand their activities. Maximising the potential of the research undertaken in the Drug Discovery Unit in particular is viewed as an essential part of the College's strategy for sustainable development in the long term and its plans for continued translational research in partnership with industry. In total, it is likely that these demands will exhaust existing space within the existing complex, with no further spare capacity being available unless the proposed new build initiative were to be successful.

College of Medicine, Dentistry & Nursing

- 25 The College's research strategy focuses on key themes in translational medicine which reflect the following areas of existing strength in the School of Medicine: cancer (including oral cancer); diabetes (including cardiovascular disease); molecular dermatology; neuroscience and population science. Research in Nursing & Midwifery will centre on cancer care and improving the delivery of care, while in Dentistry it will focus on improving oral and dental health. The implementation of the strategy will see the application of stretching criteria for research excellence that are consistent with those applied in CLS and based around both enhancing the proportion of 3* and 4* research being undertaken and raising research income generation consistent with the highest-performing quartile of universities in the relevant Research Excellence Framework (REF) units of assessment. Rationalisation of research facilities and space on the Ninewells campus has the potential to lead to significant savings for the University in terms of utilities costs and so will be taken forward with the NHS. By raising external funding for a new biomedical science centre, most laboratory-based activity could be housed in a reduced high-quality footprint at Ninewells by 2014.
- 26 The College has developed externally-funded clinical PhD programmes and will extend these into integrated academic clinical training pathways for all clinical professional disciplines. As and when vacancies arise through turnover, clinical lecturers that are funded by core income will be replaced only in areas that are consistent with the College's research strategy.

Maximising excellence and increasing focus and impact: Learning & Teaching

- 27 A key focus of the review in the area of learning and teaching has been to ensure that the University is able to offer a robust, distinctive and competitive undergraduate portfolio and a revitalised taught postgraduate portfolio that together attract high-quality students (including, where appropriate, international students and students from the unregulated market), have good retention and completion rates, are aligned with its research strengths, maximise interdisciplinarity and are delivered efficiently. In the latter regard, it is clear that the University has yet to derive the full benefits of modularisation and that doing so could both deliver an enhanced student experience and generate greater efficiencies in teaching.
- 28 A particular focus of activities in learning and teaching will be on continuing to enhance the employability of our graduates, this being one of our key economic and social impacts. Such work will build on the professional focus of many of our programmes and recent initiatives such as the introduction of a Graduate Skills Award. Central to the changes proposed is an absolute commitment to maintaining and further enhancing the quality of the student

experience both in the delivery of the portfolio itself and in the provision of the professional services that support our students and staff.

College of Art, Science & Engineering

- 29 Across the College, taught programmes that are under-performing in terms of student recruitment will be discontinued at both the undergraduate and postgraduate levels, without impacting on the ability of the College to achieve the University's student numbers targets. Three of the College's four Schools will rationalise their undergraduate programmes and modules to create portfolios that are revitalised and better aligned with their identified areas of research excellence.
- 30 The rationalisation of postgraduate programmes in the School of Engineering, Physics & Mathematics will build on successes in renewable energy, bio-maths, bio-engineering, bio-physics and civil engineering. The undergraduate curriculum will also be refreshed and rationalised and is likely to include a smaller number of programmes with several existing strengths being developed under a new programme title of Applied Engineering & Physics. In Duncan of Jordanstone College of Art & Design, there will be a significant rationalisation of the undergraduate portfolio resulting in a likely reduction from 11 courses to 4 thematic programmes (strong candidates would be Art, Craft, Interactions and Visual Communications) each of which will be aligned with its research themes and together will continue to meet the University's student numbers targets. Alongside the introduction of a School-wide modular structure, which will generate efficiency gains and greater flexibility across programmes, these changes will deliver a unique portfolio geared towards tomorrow's issues, practitioners and researchers in art and design. The School of Computing will address its current recruitment challenges by rationalising its undergraduate offerings (including the introduction of a more traditional Computer Science degree) and developing new niche postgraduate programmes. The School will also look to generate income from offering its modules on a stand-alone basis as continuing professional development opportunities. In the case of the School of Architecture, the establishment of a new School of the Environment from the consolidation of several existing disciplines will offer the potential for teaching synergies and efficiencies (see paragraph 39 below).

College of Arts & Social Sciences

- 31 Greater efficiencies will be obtained in programme delivery through the implementation of a standard workload model that allows greater transparency and re-allocates academic staff time away from unfunded research that does not meet excellence thresholds.
- 32 The School of Education, Social Work & Community Education will suffer a reduction in funded places in response to Government cuts of around £1m and will as a result review its operations to identify efficiencies and minimise the impact of the funding reductions. Further administrative efficiencies will be delivered in Continuing Education and the Part-time MA Evening programme, which will include a review of the Part-time MA Evening programme and closer alignment of the academic support for both of these activities; and modern language teaching will be reduced to being primarily teaching for degree modules and other teaching solely necessary to support that activity. The future viability of American Studies and European Studies will be considered, with a strong possibility that these programmes will be wound down, while the closer alignment of accounting, finance and economics will result in a rationalisation of the portfolio focused on business education.
- 33 A comprehensive review will be undertaken of the positioning of the College's programmes in the global marketplace and, where appropriate, tuition fees will be increased incrementally over a three year period in line with its growing reputation as a provider of excellent taught postgraduate programmes. The focus will be on markets with the greatest potential, such as India, China and Vietnam. Opportunities will be identified to develop new taught postgraduate programmes in collaboration with other Colleges, such as an MSc in Geo-engineering with colleagues in CASE.

College of Life Sciences

- 34 The College will undertake a comprehensive review of its curricula, degree schemes and structures to reduce redundancy in delivery and make more use of expertise available among the College's researchers. Its degrees will be more fully integrated to benefit from a single-

entry degree scheme with a common curriculum at levels 1 and 2, and an associated reduction in the number of credits taught, that will produce efficiencies in delivery and provide a focus for the delivery of core Life Sciences degrees that are aligned with the College's world-class research activities. An integrated, heavily research-oriented, undergraduate Masters level in year 5 will allow parallel independent Masters Courses to be delivered to an international market and provide opportunities for the best students to progress to PhD. By broadening the recruitment base, increasing advanced entry to the later years of programmes and introducing the integrated Masters year, the College will seek to enhance the quality of its student population and thus improve student retention, progression and achievement. Collaboration with other Colleges, and especially with the School of Medicine, will generate efficiency savings in the delivery of teaching, especially in core non-clinical biomedical areas such as physiology.

- 35 The reputation of the Centre for Anatomy & Human Identification, along with its introduction of new embalming technologies, will enable it to grow further the recruitment of fee-paying taught postgraduate students and the delivery of continuing professional development programmes.

College of Medicine, Dentistry & Nursing

- 36 The College will reduce the costs of delivering the early years of its core undergraduate medical and dental curricula over a two to three year period. The reprioritisation of teaching in undergraduate anatomy and physiology will be undertaken in the immediate future and together it is likely that these exercises will show staffing resources exceed those required for portfolio delivery. All undergraduate programmes in the School of Nursing & Midwifery will be transferred to degree exit by 2011, as required by national policy and professional regulations, and the School will move to a single annual undergraduate student intake in 2011. Alongside an additional planned reduction in modules and programmes, this will lead to a consequent reduction in the level of teaching input required. Furthermore, as the revised curricula for the new CLS portfolio emerge (see paragraph 34 above) further significant rationalisation will be possible in the delivery of core non-clinical biomedical teaching across CLS and CMDN.
- 37 The College has capacity to deliver high-value taught course and short course provision. New courses for postgraduate training and continuing professional development are being developed for primary care hospital practice, including surgical skills and clinical skills, advanced practice in nursing and super-specialist training in dentistry as well as biomedical science. A comprehensive review of existing taught postgraduate programmes and short courses will be undertaken to examine financial sustainability and strategic fit. All teaching activity, including new appointments and courses, will be underpinned by research strengths and an approach to resource allocation and business planning that ensures sustainability and continued growth, especially in taught postgraduate income. The College will diversify into education for the allied health professionals and other new markets, building on the range of new MSc programmes launched in 2009/10. There will be further expansion of distance learning programmes into other health fields through an International Health School, which will include the WHO Co-ordinating Centre for craniofacial anomalies.

Changes to structures

- 38 The University's four College structure came into operation in 2006 and, while it continues to mature, its implementation has been a success. The present review therefore does not look to amend that basic organisational structure. However, at the level of individual Schools, a number of exciting proposals have emerged from the strategic review that are premised on synergies in terms of teaching and research strengths and would also go some way to addressing issues of scale and efficiency in some Schools. It is important to recognise that any structural changes would be implemented in addition to those actions required to deliver excellence and impact in research and learning & teaching in the areas concerned and not as an alternative to them.

School of the Environment

- 39 A School of the Environment would bring together the discipline of architecture (currently in CASE) with the research-excellent town planning, environmental science and geography groups within the School of Social & Environmental Sciences in CASS. Architectural students

would benefit greatly by being nested within the social science disciplines of geography and town & regional planning, while there are gains to be had from greater input from the Humanities disciplines of History and Philosophy. From the research perspective, the Geddes Institute for Urban Research would create a focus around which additional interdisciplinary work would develop. In combination, there is potential for building upon the impressive Masters and PhD programmes delivered by the School of Social & Environmental Sciences by offering new, cross-cutting programmes that would be unique to Dundee.

School of Computation & Cognition

- 40 Initial discussions are underway, involving the relevant Heads of College and the Deans of the Schools of Psychology and Computing, to explore the potential of a merger between those Schools, which could generate a range of opportunities for new synergies and developments, for example in relation to research income generation and undergraduate student recruitment.

School of Business, Economics, Accounting and Finance

- 41 A case has been developed for the establishment of a School of Business, Economics, Accounting & Finance, which would involve the merger of the current School of Accounting & Finance with the discipline of Economics (currently in the School of Social & Environmental Sciences). The purpose of a merger would be to build a portfolio of business-related programmes at the undergraduate, taught postgraduate and research postgraduate levels offered through a common portal and enabling the School to tap new markets and build strength through diversification. Critical mass in terms of research would be achieved by exploiting synergies that currently exist between these disciplines in areas including work and well-being, corporate social responsibility and sustainability. There would be cost savings from the merger, which would be accompanied by some re-allocation of duties in the case of academic staff whose research quality and outputs are at a less than optimal level.
- 42 On a longer-term basis, there may be opportunities for further restructuring involving these disciplines, which could include the School of Law and the Graduate School of Natural Resources Law, Policy & Management.

School of Humanities

- 43 An internal restructuring of the School of Humanities is proposed that is modelled around the 'Melbourne curriculum', where graduate attributes are at the core. This would see the development of a defined learning programme focused on four themes: Global and Public History, Philosophy and the Arts, English (including the new initiative in Creative Writing) and Film, and International Relations. Some investment in History would be required in order for this vision to be fulfilled and would be accompanied by a withdrawal from American and European Studies. The proposal would bring a closer alignment of the disciplines within the School, and aim to build on existing collaborations in teaching and research, but also encourage new cross-disciplinary initiatives under the umbrella of an Arts and Humanities Research Institute that would become a major public impact vehicle for the School's research.

Student & Academic Support Services

- 44 In the Student & Academic Support Services (SASS) it is critical that services are 'fit for purpose' and cost effective in terms of their delivery to students and staff, so as to have a positive impact on the capacity of academic Schools to deliver excellence. In addition, it is essential that we better integrate support across the University as a whole, and especially at the interfaces between Schools, Colleges and directorates, if we are to improve effectiveness and reduce costs.
- 45 Key performance indicator and benchmarking data demonstrate that the overall cost of support services at Dundee is low relative to sector norms. Around 65% (£13m) of its non-staff budgets relate to fixed 'corporate' costs rather than those of the central services themselves. While our spend on services is low, this does not provide any evidence on quality nor does it account for support that may be undertaken by academic colleagues, which is likely to be more costly and less efficient. Furthermore, there are areas of SASS where investment would enhance the University's capacity to achieve its strategy and objectives.

Strategy for maximising excellence and increasing focus and impact

- 46 A strategic approach to enhancing the efficiency and effectiveness of services will be taken forward that is focused on four types of activity: (a) reviewing and improving administrative business processes to deliver better quality services and generate efficiencies; (b) restructuring to create more logical directorate structures and delayer management; (c) focusing on the delivery of core services and institutional priorities through stopping and/or reducing service levels while remaining fit for purpose; and (d) more integrated and systematic approaches to planning and objective-setting to take better account of user needs and ensure that resources are not expended on non-core activities.
- 47 Processes relating to our 'procurement-to-pay' functions, Registry-related processes, and research systems will be reviewed, while 'self-service' technologies will be introduced in the Library & Learning Centre. Key student-facing services will be merged into a single directorate that is better able to deliver integrated administrative, developmental and support services to students and staff. Income-generating activities in SASS will be required to deliver an increased contribution. We will review corporate costs to identify efficiencies, starting with a project to reduce space through more centrally-managed and strategic approaches to its allocation and use that will have positive benefits in terms of energy costs, disposals, cleaning and maintenance. Further cost reductions will be achieved through improving the interface between directorates and the support provided in Schools and Colleges. This will require an institution-wide commitment to implementing more standardised and consistent processes and systems.
- 48 Given the present low cost of services, there is a danger of reducing budgets to a degree where service delivery is compromised or lacks the resilience required to underpin the delivery of the University's strategic objectives. A key risk is that services might be unable to meet the demands of users in terms of quality and standards and/or Schools and Colleges choosing to develop local services as an alternative. Mitigating this risk will require the University to take clear decisions around agreed service levels and adopt more standardised processes and approaches to service delivery. It will also demand the better integration of support across directorates, Schools and Colleges and the realisation of savings as a result. However, if implemented successfully, the outcome should be more effective end-to-end support across the University, with reduced duplication and enhanced cost-effectiveness.
- 49 Post implementation, SASS should be structured in a way that is more focused than at present and better able to meet demands from across the University in a more coherent manner. Certain of these proposals can be achieved relatively quickly through stopping and/or reducing services, especially where there is a large element of non-pay spend. Others will involve restructuring and business process changes and therefore take longer, but are likely to deliver changes of a more strategic nature that will enhance service delivery as well as produce cost savings.

Implications of the proposals

- 50 These proposals require extensive communication and consultation across the University, with Colleges, Schools and Directorates as well as the campus unions and relevant professional bodies; a process that will be taken forward into the next stage of the review subject to Court's approval of the current proposals in principle. Particular care will need to be paid to ensure that the implementation of the review does not impact on staff morale and/or destabilise our best staff, particularly given the extended period over which they will be implemented. This will require very clear and explicit planning and good approaches to change management.
- 51 In considering these proposals and bringing forward plans for their implementation there will be a requirement not to compromise on the principles of excellence, focus and impact set out in the University's new vision.
- 52 In areas where there is extensive re-shaping proposed of the undergraduate and postgraduate taught portfolios, significant market testing and teaching needs analyses will require to be undertaken in home, EU and overseas markets to ensure that the new proposals are fit for purpose. In certain cases, the running down of programmes, particularly four-year honours degrees, will require careful management and planning to meet our obligations to students.

- 53 Re-allocation of workloads within the core academic staff group, while ensuring that capacity is used to the full, will change working patterns and may create tensions.
- 54 There is a risk that the current UK economic climate and public sector funding levels will have a negative impact on the availability of external funding, particularly from Research Councils and medical charities, but also from key partners in industry in the biomedical and life sciences.
- 55 Many of the proposed changes will lead to a requirement to reduce staffing levels across the University, the precise extent of which will be identified on a School by School and directorate by directorate basis during the next stage of the review. The University is committed to avoiding compulsory redundancies so far as possible and so, in the first instance, a range of strategies for achieving the necessary reductions will require to be pursued including natural wastage (non-replacement of vacancies and retirements) and the introduction of a voluntary severance scheme that is both targeted according to the numbers of posts that require to be lost in individual areas of the University and includes criteria for determining whether or not individual applications will be accepted. However the University will retain compulsory redundancy as a possible option in relation to areas where the necessary reductions cannot be achieved by other means. The timescales for budget reductions will be heavily dependent on the external funding environment, but at present early indications are that we may be able to deliver savings on the current overall core pay and non-pay budget of the order of 10-12% over a two to three year period of implementation. The HR implications of taking forward this approach are set out in an annex.

Conclusion and recommendations

- 56 The aim of these proposals is to provide the strongest platform possible for our strategic development and future growth as a leading research-intensive University.
- 57 These proposals are submitted to Court for discussion at its meeting on 26 April 2010. The proposals will be considered by the Senate at a meeting convened for that purpose on 21 April 2010; and Senate's comments and feedback on the document will be made available to Court members at the meeting.
- 58 Court is invited to endorse the proposals in principle in their current form for extensive consultation across Schools, Colleges and Directorates and with the campus unions, with a view to more developed proposals being submitted to the June meeting of Court for formal approval.

Senior Management Team
April 2010

Introduction

The University's strategic direction must be supported by legally compliant and best practice Human Resources policies and procedures which enable the University to best fulfil its role as an employer by treating sensitively employees who may be affected by the change programme outlined in this paper. In addition, the approach must be mindful of the need to reflect the University's reputation as an excellent employer and to maintain the morale of staff throughout the process.

Consultation with the Trades Union

It is intended that the change programme will be implemented over a period of 2-3 years. Appropriate periods of collective consultation will take place with each of the campus Trades Union, followed by individual consultation with members of staff who may be affected by the changes proposed. The focus of the collective consultation periods will be on working with the Trades Union in partnership; to discuss ways of avoiding dismissal due to redundancy, as part of a meaningful, genuine process to avoid compulsory redundancies. Where possible, this will be in accordance with the DUCU, UNISON and Unite Procedural Agreements via the mechanism of the University/Trade Union Joint Committees and any additional meetings considered necessary, by either party, to gain input and suggestions.

The Trades Union will have been briefed on the Strategic Review prior to the meeting of Court. Subsequent to the Court meeting, further meetings with the Trades Union will take place at the earliest opportunity and thereafter as required.

Approach to Avoiding Compulsory Redundancies

1. Careful planning of workforce requirements

Decisions to fill posts will continue to be made at College/SASS staffing committees by Vice-Principals and Heads of College/University Secretary, to ensure that appointments are only approved for strategically critical or otherwise vital posts. In addition, where existing programmes are being run down, this will also allow for the phasing, over time, of the necessary staffing reductions.

2. Natural wastage and not recruiting to non-critical posts

Where natural wastage occurs Deans and Vice Principals should consider whether the appointment of replacements are critical; whether the work undertaken is required; whether the work can be reallocated to improve productivity, whether methods and procedures can be streamlined to reduce the FTE or responsibilities of the post or whether a technological solution is available.

3. Retirements

Colleges and SASS should profile their planned retirements over the change programme implementation period and consider the same points as in 2. above.

4. Redeployment to other parts of the University, where staff have transferrable skills

Whilst one area of the University may be releasing staff there may be a need to recruit in a different part of the University. The University will continually seek to identify the full set of transferable skills possessed by an affected employee in order that they can be considered for all available posts. Where they meet the essential criteria for the post they will be given advance consideration for the post prior to other candidates whose posts are not affected. This process will be facilitated by the re-deployment module which is part of the new e-recruitment system. A statutory trial period of 4 weeks would apply.

5. Retraining and redeployment

An extended trial period may be agreed for an employee where they need retraining in order to be redeployed into an alternative post.

6. Review of the use of temporary and casual staff

Strict control over the employment of temporary and casual staff should be exercised by Deans and Directors in order to reduce the overall staff costs.

7. Reduced hours working options, job share and unpaid sabbaticals

An overall consideration of alternative flexible working patterns should be considered at School, College and Directorate level. Options such as reduced hours, either on a regular basis or working semester only, may appeal to certain members of staff. These staff may not be affected employees but may release a part of a job that could accommodate an affected employee. Similarly, job-share could save posts or part-posts. Unpaid sabbaticals may provide the opportunity for a short-term career break or the opportunity to be seconded to another organisation if the possibility exists. Again, this may not necessarily be in an affected area but may provide a short-term solution to accommodate an affected employee until it is possible to identify whether a more permanent redeployment option exists.

8. Voluntary severance

A further window of opportunity for Voluntary Severance is likely to be made available on a University-wide and/or targeted basis for a defined period.

Whilst every effort to reach the University's desired outcome by means of offering suitable alternatives such as these detailed above in points 1 to 8, the University cannot exclude the possibility of compulsory redundancies as a last resort. Should there be no alternative to compulsory redundancies, the University commits to complying with all relevant employment legislation.

Communication

Crucial to the implementation of the change programme is the clear and effective communication of the strategic reasons for change and ongoing communication will be essential. Deans and Directors, in particular, will be key leaders in the communication process.

Impact Assessment

All Human Resources policies and procedures will be impact assessed as required by law.

Right to Appeal

All affected staff will have the right to appeal against their selection for redundancy, even when suitable alternative employment has been identified.

APPENDIX 3

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 59)

An additional meeting of the Senatus was held on 21 April 2010.

Present: Principal (Convener), Professor A Anderson (Vice-Principal, AS&E), Professor D Cantrell (Vice-Principal, Life Sciences), Professor C A Whatley (Vice-Principal, A&SS), Professor G Follett (Deputy Principal); Professor R Abboud, Professor E Abel, Mr I Ball, Professor J Belch, Professor D Coates, Professor G Codd, Professor J Connell, Mr S Cross, Dr D Crouch, Professor R Duck, Professor A Fairlamb, Professor G Gadd, Professor P Gregor, Professor T Harley, Professor C Helliard, Dr J Hughes, Mr G Hutton, Dr R Keatch, Professor P Kitson, Professor T Mackenna, Professor C Mackintosh, Mrs H Marr, Dr L McLellan, Dr C Morelli, Dr L Morris, Professor G Ogden, Professor A Page, Dr R Parsons, Dr C Reed, Dr A Reeves, Professor C Reid, Professor W Saunders, Professor E Shemilt, Mrs M Smith and Professor J Taylor.

Students: Mr A Smith (President), Miss R Palana (Deputy President), Miss K Brown (VPSA), Mr G Thewliss (CASE) and Miss L Burke (LS)

In Attendance: The Secretary, the Academic Secretary and the Deputy Secretary.

Also Present: Miss J Barnard, Mr R Isles, Mr R Kennedy and Mrs P Milne.

STRATEGIC REVIEW

The Principal introduced the Strategic Review document by outlining the way in which the process had developed from his presentations to staff in September 2009 in which he had presented his views on the University's future direction. Since then, the Senior Management Team, in consultation with Deans, had been working on the development of those ideas into a more strategic document for presentation to staff and to the University's governing bodies. The current document represented the outcome of that process and would be presented to the Court on Monday 26 April 2010 for endorsement in principle. The intention thereafter was for more detailed proposals to be presented to the June meeting of the Court following the outcomes of an extensive process of consultation with all staff, DUSA and the campus unions. The initial views of Senate members arising from this meeting, along with those of the campus unions and DUSA would be made available to the April Court meeting.

The President of DUSA tabled a paper (annex) outlining the students' initial response to the Strategic Review. The paper emphasised the view that students should be consulted and wished to participate fully in the development of the more detailed proposals to follow, particularly those which might affect the quality of the student experience. The areas of concern emphasised by the President were: the possible negative impact of the staff reductions implicit in the document; the apparent move away from discipline-based specialism in the undergraduate curriculum towards a more generalist approach; the implications for students of the inevitable corollary to investment in 'excellence'; doubts that an emphasis upon a 3% target surplus was realistic given the uncertainties in the national financial and political context; and lastly, concerns about staff and student morale arising from the review process thus far.

On the issue of a more generalised undergraduate curriculum, a number of members emphasised the necessity for a more explicitly skills-based element to be built into discipline-based programmes to facilitate graduate employability (employability representing a key indicator of excellence, relevance and impact in learning and teaching). The view was expressed that a fundamental review of undergraduate programmes via an open process of consultation with staff and students, supplemented by the market research proposed in the document, was the preferred option when moving towards an increased emphasis upon the acquisition of skills. Such an approach was exemplified by the manner in which the College of Life Sciences was currently taking forward the revision of its portfolio.

The document's emphasis upon 3* and 4* research was welcomed. However, the proposal to discontinue unfunded research that did not meet this level of excellence was felt by some to require clearer definition in terms of what 'funded' and 'unfunded' actually meant. In that connection it was clarified that 'funded' included SFC Research Excellence Grant for 3* and 4* work as well as funding from external bodies such as research councils. Some acknowledgement of the importance of

safeguarding emerging excellence (for example in relation to non-proven and novel initiatives) in research or teaching would be helpful in this context, it being noted that a financial surplus was required to enable the necessary investment to be made in such ideas.

Concern was also expressed about the general issue of consultation and engagement with the process of producing the final proposals by the June meetings of Senate and Court. The timetable for consultation was regarded by some to be too short and it was felt that its content needed to be discussed in detail at discipline and school levels. Members wished to see the College documents which had been the foundations for the review, so as to be able to challenge and debate the analysis and evidence-base that had informed the proposals as set out in the document, especially in relation to those relating to changes in the undergraduate curriculum. It was confirmed that the detailed College-specific documents from which the strategic review proposals had been distilled would be circulated as part of the consultation process that would begin subject to Court endorsing the proposals in principle at its meeting on 26 April.

Others were concerned at what they saw as the review's implication that teaching was a second-class activity compared with research. The descriptions of the two activities used different terms in the document and a view was expressed that there was little acknowledgement that excellence might apply to teaching as well as research and that the two activities were inter-dependant. In that regard, members noted that Senate had itself been tasked with the responsibility to define excellence in learning and teaching and required to take this matter forward as a matter of priority. Notwithstanding the issue of definition, other members indicated that there were in fact a number of proxy measures for excellence in learning and teaching identified in the document, including programme relevance and attractiveness, student retention and progression, feedback in national surveys and graduate employability.

Some of the School restructuring proposals were regarded as being beneficial in terms of providing the basis for better connections between disciplines and the emergence of new synergies in learning, teaching and research.

The view was also expressed that, at this stage, without seeing supporting evidence or the detail of specific outcomes, it was difficult to make useful comments; although it was noted that this was why it was proposed that the University now move into a period of full consultation as part of which the relevant underlying documents would be made available. While the current document might represent the start of a fundamental process to enhance the University's quality with no pre-determined outcomes, it might also be viewed as 'cuts-driven' with the associated demoralising implication of large job losses.

The Principal stated that there was no proposal to make significant change to the University's current academic footprint. He reiterated his view that there were a large number of excellent activities but that not everything was excellent. The essence of the document was to sharpen all of our activities; in that context, it might be necessary to cease doing some things but that the document featured an absolute commitment to maintaining and enhancing the student experience. Dealing with the high level of unfunded research that was not excellent might allow resources to be reassigned to teaching thus enhancing the student experience. He emphasised his view that teaching was not a second-class activity but of equal significance to research.

The Principal thanked members for their input and emphasised that the fundamental point of the review was to be ambitious and to be better in all that we do as a University.

DUSA Response to the Strategic Review

The paper below is a response to the University of Dundee Strategic Review published on April 19 2010.

Context

The Strategic review was originally announced in October 2009, and was contextualised by Principal Downes via a series of speeches aimed at both staff and students. The lectures were supported by a number of media appearances and press releases. Since the beginning of the process the review has been closely identified with the themes of impact, focus and excellence. At the time of the announcement the review was scheduled to be completed by the end of the calendar year.

Following the DUSA AGM on October 21 2009, I wrote an open letter to Principal Downes in my capacity as President of DUSA. In the letter I asked a number of questions, many of which have subsequently been answered and the rest of which have been addressed to varying degrees in the April 19, 2010 Review. The letter was followed by a series of positive meetings between the Principal's Office and student representatives.

A second open letter was written in April 2010. The questions laid out in that letter have also been addressed to varying degrees by the Review. Having also spoken to Principal Downes I am very grateful that he has enthusiastically agreed to meet to discuss his vision with both students and the newly elected Rector in May 2010.

The position of DUSA has been very clear: we are opposed to all cuts that affect the student experience, whether they are from the University or from the Government. We are also committed to facilitating dialogue between University staff and students at every stage of the Review process, from drafting to implementation.

This year DUSA has enjoyed very positive relationships with all areas of the University. We are strong supporters of the University but are not uncritical- this is evident in our response to issues such as reductions in library opening hours, and current status of the Conservation Unit.

National Circumstances

The Review is being published at a very uncertain time in national funding. The political climate has seen all parties approaching the upcoming election with a policy of cutting spending in Higher Education. Although the Government in Scotland has a policy of increasing spending the financial situation is still very fragile.

Last months allocation from the Scottish Funding Council saw the University of Dundee's grant rising by 1.8% which in real terms means that it has effectively been frozen. No cuts have been made by the Government yet and DUSA advocate a very public campaign from both Universities Scotland and our colleagues around the country to make a case for further investment.

Student Attitudes

At every step of the review process DUSA has actively sought the views of its membership. At our AGM, we had a near unanimous vote to support a position of opposing all cuts that affect the student experience. Subsequent meetings of the Student Representation Council have voted to oppose any potential cut to the Conservation Unit and to support anti- cuts campaigns across the country. The DUSA elections have seen an overwhelming vote for an outspoken Rector who has publicly opposed government cuts to education and the election of a DUSA Executive who have all stated their intention to oppose future cuts.

March 2010 saw the establishment of the Dundee University Anti Cuts Action Network (DUACAN). Although the group is supported by DUSA it also remains an independent body. On April 19 a petition was circulated on the behalf of DUACAN, with the following three specific objectives

1. A reversal of all cuts affecting students made during 2009/2010.
2. Opposition to all future cuts to budgets and staff that affect the student experience.

3. For Principal Downes to publicly oppose any possible re-introduction of student fees in Scotland.

Within 24 hours the petition had been signed by around 300 students.

That this has been a clear contrast from the DUSA response to the 2007 Sustainability Review: which saw the President of the day voting to support a programme that was widely opposed by students. This was followed by the election of a Rector who took a popular stance against the moves.

Contents of the Review

The DUSA Executive met on 20 April 2010 to decide upon a collective response to the Strategic Review. We read through every individual paragraph together and collated our thoughts on the specifics and the themes that arise from the recommendations. I specifically highlight the following areas for further discussion.

1. Cost reductions and cuts

We are very concerned about the impact that a 10-12% reduction in staff costs would have on students. As the Times Higher Education survey has shown, students are very grateful for the high quality learning and teaching staff and services on campus. We are far from convinced that disinvestment on the scale cited could happen without serious implications for the quality of the student experience. If we are to believe the figures cited in the Courier, we could see a reduction of up to 280 staff over the course of the next three years.

The Strategic Review recommends in paragraph 50 that certain support services could be stopped or reduced but does not give an indicator of which services would be affected. The recent Sodexo University Lifestyle Survey suggests that around 40% of students have seriously considered dropping out of University over the past year, mainly citing financial and academic stresses. With this backdrop, it doesn't seem sensible to be reducing any support services. This point is only reinforced by paragraph in paragraph 48 in which the Review indicates that the cost of support services on campus is relatively low and *'there is a danger of reducing budgets to a degree where service delivery is compromised or lacks the resilience required to underpin the delivery of the University's strategic objectives.'*

Our argument is not that campus services cannot be improved nor is it that we could not be spending the same money better in some areas of service provisions. Our argument is that during a recession and to a backdrop of wider academic cuts it is essential that welfare budgets are maintained and where possible, extended.

We would be opposed to any cuts to learning and teaching staff that would see core modules discontinued and/or the workload of other staff increased. The last voluntary severance programme saw a reduction in the staff profile and we do not see any way in which another University wide scheme could see a reduction in staff numbers and not compromise the student experience. The rest of the options highlighted in the appendix all point to a reduced staffing profile but there is no serious account of what the impact of such moves would be on students.

2. Specialisation to be replaced by more streamlined learning

One of the themes of the Review which raises concern is the movement towards a more streamlined educational experience. The Review proposes to restructure courses in a more streamlined direction, including reductions in course numbers in Duncan of Jordanstone and the School of Humanities. We would like to see solid and quantifiable evidence that this move would be supported by students. One of the attractions of the University of Dundee is surely the variety of subjects that students can choose to study. This is backed up by the Times Higher Education survey in which the University was complimented by students for the well structured courses on offer (5.9 score) and the high quality of the specialised staff and lecturers (6.0 score). We urge that any major changes to the curriculum that move our departments toward an all-purpose direction are done with the full consultation and consent of students.

The 'Melbourne Curriculum' cited in paragraph 43 has had a mixed response. Libby Buckingham, President of the University of Melbourne Student Union was very critical of the restructuring, which was met with a widespread opposition from students- leading to a series of protests and occupations on campus. The move was also condemned by the Trade Unions who cited a significant increase in their

workloads in line with a voluntary severance scheme and a refusal on the part of University Management to replace the staff that had left.

The Sydney University Postgraduate Representative Association was also critical of the moves- they saw it as an exercise to make more money out of Postgraduate students. While the financial stability of a University is very important, it is not the role of a Student Association to balance University accounts but rather to represent the academic and welfare interests of our members.

This is not to say that the Dundee outcome will bear any resemblance to any other University: rather it is to emphasise the importance of student consultation and participation in their University experience. We would hope that serious changes to the curriculum showed a significant and measurable input from students.

3. Question of Excellence

Throughout the whole process of the Review, the key question from DUSA has always been about what will happen to departments and disciplines that are not defined as excellent. The Review defers most of these decisions to the Court meeting in June but the intention to redistribute resources is clear in paragraph 2: *'On the basis of clear examples of excellence in all four colleges and within many of the service directorates, the vision proposes that investment must be focused on these areas of strength if we are to enhance the effectiveness of the University and grow its reputation.'* It is hard not to conclude that this extra investment can only come from disinvestment in other areas and disciplines. I think it is fair to say that as the details of the redistributions become clearer, the context of the debate will change from being one about principles to being one about specifics.

4. Impact of the report on staff and student morale

The Review mentions that *'particular care will need to be paid to ensure that the implementation of the review does not impact on staff morale and/or destabilise our best staff, particularly given the extended period over which they will be implemented.'* Judging from the attendance at recent UCU meetings and the motions they have passed and also from a number of private conversations with staff at all levels of the University it is obvious that this could be a very serious problem. The tone I have picked up from a number of academics is one of apprehension- there is a real uncertainty penetrating every area of the campus and there are reasons for this. All future consultation needs to be transparent and decisions need to be made through meaningful dialogue with the relevant staff and students.

5. 3% surplus target

The final area that we feel needs to be discussed is the reiteration of the commitment to a 3% surplus target. The surplus this year is going to be significantly lower than the target and our concern is that during the uncertain circumstances that are ahead for the entire sector, it is not clear whether or not that the target is achievable or even possible without severe cuts in order to do so.

Conclusions

DUSA is highlighting the concerns of our members. Yes, we have been critical supporters of University Management but we have also always gone out of our way to engage in a positive manner and view ourselves as facilitators as much as a participant in the wider debates about policy. This will continue regardless of the outcome of the Review. We fully support students who protest or petition against cuts and our concern is always for our current membership.

The Review puts forward a number of radical proposals, although we don't feel these proposals are all supported by sufficient evidence. The proposals and financial outcomes are speculative by their very nature and contrast with an approach of consolidation that the unclear conditions appear to support.

The University is the sum of both its students and academic community- it is for this reason working together is imperative, especially during difficult times like those we are facing today.

Andrew Smith
On the behalf of the DUSA Executive 2009/10

APPENDIX 4

FINANCE & POLICY COMMITTEE (Minute 60)

A meeting of the Committee was held on 22 March 2010.

Present: Mr EF Sanderson (Convener), Principal Professor CP Downes, Mr WI Ball, Professor J Calderhead, Dr LI McLellan, Mr IDM Wright

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

1. SIR JAMES BLACK

The Principal informed the Committee of the sad death earlier in the day of the University's former Chancellor. The Committee asked that the Principal convey its condolences to Sir James' family.

2. MINUTES

Resolved: to approve the minutes of the meeting on 1 February 2010.

3. MANAGEMENT ACCOUNTS – PERIOD 7

The Director of Finance introduced the accounts. They showed an operating surplus to date of £5.5m, representing a favourable variance of £5.2m compared with the phased budget. The year-end operating forecast was £1m against a breakeven budget. The improvement was due to better overseas recruitment figures, especially in the College of Arts & Social Sciences, following semester 2 entry. The forecast overall bottom-line position was a surplus of £1.1m, which was worse than budget, and due to delays in disposals in the difficult economic climate. The current cash position was £5m positive, although it was expected that total negative working capital movements would amount to £15m for the year, mostly as a result of the unwinding of research grants. The Director noted that it was important that the University to allocate and commit its capital funding from the Funding Council to ensure that it could not be clawed back.

Given the large variance between the current position and budget, the Convener wondered whether the phasing of the budget was accurate. It was noted that Schools and other units had a tendency to delay expenditure to the latter half of the year as they monitored their financial position; expenditure was also often dependent on the achievement of related income targets. Nevertheless, the Director undertook to monitor the budget phasing process with a view to continuing to enhance it further in future.

4. HE SECTOR FINANCIAL INFORMATION

(1) 2010/11 Fiscal Year Budget Allocations (Ministerial Letter to SFC)

The Committee noted the ministerial direction to the Scottish Funding Council (SFC), which set out the total budget for the SFC and gave an indication of the priority areas for the SFC to consider in setting individual budgets for institutions and initiatives. In comparison with the previous year, there was a small cash increase although in effect this would be a real terms cut, and the University would additionally have to bear reductions in student numbers to teacher training programmes. It was noted that the University would have early sight of the SFC's main grant letter to universities, for the General and Horizon Funds, at 5pm on 23 March 2010. The Committee noted the minister's focus on maintaining 'efficiencies' and on the inevitability of financial 'constraints'. The Director pointed to the lack of clarity in relation to the Horizon Fund, and in particular to knowledge exchange funding, which it had been announced would not figure in the grant letter. The University received £2m from this source.

In discussion, it was noted also that the review of teaching funding groups had now been officially delayed for one year following representations from the sector.

(2) SFC: Review of Higher Education Institutions' Financial Forecast Returns 2008-9 to 2011-12

The Director of Finance introduced the annual review from the Scottish Funding Council of institutions' financial forecasts. The review had recently featured in the press as proof of the worsening financial situation of the sector. The forecasts had, however, been compiled almost a year ago, and did not therefore reflect the real current position. The review mentioned the concerns of a number of institutions in relation to the deficits of their own pension schemes.

5. **DUNDEE STUDENT VILLAGES UPDATE**

The Committee received a report providing an update on Dundee Student Villages (DSV). In presenting the report, the Director of Finance highlighted that occupancy levels for 2009/10 were at 100%. For 2010/11, according to the business model, the occupancy target was 94%, although it was hoped that this would likewise be exceeded. Prices for 2010/11 had been increased by 0.2% in line with the revised model, and the opportunity had been taken in response to student feedback to create a differential in price between the accommodation located at West Park and those on or close to the city campus. The Committee noted that there would soon be additional competition in the form of the new residences being built for the University of Abertay, although it was not yet clear precisely when the building works would be completed. The Director reported that the lease for the Taymills residence, which was wholly managed by the University and not part of DSV, would expire in September 2011. The University would as a result need to consider whether it should replace that type of accommodation.

Turning to West Park Conference Centre (WPCC), the Director noted that its turnover had grown by 10%. There had been a shortfall in bookings for day meetings and day conferences, which reflected the current difficulties of the economy at large, but this had been compensated for by increased residential bookings and weddings and other similar events. WPCC remained optimistic for its future performance although the targets remained challenging. The change to a fully variable fee on the part of Sanctuary Management Services, who operate WPCC, will mitigate some of the risk going forward.

6. **SUBSIDIARIES' HALF-YEAR RESULTS**

The Committee received a mid-year update on the performance of the University's subsidiary companies. The Director highlighted two subsidiaries, in particular, for further discussion.

It was noted that the Dundee University Utility Supply Company's (DUUSCO) existing five-year gas contract would expire in July 2010. Given the changes to the fuel market, it was likely that a new contract, probably as part of a Scotland-wide contract for the supply of utilities, would mean increased costs.

The Committee discussed in detail the performance of Dundee University Press (DUP). The University had approved a loan of £100k to DUP and this had now been fully drawn down. The financial position of DUP therefore needed to be monitored closely, with improved performance being expected in the latter part of the year; and a small surplus was still being forecast. It was noted that the company had shown slower progress than had been hoped for, and also that there were significant hidden costs in University staff time that was devoted to the company but not charged to it. The Committee was informed that one DUP title had been shortlisted for the Saltire book awards, which represented a major breakthrough for the company.

7. **PENSION SCHEME TRUSTEE**

The Committee noted that the Governance & Nominations Committee, at its meeting held earlier the same day, had agreed to recommend to Court that it appoint Mr Keith Swinley as trustee of the University of Dundee Superannuation Scheme. Mr Swinley had been appointed as a lay member of Court at the Court's meeting on 1 February 2010.

Resolved: to endorse the decision of the Governance & Nominations Committee.

8. ESTATES BUSINESS

(1) Space Management

The Director of Campus Services introduced a paper which set out the current figures for utilisation of teaching space and the strategies being adopted to improve space utilisation and create a broader awareness of the importance of the issue. According to current rough estimates each square metre of space cost the University approximately £40 to maintain. Over the last five years, the University had been surveying the utilisation of teaching space, and these surveys showed that there was less than 25% utilisation in every part of the University. According to Scottish Funding Council gradings this put the University in the category 'poor'. Recently, Estates & Buildings had started surveying Ninewells and Kirkcaldy teaching space, and attention was now also turning to other types of space, such as offices and laboratories. It was clear that there was considerable scope for improvement. Actions currently being undertaken to address the issue included: active engagement of the Space Management Group, the consideration of disposals to reduce the estate, the establishment of a working group to consider the utilisation of the Dalhousie Building in particular, the introduction of central timetabling for teaching space, and consideration of the particular problems on the Ninewells and Kirkcaldy campuses.

The Committee thanked the Director and his colleagues for the paper and on the work being done to address this issue. In discussion, it was proposed that capital project proposals should all include an explicit consideration of space management issues and the impact of the building on the overall performance of the University in space management terms. The Committee was reassured that the senior management of the University was fully engaged in improving the current situation and thereby reducing the University's costs.

The Committee also briefly discussed the position with the Bonar Hall, whose utilisation rates were not good. Careful consideration would need to be given to how the Bonar Hall could be used more effectively and in a manner more consistent with the University's core mission.

(2) Capital Plan Progress Report

The Committee received updates on the projects currently underway. Specifications for the refurbishment of Duncan of Jordanstone were currently being devised, and work on both the Scrymgeour and Fulton buildings was about to start. The Committee noted that the project to refurbish the Centre for Anatomy & Human Identification had moved to the next stage of design, following discussions with the School of Medicine on the provision of undergraduate anatomy teaching to medical students.

(3) University House

The Committee considered a paper which set out proposals for the disposal of University House and the creation of a function and reception suite on campus. University House, whilst recognised as an impressive part of the estate, currently required almost £200k of backlog maintenance to bring the building up to an acceptable standard. At the same, since the appointment of the current Principal, the House was no longer being used as a residence, and was as a result severely underused. The House's usefulness as a function suite was debatable since its capacity was relatively low and it was located some distance from both the Main and Ninewells campuses. In light of all these issues, it was proposed that space in the Dalhousie Building could be transformed into a function suite to be used for University meetings, receptions, interviews and official University functions and dinners.

The Committee was receptive to the proposals, but felt they lacked imagination in their current state. It was suggested that alternative space in the Dalhousie Building might be a more appropriate candidate for conversion, and that therefore the options

should be reappraised. It was felt important also to consider the issue of accommodation for the post of Principal in the longer term, and what the policy would be in future if University House were sold.

Resolved: to ask officers to reassess the options in light of the discussions, but nevertheless to recommend to Court in principle the disposal of University House and the creation of a dining/entertainment suite on campus.

APPENDIX 5**GOVERNANCE & NOMINATIONS COMMITTEE
(Minute 61)**

A meeting of the Committee was held on 22 March 2010.

Present: Mr IDM Wright (Acting Convener), Principal Professor CP Downes, Professor RJ Abboud, Mr WI Ball, Mr EF Sanderson

In Attendance: University Secretary and Clerk to Court

1. MINUTES

Resolved: to approve the minutes of the meeting on 2 February 2010.

2. MATTERS ARISING**(1) Election of the Chairperson (Minute 2(1))**

The Committee noted that two nominations had been received by the closing date for the post of Chairperson of Court: Ann Burchell and Eric Sanderson. Ballot papers had now been dispatched, to be returned by 4pm on 16 April 2010.

(2) Prospective Court Members: Immediate Vacancies (Minute 3(1))

Resolved: (i) to note that, at its meeting on 22 February 2010, the Court had approved the appointment of Mr Ralph Adams in accordance with Statute 9(1)(l), and that Mr Adams was now undergoing a process of due diligence with his firm before accepting the appointment. In this regard, the Committee noted that Statute 8 paragraph (2) precluded membership on Court for any person whose firm was appointed as the University's auditors, and that it was possible that Mr Adams might therefore feel unable to accept the appointment at this stage;

(ii) to note also that, at the same meeting, the Court had approved the appointment of Mr Keith Swinley in accordance with Statute 9(1)(l), and that Mr Swinley had accepted the appointment with effect from 1 March 2010; and

(iii) finally to note that discussions with a third named prospective member had now taken place, but that the candidate was not in a position to consider appointment to Court at this time. The Committee considered the candidate to be highly qualified and recommended that he be contacted again in the future as other vacancies arose.

3. PENSION SCHEME TRUSTEE

The Committee considered the proposal that Mr Keith Swinley be invited to become a trustee of the University of Dundee Superannuation Scheme.

Resolved: noting Mr Swinley's agreement to appointment if proposed, to recommend to Court that, at its meeting on 26 April 2010, it appoint Mr Swinley as a trustee of the scheme with immediate effect.

4. PROSPECTIVE COURT MEMBERS

The Court members considered applications from, and suggestions on behalf of, 39 potential candidates for the post of lay Court member. Of these, twelve had been submitted in response

to the advert appearing in the Scottish national and local press. The remainder had been suggested by existing Court members and by members of staff of the University. No suggestions had been received by current students of the University. Of the total, five were women.

The Committee closely examined each of the applications or suggestions and in so doing bore in mind the balance and diversity of skills required on Court as well as the anticipated timeframe within which vacancies would occur over the short to medium term.

- Resolved:**
- (i) to invite seven shortlisted candidates to attend for interview by a panel of three members of the Committee (two lay and one academic member), and to invite the shortlisted candidates to meet separately with the Principal and University Secretary;
 - (ii) to seek further information on, and/or defer consideration of, an additional ten candidates;
 - (iii) to explore a further potential candidate, at this stage, outside a formal interview process; and
 - (iv) to thank the remaining candidates for their interest in, and support for, the University.

5. SELECTION CRITERIA AND AREAS FOR DISCUSSION AT INTERVIEW

The Committee considered a paper from Mr Wright and Dr Lowe which set out a series of criteria to be used when interviewing prospective candidates as well as the lines of discussion that could be used to explore the candidates' fulfilment of these criteria. These would ensure consistency of approach and enable fair comparisons to be made of candidates selected for interview.

- Resolved:** to approve the contents of the paper for use in the interviews of the seven candidates shortlisted at item 4 above.

6. CHANGES TO ORDINANCES 18, 20 AND 45

The Committee received a paper from the Clerk to Court setting out proposals to amend Ordinances 18 (Election of Members of the Court and Senatus), 20 (Graduates' Council) and 45 (Election of Member of Court by the Non-Teaching Staff). The changes reflected the proposals to enhance the effectiveness of Court which the Court had approved at its meeting on 26 October 2009, and which the Senate had endorsed at its meeting on 2 December 2009. They covered: 1) the timing of Senate, Academic Council and non-teaching staff elections to the Court; 2) the introduction of a rule to ensure that any staff member of Court seeking re-election in a new category beyond eight continuous years must be subject to an active election; and 3) removal of the bar on Graduates' Council Assessors from standing for immediate re-election.

- Resolved:** to recommend to Court that it approve the amendments, which in the meantime would be considered also by the Senate at its meeting on 31 March 2010 (annex refers).

Proposals to Amend Ordinances 18, 20 and 45

Ordinance 18 - Election of Members of the Court and the Senatus

- 1 The election of the members of the Court elected by the Senatus (Statute 9(1)(g))^{*} shall take place by postal ballot in the second semester to enable, whenever possible, an announcement of the successful candidates to be made at the latest by the last Court meeting of the academic year in which an election falls due. Their periods of office shall be four years from the first day of August immediately following their election. They shall be eligible for re-election, but shall not hold office continuously for a longer period than eight years. A member of the Court elected by the Senatus who ceases for any reason to be a member of the Senatus shall simultaneously cease to be a member of the Court.

- 2 (1) The election of the members of the Court elected by the Academic Council (Statute 9(1)(i)) and the members of the Senatus elected by the Academic Council (Statute 10(1)(d)) and by the Colleges (Statute 10(1)(g)) shall take place by postal ballot in the second semester in accordance with the Regulations made by the Senatus after consultation with the Academic Council. The period of office of those elected shall be four years from the first day of August immediately following their election. They shall be eligible for re-election but the Members of Court and the Senatus elected by the Academic Council shall not hold office continuously for a longer period than eight years.

- (2) Votes by part-time and honorary Readers, Senior Lecturers and Lecturers and other Part-time and Honorary Staff who are Members of the Academic Council shall count as half-votes:

Provided that the votes of the following categories of staff shall count as full votes - (i) full-time Library staff holding honorary appointments as Readers, Senior Lecturers or Lecturers; (ii) Readers, Senior Lecturers or Lecturers who have accepted re-engagement on partial salary immediately following retirement from a full-time appointment in the University in terms of the Premature Retirement Compensation Scheme.

- 3 In elections to Court from either the Academic Council or the Senatus where there is only one candidate and that candidate has immediately previously served continuously for eight years on Court in another category, the electorate shall be given the opportunity in the ballot to cast a vote for that single candidate or to call for nominations to be re-opened.

- 4 If for any reason the elections described in sections 1 and 2 cannot be held in the second semester [...].
[Continue renumbering remaining paragraphs of the Ordinance.]

Ordinance 20 - Graduates' Council

[...]

- 3 The Assessors of the Graduates' Council on the University Court shall hold office for a period of four years from 1 August following the date of election. An Assessor shall be eligible for re-election but shall not hold office continuously for a longer period than eight years.
- [...]

Ordinance 45 - Election of Member of Court by the Non-Teaching Staff

- 1 The election of the member of Court elected by the Clerical, Manual and Technical Staff shall take place by postal ballot in the second semester to enable, whenever possible, an

^{*} Change subject to Privy Council approval for changes to Statute 9 which were endorsed by Senate and approved by Court at meetings on 2 December and 14 December 2009 respectively.

announcement of the successful candidate to be made at the latest by the last Court meeting of the academic year in which an election falls due. The period of office of the person elected shall be four years from the first day of August immediately following the election. The person elected shall be eligible for re-election but shall not hold office continuously for a longer period than 8 years.

- 2 (1) The election shall be carried out in accordance with the Regulations approved by the University Court.
 - (2) Votes by part-time staff whose weekly working hours total not less than fourteen hours shall count as half votes.
 - (3) Staff whose weekly working hours total less than fourteen hours shall not be entitled to vote.
 - 3 (1) If, for any reason, the election cannot be held in the second semester or, having been held, is declared invalid, then the election shall take place in semester time as soon as possible. The period of office of the person elected in a deferred election shall be four years from the first day of August immediately following the second semester in which the election should have been held.
 - (2) In a deferred election, the period of office of the person due to demit office shall be extended until the deferred election has been held.
 - 4 If a casual vacancy arises in this membership, an election to fill the vacancy shall take place in semester time as soon as possible after the date when the vacancy occurs. Election to a casual vacancy shall be in accordance with the same Regulations as for an ordinary vacancy.
- [...]

APPENDIX 6

COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 66)

1. PRINCIPAL'S REPORT

The Principal drew members' attention in particular to the recent death of Sir James Black and the Senatus joined the Principal in expressing its appreciation for his life and his contributions to the University as its Chancellor.

On the Strategic Review, members noted that there would be a special meeting of the Senatus on 21 April 2010 to discuss the proposals arising from the Review. Papers would be circulated a few days beforehand and would be the same papers as those to be received by the Court at its meeting on 26 April. The special meeting of the Senatus would be the first stage of a process of wide consultation within the University.

The Senatus joined the Principal in congratulating Janet Lowe (Chancellor's Assessor on the Court) on her election to the Royal Society of Edinburgh.

The Senatus decided: to note the report.

2. UNIVERSITY COURT

The Senatus received a communication from the meeting of the University Court held on 22 February 2010.

The Senatus decided: (i) on paper C2 to endorse to the Court the amendments to Ordinances 18, 20 and 45 arising from the Review of Court Effectiveness; and

(ii) for the rest, to note the report.

3. DRAFT ACADEMIC CALENDAR

The Senatus received the draft Academic Calendar for 2010-11 (annex refers).

The Senatus decided: to forward the draft Calendar to the Court for approval.

4. RECTORIAL ELECTION

The President of DUSA informed members that the new Rector's first visit to Dundee was provisionally booked for 3-6 May 2010.

The Senatus noted: the outcome of the Rectorial election was:

Brian Cox was elected Rector of the University on Friday 12 February 2010 for the usual 3 year term. The vote was:

Stage 1

Brian Cox - 1034 votes
Robin Harper - 315 votes
Nikolai Zhelev - 273 votes

5. DUSA EXECUTIVE ELECTIONS

The President of DUSA reported the outcome of the Executive elections held on 25 and 26 March 2010 –

President	Craig Kelly
Deputy President	Chris Browne

VPC	Natalie Coupar
VPSA	Kirsty Brown
VP-Campaigns	Gary Paton
VPSW	Amy Waldron
Honorary Secretary	Brett Capstick

He thanked staff in Academic Affairs for their assistance with the elections and mentioned, in particular, his gratitude to Mr Alan Tough for acting as Returning Officer for the up-coming referendum on affiliation to the NUS.

6. **SPECIAL MEETING OF SENATE**

The Senatus noted: that there will be a special meeting of Senate on Wednesday 21 April at 4pm in the Ustinov Room to debate the draft proposals from the Strategic Review before they go to the meeting of Court on 26 April.

ACADEMIC CALENDAR 2010-11

August 2010

9	Mon		Resit examinations begin	
20	Fri		Last day of resit examinations	
24	Tues	C	Senior Management Team 8.30am	
27	Fri		Last day for announcement of results Last day for issue of Termination letters	
30	Mon	C	Finance and Policy Committee 2pm	

September 2010

3	Fri	C	Court Retreat	
6	Mon		Freshers Induction Week Last day for lodging appeals	Wk 0
9	Thurs		Last day for School Committee Termination meetings	
10	Fri		Last day for Matriculation	
13	Mon		First issue of Termination of Studies (Appeals) Committee agenda Semester 1 begins	Wk1
14	Tues	S	Postgraduate Affairs Sub-Committee 2pm	
15	Wed	S	Termination of Studies (Appeals) Committee 9.15am	
16	Thurs		Information Management Strategy Group 11am C University/Unite Joint Committee 2pm C University/Unison Joint Committee 3pm	
20	Mon	C	Health and Safety Sub-C 10am	Wk 2
21	Tues	S	Honorary Degrees Committee 11am	
22	Wed	C	Senior Management Team 8.30am	
23	Thur	C	University/UCU Joint Committee 10am S Research Committee 12 noon	
24	Fri	S	Library & Information Services Committee 2pm	
27	Mon		College Board of Art, Science and Engineering 4pm	Wk 3
28	Tues		College Board of Arts & Social Sciences 4pm University Opening Service 5.15pm	
29	Wed		Principal and Deans 12noon	

College Board of Medicine, Dentistry & Nursing 4pm

30 Thurs S Learning and Teaching Committee 10am

College Board of Life Sciences 4pm

October 2010

4 Mon C Governance and Nominations Committee 10am Wk 4

School Secretaries Forum 12.15pm

C Finance and Policy Committee 2pm

Dundee Autumn Holiday

5 Tues C Audit Committee 2pm

6 Wed Personal Chairs Committee 2pm

11 Mon Wk 5

13 Wed C Senior Management Team 8.30am

S Senate 4pm

18 Mon Wk 6

19 Tues S Advisory Group on Appeals & Complaints Procedures 11am

21 Thurs S Academic Quality Sub-Committee 10am

25 Mon C Court 2pm Wk 7

27 Wed S Postgraduate Affairs Sub-Committee 2pm

November 2010

1 Mon Academic Council Standing Committee 1pm Wk 8

2 Tues C Risk Management Monitoring Group 10am

3 Wed C Human Resources Committee 2pm

8 Mon School Secretaries Forum 12.15pm Wk 9

10 Wed C Senior Management Team 8.30am

S Learning and Teaching Committee 2pm

11 Thurs S Research Committee 12 noon

12 Fri S Library and Information Services Committee 2pm

15 Mon Academic Council 1pm Wk 10

College Board of Art, Science and Engineering 4pm

College Board of Medicine, Dentistry & Nursing 4pm

16 Tues College Board of Arts & Social Sciences 4pm

17 Wed Graduation 2.30pm

18	Thurs		College Board of Life Sciences 4pm	
19	Fri		Senior Staff Workshop 9am	
22	Mon	C	Finance and Policy Committee 2pm	Wk 11
29	Mon			Wk 12
30	Tues	C	Remuneration Committee 10am	
		C	Audit Committee 2pm	

December 2010

1	Wed	C	Senior Management Team 8.30am	
		S	Senate 4pm	
6	Mon		Semester 1 examinations begin	Wk 13
			School Secretaries Forum 12.15pm	
8	Wed		Personal Chairs Committee 2pm	
12	Sun		University Carol Service 5pm	
13	Mon	C	Court 2pm	Wk 14
17	Fri		Semester 1 examinations end	
			End of Semester 1	
24	Fri		University closed after business until start of business on Wednesday 5 January 2011	
25	Sat		Christmas Day	

January 2011

5	Wed		Start of business	
10	Mon		Freshers' Week – January Intake	
			School Secretaries Forum 12.15pm	
12	Wed	C	Senior Management Team 8.30am	
13	Thurs	C	University/Unite Joint Committee 2pm	
		C	University/Unison Joint Committee 3pm	
14	Fri		Discovery Day	
17	Mon		Start of Semester 2	Wk 15
		C	University/UCU Joint Committee 10am	
19	Wed	C	Health and Safety Sub-C 2pm	
20	Thurs	S	Research Committee 12 noon	
24	Mon		College Board of Art, Science and Engineering 4pm	Wk 16

25	Tues		College Board of Arts & Social Sciences 4pm	
26	Wed		College Board of Medicine, Dentistry & Nursing 4pm	
27	Thurs		College Board of Life Sciences 4pm	
31	Mon	C	Finance and Policy Committee 2pm	Wk 17

February 2011

1	Tues	C	Human Resources Committee 2pm	
7	Mon		School Secretaries Forum 12.15pm	Wk 18
9	Wed	C	Senior Management Team 8.30am	
		S	Senate 4pm	
14	Mon			Wk 19
21	Mon	C	Court 2pm	Wk 20
23	Wed		Information Management Strategy Group 2pm	
25	Fri	S	Library & Information Services Committee 2pm	
28	Mon	S	Postgraduate Affairs Sub-Committee 2pm	Wk 21

March 2011

2	Wed		Principal and Deans 12noon	
7	Mon		School Secretaries Forum 12.15pm	Wk 22
8	Tues	C	Audit Committee 2pm	
9	Wed	C	Senior Management Team 8.30am	
10	Thurs	S	Research Committee 12 noon	
14	Mon	S	Learning and Teaching Committee 10am	Wk 23
			College Board of Art, Science and Engineering 4pm	
15	Tues		College Board of Arts & Social Sciences 4pm	
16	Wed		College Board of Medicine, Dentistry & Nursing 4pm	
17	Thurs		College Board of Life Sciences 4pm	
21	Mon			Wk 24
22	Tues		Academic Council Standing Committee 1pm	
28	Mon	C	Finance and Policy Committee 2pm	Wk 25
30	Wed	S	Senate 4pm	

April 2011

4	Mon		Dundee Holiday ??	
			School Secretaries Forum 12.15pm	

13	Wed	C	Senior Management Team 8.30am	
22	Fri		Good Friday	
24	Sun		Easter Sunday	
25	Mon	C	Court 2pm	Wk 26
			Examinations begin	

May 2011

2	Mon		Dundee Holiday	Wk 27
			School Secretaries Forum 12.15pm	
4	Wed	C	Risk Management Monitoring Group 10am	
		S	Postgraduate Affairs Sub-Committee 2pm	
5	Thurs	S	Academic Quality Sub-Committee 10am	
6	Fri	C	University/UCU Joint Committee 10am	
9	Mon	C	Health and Safety Sub-C 10am	Wk 28
			Academic Council 1pm	
10	Tues	S	Advisory Group on Appeals & Complaints Procedures 10am	
		C	University/Unite Joint Committee 2pm	
		C	University/Unison Joint Committee 3pm	
11	Wed	C	Senior Management Team 8.30am	
			Personal Chairs Committee 2pm	
12	Thurs		Information Management Strategy Group 11am	
		S	Research Committee 12 noon	
13	Fri	S	Library & Information Services Committee 2pm	
16	Mon	S	Learning and Teaching Committee 10am	Wk 29
		C	Governance and Nominations Committee 10am	
		C	Finance and Policy Committee 2pm	
			College Board of Art, Science and Engineering 4pm	
17	Tues		College Board of Arts & Social Sciences 4pm	
18	Wed		College Board of Medicine, Dentistry & Nursing 4pm	
19	Thurs		College Board of Life Sciences 4pm	
20	Fri		Senior Staff Workshop 9am	
23	Mon	C	Human Resources Committee 2pm	Wk 30
25	Wed	C	Audit Committee 2pm	

27 Fri Semester 2 examinations end
End of Semester 2

30 Mon Dundee Holiday

June 2011

1 Wed C Senior Management Team 8.30am
S Senate 4pm

6 Mon VLE System Upgrade – all week??
School Secretaries Forum 12.15pm

13 Mon C Court 3pm

21 Tues Graduation Ceremonies

22 Wed Graduation Ceremonies

23 Thurs Graduation Ceremonies

24 Fri Graduation Ceremonies

July 2011

6 Wed C Senior Management Team 8.30am
Personal Chairs Committee 2pm

14 Thurs Information Management Strategy Group 11am

August 2011

8 Mon Resit examinations begin

22 Mon C Finance and Policy Committee 2pm

24 Wed C Senior Management Team 8.30am

September 2011

2 Fri C Court Retreat

5 Mon Semester 1 Freshers Induction Wk 0

12 Mon Semester 1 Teaching begins Wk 1

APPENDIX 7**AUDIT COMMITTEE
(Minute 67)**

A meeting of the Committee was held on 9 March 2010.

Present: Mr R Burns (Convener), Mr J Barnett, Professor Emerita A Burchell, Dr H Marriage, Miss J Thompson

In Attendance: Mr EF Sanderson, University Secretary, Director and Deputy Director of Finance, Mr A Gray (PricewaterhouseCoopers), Mrs EP Harper (PricewaterhouseCoopers), Mr F Wilson (PricewaterhouseCoopers) and Clerk to Court.

1. MINUTES

Resolved: to approve the minutes of the meeting on 1 December 2009.

2. MATTERS ARISINGInformation Governance (Minute 3(1))

On the matter of the identification of an appropriate senior manager for the role of Chief Information Officer, the Director of Finance confirmed that this was an ongoing issue, which would be resolved following conclusion of a further piece of internal audit work in this area.

3. INTERNAL AUDIT**(1) Financial Accounting – Cash Office**

The internal auditors presented a report into the role and function of the cash office, including security arrangements for the handling of cash. In summary the report identified a number of areas where the design of controls could be improved. One of the recommendations was considered high risk and related to the process of reviewing bank reconciliations, although new procedures were now in place to address this. The Committee discussed the levels of cash held by the University, and considered whether there was scope for reducing them. The Deputy Director of Finance reported that work was underway to look at ways in which to reduce the amount of cash being handled and alternative means of storing cash were also being explored. The Committee was satisfied with the management responses to each of the recommendations contained in the report.

(2) Review of Business Processes in the Schools & Colleges

The auditors also presented a report examining how three processes in particular (financial management, student management, and the management of research grants) operated within the Schools and Colleges and how the Schools and Colleges interfaced with central support services in these specific areas. It was noted that since the University's restructuring into four Colleges the constituent Schools had each developed in slightly different ways. This meant that, whilst there were areas of good practice across the University, processes were not being consistently practised or applied. It was possible therefore that these inconsistencies were contributing to inefficiencies both in the Schools and Colleges on the one hand, and in the central services on the other. In the review, schools had also repeatedly emphasised their own uniqueness, which was used to justify individualised treatment, but the auditors pointed out that it would be impossible to treat each School uniquely; there had to be some consistency of approach. It was clear that the precise needs of schools had to be explored and identified, in order to be able to understand where divergence was necessary and where conformity possible.

A recommendation of the review was that specific key processes should undergo further analysis with a view to re-engineering them to improve efficiency and effectiveness. The Director of Finance explained which processes were being

prioritised in this phase: a project looking at the payment of expenses was underway; a review of the procurement process up to the point of payment was also in its initial stages; thereafter the management of research grants from application to completion of project and aspects of student management would be tackled. The last included all processes linked to a student's career at the University and would be the most complex of the reviews.

Members of the Committee thanked the auditors for a thorough piece of work, which, although it had not brought many surprises, was an important tool in assisting the University in addressing long-standing interface and support issues between academic schools and central service directorates.

(3) Progress Report as at 2 March 2010

Following discussions between the auditors and senior management, it had been proposed that work on collaborations & partnerships be deferred to 2010/11. Additionally, the originally proposed reviews of the IT control environment and the TRAC process were not considered necessary in 2009/10 since there a good deal of work had been done this year in the general IT area, and following the TRAC review of 2008/9, it was not felt necessary to conduct a similar review this year. It was therefore proposed that audit work be carried out in the following areas during the remaining part of the year: roll-out of the PECOS procurement system; library provision; and space management.

Resolved: to approve the changes to the audit plan for 2009/10.

4. **FINANCIAL REGULATIONS**

The Deputy Director of Finance introduced a draft set of financial regulations intended as a high level document which would be underpinned by a series of operating procedures and policies. The documents had been considered by the Senior Management Team and by College Secretaries and Directors of the Student & Academic Support Services. The Finance & Policy Committee had endorsed the regulations at its meeting on 1 February 2010.

Members suggested that the remit of the Ethical Review Committee should be added to appendices for completeness' sake. The Committee considered whether the capital expenditure threshold for Court should be raised from its current £1m, but was satisfied on reflection that the current threshold was appropriate. It was noted that the regulations would provide useful introductory information for new Court members and new Audit Committee members in particular.

Resolved: to recommend to Court that it approve the Regulations (annex refers).

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

The Committee received a report of the Sub-Committee's meeting on 20 January 2010.

Resolved: to note the report.

6. **LEGAL MATTERS**

The Committee a received an update on legal matters from the University Solicitor and the Clerk to Court.

7. **FRAUDULENT ACTIVITY**

The Director of Finance brought to the Committee's attention that the University had recently received an anonymous allegation of fraudulent activity. In response the University had reported the matter to the Chairman of Court and had also asked the internal auditors to carry out an investigation. The outcome of the investigation was that the allegation was found to have no substance.

8. INTERNAL AUDIT TENDER

Following withdrawal from the meeting of the internal auditors, the Committee discussed the tender for internal audit services, in light of the approaching end to the current auditors' contract on 31 July 2010. Because of the size of the contract being tendered, it would be necessary to advertise in accordance with EU procurement directives.

The Director of Finance proposed that the length of the contract to be awarded should be so arranged to allow for alignment of the internal and external audit tenders in 2014.

- Resolved:**
- (i) to instruct the Director of Finance to begin the tender process;
 - (ii) to agree provisionally to set aside the morning of 26 May 2010 to hear presentations from shortlisted firms; and
 - (iii) to agree to the alignment of internal and external audit contracts in 2014.

UNIVERSITY OF DUNDEE

Financial Regulations

Approved by the University Court
at a meeting held on 26 April 2010.

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TERMINOLOGY

In these Regulations the following references shall bear the following meanings:

'Budget-holder' shall mean College Vice-Principals, School Deans and Directors of support services.

'Financial Memorandum' shall mean the Financial Memorandum entered into between the Scottish Further & Higher Education Funding Council (Scottish Funding Council) and the University of Dundee in force for the time being.

'The Funding Council' shall mean the Scottish Further & Higher Education Funding Council (Scottish Funding Council).

'The Regulations' shall mean these Financial Regulations.

'University' shall mean the University of Dundee.

'University Court' shall mean the University Court of the University of Dundee.

Throughout these Regulations gender references shall apply equally to male and female.

A GENERAL PROVISIONS

1 Background

The University is an independent corporation, whose legal status derives from a Royal Charter granted in 1967. Its objects, powers and framework of governance are set out in the Charter and its supporting Statutes, as amended from time to time by University Court with the approval of the Queen and the Privy Council respectively.

The University is a charity within the meaning of Section 506(1) of the Income and Corporation Taxes Act 1988 (ICTA 1988) and is recorded on the index of charities maintained by the Office of the Scottish Charity Regulator (Charity No. SC015096) under the provisions of The Charities and Trustee Investment (Scotland) Act 2005.

The Financial Memorandum between the Funding Council and the University sets out the terms and conditions on which grant is made. The governing body (University Court) is responsible for ensuring that conditions of grant are met. The Financial Regulations of the University form part of this overall system of accountability.

2 Status of Financial Regulations

The Financial Regulations were approved by University Court on 26 April 2010. They apply to the University and all its subsidiary entities and are subject to regular review

The Financial Regulations are subordinate to the Royal Charter and to any restrictions contained within the University's Financial Memorandum with the Funding Council.

The purpose of these Financial Regulations is to provide control over the totality of the University's resources and provide management with assurances that the resources are being properly applied for the achievement of the University's objects and of the University's strategic plan and business objectives while:

- ensuring financial viability;
- achieving value for money;
- fulfilling its responsibility for the provision of effective financial controls over the use of public funds;
- ensuring that the University complies with all relevant legislation; and
- safeguarding the assets of the University.

Compliance with the Financial Regulations is compulsory for all staff connected with the University. It is the responsibility of Budget-holders to ensure that staff are made aware of the existence and content of the University's Financial Regulations.

The Audit Committee is responsible for maintaining a continuous review of these Financial Regulations, through the Director of Finance, and for advising University Court of any additions or changes necessary.

The University's detailed financial procedures set out how these Regulations will be implemented and are contained in separate documents available via the Finance intranet site.

B CORPORATE GOVERNANCE

3 Authority of University Court in respect of these Regulations

The authority for the Regulations shall be University Court, which shall have sole responsibility for approving any amendments.

4 Schedule of Delegation and Decision-Making Powers

The specific powers reserved to University Court and those delegated to others are set out in the Schedule of Delegation and Decision-Making Powers, which can be viewed at <http://www.somis.dundee.ac.uk/court/policy/scheduleofdelegation.htm>

5 University Court – Financial Responsibilities

University Court is responsible for making such arrangements as are appropriate and as it thinks fit for the conduct of the financial affairs of the University, subject to any conditions which may be imposed as conditions of payment of grant from the Funding Council, as set out in the Financial Memorandum.

The primary financial responsibilities of University Court are to:

- oversee the management of all of the revenue and property of the University and to exercise general control over its affairs, purposes and functions, taking all final decisions on matters of fundamental concern to the institution;
- ensure the solvency of the University and to safeguard its assets;
- approve the mission of the University and its strategic plans, setting out its aims and objectives in teaching and research and identifying the financial, physical and staffing requirements for their achievement;
- approve a financial strategy, long-term business plans and annual budgets;
- monitor the University's performance against approved plans and key performance indicators;
- ensure the proper use of public funds awarded to the University and observance of the terms of the Financial Memorandum between the University and the Scottish Funding Council;
- act as trustee for any legacy, endowment, bequest or gift in support of the University's activities;
- establish and monitor effective systems of internal control and accountability throughout the University;
- to oversee the University's arrangements for internal and external audit and to approve the University's annual financial statements.

6 Designated (or 'Accountable') Officer

The Principal is the designated officer of the University and as such will be required to satisfy University Court that there is compliance with all such conditions as may be prescribed by the Funding Council. The designated officer may be required to appear before committees of the Scottish Parliament along with the Chief Executive of the Funding Council on any matter relating to grant to the University which arises before such committees.

The designated officer is responsible for advising University Court if at any time in his opinion any action or policy of University Court is incompatible with the terms of the Financial Memorandum with the Funding Council. In the event of University Court deciding nevertheless to proceed with such action or policy, the designated officer is required to inform the Chief Executive of the Funding Council in writing.

The Principal shall, together with the Chairperson of University Court and the Director of Finance, be required to sign the University's annual financial statements.

7 Committee Structure

University Court has ultimate responsibility for the University's finances, but delegates specific powers and processes to certain committees that it has established and that are detailed below. These committees are accountable to University Court.

7.1 Finance and Policy Committee

University Court has a Finance and Policy Committee whose terms of reference and membership are as set out in annex a.

The Finance and Policy Committee is *inter alia* responsible to University Court for the overall financial arrangements of the University. The Committee considers and reports to University Court on the development, implementation and review of financial strategy, policy and procedures. It also considers and reports on the annual estimates of income and expenditure, the capital programme and all proposals for the borrowing of money.

7.2 Audit Committee

University Court has an Audit Committee whose terms of reference and membership are as set out in annex b.

The Audit Committee is responsible to University Court for ensuring compliance with the relevant requirements placed on the University in terms of the Financial Memorandum with the Funding Council.

The Committee considers the financial statements for each financial year and may recommend to University Court that they be approved. The Committee has the right of access to obtain all the information it considers necessary and to consult directly with the internal and external auditors.

7.3 Human Resources Committee

University Court has a Human Resources Committee whose terms of reference and membership are as set out in annex c.

The Human Resources Committee is responsible for strategy, policy and procedures relating to staffing matters.

7.4 Remuneration Committee

University Court has a Remuneration Committee, whose terms of reference and membership are set out in annex d.

The Remuneration Committee considers and determines the pay and conditions of the senior officers of the University.

7.5 Governance & Nominations Committee

University Court has a Nominations Committee whose terms of reference and membership are as set out in annex e.

The Governance & Nominations Committee advises University Court on any matter pertaining to the University's framework for corporate governance and on membership of University Court and its Committees.

7.6 Ethical Review Committee

University Court has an Ethical Review Committee, whose terms of reference and membership are set out in annex f.

The Ethical Review Committee acts on behalf of the Court in ensuring that the University meets its obligations under the Animals (Scientific Procedures) Act 1986.

8 Others with Financial Responsibility

8.1 Director of Finance

The Director of Finance is responsible to the Principal, in the latter's role as designated officer, for the administration of the financial affairs of the University and for ensuring that proper financial records are kept and that adequate and effective methods and procedures for financial control are followed.

The Director of Finance reports to the Principal and shall provide regular reports on estimates, budgets, and monthly and annual financial statements.

The Director of Finance shall keep the Principal and the Audit Committee informed of (i) any material changes in the University's procedures and controls and (ii) any instance of material failure to comply with approved procedures and controls.

The Director of Finance shall advise the Principal and University Court and its committees on relevant financial matters; and, on behalf of the Principal and as required by the Financial Memorandum, shall ensure that adequate financial and accounting arrangements are made within the University and throughout all Colleges and Services.

The Director of Finance or his authorised representative shall have authority to (a) enter at all reasonable times any University premises in relation to relevant financial matters, (b) gain access to all records, documents and correspondence relating to any financial or other transactions of the University, (c) require and receive such explanations as are, or as he deems to be, necessary concerning any financial matter under examination, and (d) require any employee of the University to produce money, goods or other University property under that employee's control.

8.2 University Secretary

The Secretary is responsible, under the direction of the Principal, for the administration of the University, including the overarching management of Student and Academic Support Services.

8.3 Budget-holders

Budget-holders are responsible for financial management for the areas or activities they control. They are advised by the Director of Finance in executing their financial duties. The Director of Finance will also supervise and approve the financial systems operating within their cost centres, including the form in which accounts and financial records are kept. Budget-holders are responsible for establishing and maintaining clear lines of responsibility and accountability within their College or Service for all financial matters.

Budget-holders will provide the Director of Finance with such information as may be required to enable (a) compilation of the University's financial statements, (b) implementation of financial planning; and (c) implementation of audit and financial reviews, projects and value for money studies.

8.4 All members of staff

All members of staff of the University and its subsidiary entities shall be aware of, and have a general responsibility for, the security of the University's property, for avoiding loss and for due economy in the use of resources.

Members of staff shall ensure that they are aware of the University's financial authority limits and the values of purchases for which quotations and tenders are required (see section 21 of these Regulations).

They shall make available any relevant records or information to the Director of Finance or to his authorised representative in connection with the implementation of the University's financial policies, these Financial Regulations and the systems of financial control.

They shall provide the Director of Finance with such financial and other information as he deems necessary from time to time, to carry out the requirements of University Court.

Members of staff shall immediately notify the Director of Finance whenever any matter arises that involves, or is thought to involve, irregularities concerning, *inter alia*, the funds or property of the University. See also section 10 of these Regulations on whistleblowing.

9 Risk Management

The University acknowledges the risks, including financial risks, inherent in its business and is committed to managing those risks. University Court has overall responsibility for ensuring that there is a risk management policy and associated Risk Register and that there are appropriate processes for the identification, evaluation and monitoring of individual significant risks. University Court has adopted a risk management strategy and this is implemented through a Risk Management Monitoring Group, which is chaired by the University Secretary.

10 Whistleblowing

Whistleblowing in the context of the Public Interest Disclosure Act is the disclosure by an employee (or other party) of suspected malpractice in the workplace.

The full policy and procedures for whistleblowing are set out in the University's Public Interest Disclosure (Whistleblowing) Policy, which is available from the University's website at <http://www.somis.dundee.ac.uk/court/policy/whistle.htm>

11 Code of Conduct

The University is committed to the highest standards of openness, integrity and accountability. It seeks to conduct its affairs in a responsible manner, having regard to the principles established by the Committee on Standards in Public Life, which members of staff at all levels are expected to observe. These principles are set out in annex g.

Members of University Court and senior officers of the University are required to disclose interests in the University's Register of Interests maintained by the University Secretary, and for ensuring that entries in the Register are kept up to date.

No member of University Court or member of staff will be a signatory to a contract on behalf of the University where he also has a personal interest in the activities of the other party.

It is an offence within the Prevention of Corruption Act 1906 for members of staff to accept corruptly any gift or consideration as an inducement or reward for doing, or refraining from doing, anything in an official capacity or showing favour or disfavour to any person in an official capacity. The guiding principles to be followed by all members of staff must be;

- the conduct of individuals should not create suspicion of any conflict between their official duty and their private interest
- the action of individuals acting in an official capacity should not give the impression that they have been (or may have been) influenced by a benefit to show favour or disfavour to any person or organisation

Thus, members of staff should not accept any gifts, rewards or hospitality (or have them given to members of their families) from any organisations or individual with whom they have contact in the course of their work that would cause them to reach a position whereby they might be, or might be deemed by others to have been, influenced in making a business decision as a consequence of accepting such gifts, rewards or hospitality. The frequency and scale of hospitality accepted should not be significantly greater than the University would be likely to provide in return.

When it is not easy to decide between what is and what is not acceptable in terms of gifts or hospitality, the offer should be declined or advice sought from the University Secretary, who will maintain a register of gifts and hospitality received where the value is other than nominal. Members of staff in receipt of such gifts or hospitality are obliged to notify the University Secretary promptly.

See also section 8.4 on staff responsibilities and section 27 on corruption and fraud.

C FINANCIAL MANAGEMENT AND CONTROL

12 Financial Planning

The Director of Finance is responsible for preparing financial forecasts for submission to the Funding Council. These financial forecasts should be consistent with the University's Strategic Framework and strategies approved by University Court, such as Research, Learning and Teaching, Estates, IT, Human Resources. They include Income & Expenditure, Balance Sheet and Cash Flow forecasts and their scope includes a projected out-turn for the current year along with forecasts for the following three years.

The Director of Finance is responsible for preparing each year an annual revenue budget for consideration by Finance and Policy Committee before submission to University Court for approval.

The Director of Finance must ensure that budget-holders are notified as soon as their budgets are approved by University Court. Budget-holders are responsible for the economic, effective and efficient use of budgets.

Capital expenditure includes all expenditure on land, buildings, equipment, vehicles, furniture and associated costs, whether or not they are funded from capital grants or from internally generated resources. Capital expenditure over £1m will be subject to approval by University Court.

Major capital projects should be supported by:

- a statement that demonstrates the project's consistency with the University's Strategic Framework and subsidiary strategies;
- a full risk assessment and project plan;
- a capital budget for the project, which should include a comprehensive statement of costs and proposed funding sources;
- a financial evaluation of the project, including investment appraisal, cash flow forecast, and impact on revenue budgets;
- a demonstration of compliance with tendering procedures and Funding Council requirements.

Following completion of a capital project, a final report should be submitted to Finance and Policy Committee including actual expenditure against budget, both for costs and for funding sources, along with other issues affecting completion of the project.

Business plans for projects involving non-capital expenditure will be subject to approval by the University Secretary and Director of Finance, the Senior Management Team, or Finance and Policy Committee, according to the thresholds contained in the Schedule of Delegation and Decision-Making Powers.

Proposals should be supported by:

- a statement that demonstrates consistency with the Strategic Framework and subsidiary strategies;
- details of the business and what product or service will be delivered;
- details of the business case, including market assumptions;
- details of all resources required to deliver the business;
- a financial evaluation of the proposal, including its impact on revenue, sensitivity analysis, and consideration of taxation issues.

In planning and undertaking overseas activity, the institution must have due regard to the relevant guidelines issued by the Funding Council and the Quality Assurance Agency and to the University's internationalisation strategy.

13 Financial Control

The control of income and expenditure within an agreed budget is the responsibility of the designated budget-holder, who must ensure that day-to-day monitoring is undertaken effectively. Significant

departures from agreed budgetary targets must be reported immediately to the Director of Finance and, if necessary, corrective action taken.

The budget-holders are assisted in their duties by management information provided by the Director of Finance, in particular monthly management accounts. The types of management information available to the different levels of management are described in the detailed financial procedures, together with the timing at which they can be expected.

The Director of Finance is responsible for supplying budgetary reports on all aspects of the institution's finances to Finance and Policy Committee. These reports are presented to University Court, which has overall responsibility for the institution's finances.

At the year end, budget-holders will not normally have the authority to carry forward a balance on their recurrent budget to the following year. Any requests to do so on an exceptional basis would be considered in the context of the setting and review of the subsequent year's budget.

Non-recurrent funds allocated to budget-holders for equipment shall be disbursed or committed within a specified period of time, failing which any funds not committed shall be reallocated.

14 Accounting Arrangements

The University's financial year will run from 1 August until 31 July.

The Director of Finance shall be responsible at the end of each financial year for the preparation of the Financial Statements which, after consideration by the Finance and Policy Committee and Audit Committee, shall be submitted to University Court for approval.

The Financial Statements shall be audited by an independent external auditor appointed by University Court as provided for in section 15.2 below.

The Financial Statements are prepared in accordance with the Statement of Recommended Practice, 'Accounting for Further and Higher Education', subject to any specific requirements of the Funding Council.

The Director of Finance is responsible for the retention of financial documents. These should be kept in a form that is acceptable to the relevant authorities. The institution is required by law to retain prime documents for six years, including invoices, bank statements and payroll records. The Director of Finance will make appropriate arrangements for the retention of electronic records. Retention arrangements must also comply with specific requirements of funding organisations, for instance EU bodies.

The Director of Finance is responsible for advising budget-holders on all taxation issues and will issue instructions on compliance with statutory requirements including those concerning VAT, import duty, Corporation Tax, PAYE and National Insurance. The Director of Finance is responsible for maintaining the institution's tax records, making tax payments, receiving tax credits, and submitting tax returns by their due date as appropriate.

15 Audit

15.1 General

External and internal auditors shall have authority to:

- access University premises at reasonable times;
- access all assets, records, documents and correspondence concerning any matter under examination;
- require and receive such explanations as are necessary concerning any matter under examination;
- require any employee of the University to account for cash, stores or any other University property under his control;
- access records belonging to third parties, such as contractors, when required.

15.2 External Audit

The Audit Committee shall, after consideration and on advice received, appoint an independent external auditor. The Audit Committee shall keep under review its external audit arrangements and conduct a formal review at the end of each contract period. Subject to the outcome of such review, University Court shall formally reappoint the external auditor each year.

The primary function of the external auditor will be to report on the Financial Statements of the University and to carry out such examination of the statements and underlying records and control systems as is necessary to reach their opinion on the statements. The external auditor's report shall also cover the regularity of transactions (in other words, whether the terms and conditions attached to the funds provided to the University have been completed).

The Director of Finance is responsible for drawing up a timetable for final accounts purposes and will advise staff and the external auditor accordingly.

15.3 Internal Audit

The Audit Committee shall appoint an internal auditor or an internal audit service for the purpose of providing University Court with assurance on the adequacy and effectiveness of the University's system of internal control. The contract for internal audit services should be tendered at least every five years.

The responsibility for the maintenance and operation of the systems of internal control shall remain fully with officers of the University.

The internal audit service remains independent in its planning and operation but has direct access to University Court, the Principal and the Convenor of the Audit Committee.

15.4 Value for money

University Court is responsible for delivering value for money from public funds. It should keep under review its arrangements for managing all the resources under its control, taking into account guidance on good practice from time to time by the Funding Council, Audit Scotland, or other relevant bodies.

Internal audit is to have regard to value for money in its programme of work. This will be used to enable the Audit Committee to refer to value for money in its annual report.

15.5 Other auditors

The institution may, from time to time, be subject to audit or investigation by external bodies such as the Funding Council, Audit Scotland, the Scottish Government, European Court of Auditors and HM Revenue & Customs. They have the same right of access as external and internal auditors.

16 Treasury Management

The University's treasury management policy shall be determined by University Court on the advice of the Finance and Policy Committee, which shall take into account current advice issued by the Funding Council or other relevant public bodies.

16.1 Banking Arrangements and Borrowing Powers

The University's bankers shall be appointed by University Court on the recommendation of the Finance and Policy Committee following a competitive tendering process. The appointment shall be subject to regular review.

No member of staff of the University other than the Director of Finance, acting on the authority of University Court, shall open a bank account either in the name of the University or otherwise into which shall be paid any monies which belong to the University or which may be due to the University.

Cheques and other documentation issued by the University's bank shall be held in safe custody as directed by the Director of Finance.

All cheques shall bear the signatures of authorised officers from a list of such officers as shall be approved by University Court. Two signatures shall be required to operate University bank accounts.

All automated transfers on behalf of the University, such as BACS or CHAPS, must be authorised in the appropriate manner. Details of authorised persons and limits shall be set out in financial procedures.

The Director of Finance is responsible for ensuring that all bank accounts are subject to regular reconciliation and that large or unusual items are investigated as appropriate.

The bank accounts shall not be overdrawn in excess of a sum approved by University Court and the University's bankers.

16.2 Borrowing

The University's borrowing powers are set out in the Royal Charter and the Schedule of Delegation and Decision-Making Powers.

16.3 Investments

The Director of Finance shall be responsible for placing funds for investment in accordance with the investment policies approved by the Finance and Policy Committee and shall provide, as required, reports to the Committee on such investments. The Finance and Policy Committee shall take account of advice from investment advisers and managers as appropriate.

17 Income

17.1 Maximisation of income

The Director of Finance is responsible for ensuring that appropriate procedures are in operation to enable the institution to receive all income to which it is entitled.

It is the responsibility of all staff to ensure that revenue to the institution is maximised by the efficient application of agreed procedures for the identification, collection and banking of income. In particular, this requires the prompt notification to the Director of Finance of sums due so that collection can be initiated.

The Director of Finance is responsible for ensuring that all grants notified by the Funding Council and other bodies are received and appropriately recorded in the University's accounts.

The Director of Finance is responsible for ensuring that all claims for funds, including research grants and contracts, are made by the due date.

17.2 Receipt of cash, cheques and other negotiable instruments

The Director of Finance is responsible for the prompt collection, security and banking of all income received. All monies received by and for the University shall be passed promptly to the Finance Office for immediate lodging in the University's bank account. The Director of Finance shall keep accurate chronological records of such deposits.

Receipts shall normally be issued in acknowledgement of all sums received, unless some other form of control is in operation with the consent of the Director of Finance. All receipt forms, invoices, tickets or other official documents in use and electronic collection systems must have the prior approval of the Director of Finance.

All payments shall be paid over gross and no payments shall be set off against receipts. Under no circumstances shall income be used to make petty cash disbursements, borrowed by staff for personal use, or used for the cashing of personal cheques.

17.3 Collection of debts

In accordance with the University's Debt Policy, the Director of Finance shall ensure that:

- debtor invoices are raised promptly on official invoices
- invoices are prepared with care, showing the correct amount due with VAT correctly charged where appropriate
- monies received are posted to the correct debtor account

- swift and effective action is taken in collecting overdue debts, in accordance with financial procedures
- overdue debts are monitored and reports prepared for management.

Only the Director of Finance can implement credit arrangements and indicate the periods in which different types of invoices must be paid.

The Director of Finance has authority to write off debts.

17.4 Student Fees

The procedures for collecting tuition fees and residence fees must be approved by the Director of Finance, who is responsible for ensuring that all student fees due to the institution are received.

18 Research Grant and Contracts

All income arising from research grants and contracts awarded to staff of the University shall be vested in the University.

All expenditure on pay and non-pay items in respect of research grants and contracts shall be governed by the Regulations.

Where approaches are to be made to outside bodies for support for research projects or where contracts are to be undertaken on behalf of outside bodies, it is the responsibility of the budget-holder to ensure that the financial implications have been appraised in order to ensure that there is adequate provision of resources to meet all commitments. This will include obtaining a set of grant terms and conditions from each organisation providing funding to enable appropriate monitoring of compliance.

The research agreement must be in line with the institution's policy with regard to recovering the full economic cost of research projects, taking into account different procedures for the pricing of research depending on the nature of the funding body.

All staff engaging in research or service contracts are required to follow the Guidelines approved by University Court.

The Director of Finance shall maintain financial records relating to all research grants and contracts and shall initiate all claims for reimbursement from sponsoring bodies by the due date. Each grant or contract will have a named principal investigator and will be assigned a unique cost centre or project code within the College/School.

Control of pay and non-pay expenditure may be delegated by the budget-holder to the grant holder but any overspend or under-recovery of overheads is to be the clear responsibility of the College/School, with any loss being a charge on it.

Many grant-awarding bodies and contracting organisations stipulate conditions under which their funding is given. In addition, there are often procedures to be followed regarding the submission of interim or final reports or the provision of other relevant information. Failure to respond to these conditions often means that the institution will suffer a significant financial penalty. It is the responsibility of the named grant-holder to ensure that conditions of funding are met. Any loss to the University resulting from a failure to meet conditions of funding will be charged to the College/School.

19 Other income-generating activity

19.1 Commercial activity

Commercial activity includes all income-generating activity other than core teaching or research funded by a public or charitable body. All commercial activity shall be priced in such a way as to provide a surplus over the full economic cost of the activity, unless there is a clear commercial or financial justification.

The Director of Finance shall maintain financial records relating to all commercial activity. Control of pay and non-pay expenditure may be delegated by the budget-holder to the lead consultant but any unexpected loss on the contract will be the responsibility of the College/School.

19.2 Private consultancy

Private consultancy is external paid work done by a member of staff which makes no demands on the University and for which the University has no liability or responsibility. It does not include acting as an external examiner at another institution.

The University permits staff to undertake up to 30 days private consultancy or other external work per annum, so long as approval is obtained from University Court. Applications must:

- be supported by the budget-holder, who must confirm that the work involved will not interfere with the applicant's University research, teaching or administration duties;
- include certification that no use, direct or indirect, will be made of University facilities whatsoever and that the work will involve no other reference to the University;
- be approved by the University Secretary, if the expected remuneration in aggregate for all private consultancies undertaken by the member of staff does not exceed £10,000 in any period of 12 months, or by the Principal and the Convenor of the Finance and Policy Committee, if the sum is greater.

Staff who undertake private consultancy will be responsible for insurance and taxation and are prohibited from using University Intellectual Property.

Further information is contained in the 'Guidelines on Research and Service Contracts, Institutional/Private Consultancies, Patents and Commercial Exploitation through Licensing and Spinout Company Activity' at http://www.somis.dundee.ac.uk/court/policy/cons_res_serv.pdf

19.3 Off-site collaborative provision

Any contract or arrangement whereby the University provides education to students away from institution premises and in collaboration with a partner, or with the assistance of persons other than the University's own staff, must be subject to the following procedures.

The contract shall be subject to scrutiny by University Court. They shall consider the risk factors associated with the proposed partnership and agree an appropriate entry in the University's Risk Register. It shall also be subject to scrutiny by Senate, who shall be responsible for approving academic standards and quality assurance arrangements.

There shall be a Memorandum of Agreement signed by the Principal and on behalf of the partner organisation before any provision is made. The contract shall comply at least with the Funding Council model contract, as amended from time to time.

19.4 Matched funding

Any project which involves matched funding requires the approval of the budget-holder, acting on the advice of the Director of Finance and of Research and Innovation Services, prior to any commitment being entered into. Such approval shall be dependent upon the relevant budget-holder being able to demonstrate that eligible matching funds are available and that the project is financially viable.

19.5 Intellectual Property

The procedures to deal with the ownership and exploitation of intellectual property are set out in the Guidelines on Research and Service Contracts.

20 Endowment and Trust Funds

The Director of Finance shall ensure the proper and safe custody of all funds administered by University Court and shall make the necessary arrangements for the proper administration of each fund in accordance with the conditions laid down by the trust or other deed.

The Director of Finance is responsible for maintaining financial records in respect of gifts, benefactions and donations made to the University and for initiating claims for recovery of tax where appropriate.

21 Expenditure

21.1 Scheme of Delegation

Each budget-holder is responsible for expenditure within his area of responsibility. Authority to incur expenditure may be delegated to named members of staff within the budget-holder's area of

responsibility. In exercising this delegated authority, members of staff are required to observe these financial regulations and all related procedure manuals.

The following duties must be appropriately segregated:

- placing orders or awarding contracts;
- receiving goods;
- checking invoices;
- authorising invoices.

(Paper-based systems) The Director of Finance shall maintain a register of authorised signatories and budget-holders must supply him with specimen signatures of those authorised to authorise orders, invoices, payroll instructions etc.

(Electronic systems) The Director of Finance shall control the creation of requisitioners and authorisers and their respective financial limits.

The Director of Finance must be notified immediately of any changes to those authorised to commit expenditure, including staff leavers.

21.2 Procurement

The University requires all budget-holders, irrespective of the source of funds, to obtain supplies, equipment and services at the lowest possible cost consistent with quality, delivery requirements and sustainability, and in accordance with sound business practice and statutory regulations. Factors to be considered in determining lowest cost are noted in the detailed financial procedures.

The Director of Finance is responsible for:

- taking such action as necessary to ensure that the University's procurement policy and procedures as contained in the Procurement Manual are known and observed by all involved in purchasing for the institution;
- advising on matters of procurement policy;
- advising budget-holders where required on specific purchases;
- developing appropriate contracts and approved supplier arrangements to assist budget-holders in meeting their value for money obligations;
- ensuring that the University complies with EU regulations on public purchasing policy.

Where possible, orders should be placed using University or consortium contracts or approved suppliers. Where a suitable contract is not in place, procedures covering tenders and quotations should be followed.

Details of these procedures can be found in the University's Procurement Manual.

21.3 Purchase orders

The ordering of goods and services shall be in accordance with the University's detailed financial and procurement procedures.

Official University orders must be placed for the purchase of all goods or services using the University's electronic purchase order processing system wherever possible, except those made using purchasing cards or petty cash. All purchase orders must refer to the University's conditions of contract.

21.4 Purchasing cards

The operation and control of the institution's purchasing cards is the responsibility of the Director of Finance.

Holders of purchasing cards must use them only for the purposes for which they have been issued and within the monthly and single transaction limits set by the Director of Finance. Cards must not be loaned to another person and must not be used for personal or private purchases. Cardholders should obtain approval to purchase from the relevant budget-holder. The Director of Finance shall determine what information is required on purchases made with purchasing cards from cardholders to enable financial control to be maintained and cardholders must provide that information by the specified date.

Details of the operation of the scheme are set out in the relevant financial procedure.

21.5 Building contracts

Building contracts are administered by the University's Director of Campus Services.

Consultants may be appointed if the project is too large or too specialised for internal resources. Appointments shall be subject to tendering and will comply with the University's Procurement Manual.

Investment appraisals should be prepared for all major projects in conjunction with the Director of Finance for consideration by Finance and Policy Committee and approval by University Court. Investment appraisals should comply with appropriate funding body guidance.

Where appropriate, following consideration by the Committee and approved by University Court, submissions should be forwarded to the Funding Council. If the required agreement is secured, the Funding Council procedures should then be followed. The Funding Council guidance on good practice should be followed even when approval is not required.

21.6 Receipt of goods

All goods shall be received at designated receipt and distribution points. They shall be checked for quantity and/or weight and inspected for quality and specification. A delivery note shall be obtained from the supplier at the time of delivery and signed by the person receiving the goods.

If the goods are deemed to be unsatisfactory, the record shall be marked accordingly and the supplier immediately notified so that they can be collected for return as soon as possible. Where goods are short on delivery, the record should be marked accordingly and the supplier immediately notified.

All persons receiving goods on behalf of the University must be independent of those who negotiated prices and terms and authorised the official order.

21.7 Payment of invoices

The procedures for making all payments shall be in a form specified by the Director of Finance.

The Director of Finance is responsible for deciding the most appropriate method for payment for categories on invoice. Payments to UK suppliers will normally be made by BACS transfer or computer cheque.

Invoice payments will only be made against orders which have been authorised by the budget-holder. Payment will be made if:

- the goods have been received, examined and approved with regard to quality and quantity or that services rendered are satisfactory;
- the goods/services have been checked against the official purchase order;
- invoice details are correct as regards quantity, unit price, discount etc;
- the invoice is arithmetically correct;
- the invoice has not previously been passed for payment;
- where appropriate, an entry has been made on a stores record or inventory;
- he has specified an account code for which he is an authorised signatory and which is appropriate to the nature of the goods/services.

Where the purchase order has been placed via the electronic system, payment may be made against invoices that can be matched to a receipted order.

Internal charging from one department to another will be by journal entry following satisfactory delivery of goods or performance of service.

21.8 Staff reimbursement

The University's purchasing and payment procedures are in place to enable the majority of goods and services to be procured without staff having to incur any personal expense. However, on occasion staff may incur expenses where it is clearly not practicable for the University to procure these, particularly in relation to travel. Reimbursement of expenses shall be by BACS transfer.

Where this is the case, the University's financial procedures on travel and subsistence expenses must be strictly adhered to. Members of staff and other persons authorised to travel on official University business shall do so in accordance with these procedures, with the general object of using the most

cost-effective and convenient form of transport appropriate to the circumstances. All arrangements for overseas travel must be approved by the budget-holder or line manager in advance of committing the University to those arrangements or confirmation of any travel bookings.

Where spouses, partners or other persons unconnected with the institution intend to participate in a trip, this must be clearly identified in advance and agreement to the reimbursement to the University of the expected costs shall be obtained in advance of travel.

All claims for reimbursement shall be counter-signed by a signatory other than the claimant. This will usually be the authorised signatory on the relevant cost centre. If the claimant is himself the authorised signatory, the claim should be counter-signed by his line manager. If the claimant is senior to the authorised signatory, the claim should be counter-signed by both the authorised signatory and the claimant's line manager. All claims shall be submitted to the Finance Department within one month of the claimant's return to the University and claims submitted thereafter will not normally be accepted.

Authorisation of an expense claim shall be taken to mean that:

- the travel was authorised
- the expenses were properly and necessarily incurred and receipts have been supplied as required
- consideration has been given to value for money in choosing the mode of transport.

21.9 Petty cash

Where necessary, staff may purchase certain items and claim reimbursement from the University or department petty cash. A petty cash voucher should be completed, indicating the item purchased and the account code to be charged. It must be signed by the member of staff and an authorised signatory, and must be supported by a receipt.

Where necessary, the Director of Finance may make available to departments such imprests as he considers necessary for the disbursement of petty cash expenses. It is important for security that any department petty cash imprests are kept to a minimum. The member of staff granted a float is personally responsible for its safe-keeping. The petty cash box must be kept locked in a secure place in compliance with the requirements of the University's insurers when not in use and will be subject to periodic checks by the budget-holder or another person nominated by him.

Under no circumstance shall official petty cash floats be borrowed or used for personal purposes for the cashing of personal cheques or for the payment of salaries.

Cash rolls from suppliers tills which do not give details of the items purchased are not acceptable as receipts for petty cash purposes and suppliers should be requested to supply an itemised receipt.

21.10 Payments to students

Payments to students on behalf of sponsoring organisations shall be made on the authority of the Director of Finance, on the basis of detailed supporting documentation supplied by the relevant department.

21.11 Late payment rules

The Late Payment of Debts (Interest) Act 1998 was introduced to give small businesses the right to charge interest on late payments from large organisations and public authorities. It has now been extended to medium, large and public sector organisations. Interest can be charged at 8% above Bank of England base rate.

In view of the penalties in this Act, departments should ensure that invoices are authorised without undue delay.

22 Pay Expenditure

22.1 Remuneration policy

All University staff will be appointed to the salary scales approved by University Court and in accordance with appropriate conditions of service. All letters of appointment shall be issued by the Human Resources Department.

Salaries and other benefits for senior management will be determined by the Remuneration Committee appointed by University Court.

22.2 Appointment of staff

All contracts of service shall be concluded in accordance with the institution's approved personnel practices and procedures. Offers of employment of casual hourly-paid temporary or part-time staff must secure appropriate prior approval, with such offers being made in accordance with the procedures in force from time to time.

Budget-holders shall ensure that the Director of Human Resources and the Director of Finance are provided promptly with all information they may require in connection with the appointment, resignation or dismissal of employees.

22.3 Salaries

The Director of Finance shall be responsible for the payment of all salaries and all appropriate deductions therefrom and shall account for all such payments and deductions to the appropriate authorities or agencies. Payment of salaries shall be made in arrears through BACS.

All timesheets and other pay documents, including those relating to fees payable to external examiners, visiting lecturers or researchers, will be in a form and to a timescale prescribed or approved by the Director of Finance.

All payments must be made in accordance with the University's detailed financial procedures and comply with HMRC regulations.

The Director of Finance shall be responsible for keeping all records relating to payroll, including those of a statutory nature.

22.4 Superannuation schemes

University Court is responsible for undertaking the role of employer in relation to appropriate pension arrangements for employees.

The two principal pension schemes for the University's staff are the Universities

Superannuation Scheme (USS) and the University of Dundee Superannuation and Life Assurance Scheme (UODS). Also for former academic and support staff of Duncan of Jordanstone College of Art and of Northern College, contributions are paid to the Scottish Teachers Superannuation Scheme (STSS) and two local government schemes, Strathclyde Pension Fund and Tayside Superannuation Fund. A small number of staff are allowed to remain in the NHS Scheme for Scotland on appointment,

The Director of Finance is authorised by members of staff who participate in any of the above Schemes to deduct from their salary payments the appropriate percentage of income due to the Scheme. If they participate in the associated 'salary sacrifice' scheme, alternative arrangements apply. The University contributes for each participating member of staff at the rate laid down by the relevant Scheme from time to time.

The Director of Finance is responsible for the management of pension arrangements, including:

- paying contributions to various authorised superannuation schemes
- preparing the annual return to various superannuation schemes
- administering eligibility to pension arrangements.

22.5 Allowances for members of University Court

Claims for out-of-pocket expenses from members of University Court shall be authorised by the University Secretary.

22.6 Severance and other non-recurring payments

Severance payments shall only be made in accordance with relevant legislation and under any scheme that may be in place. Payments above the thresholds set by the Funding Council require to be approved by the Remuneration Committee. Professional advice should be obtained where necessary and the HR Directorate involved in all such cases.

23 Property and Assets

23.1 Property

Contractual arrangements for the purchase, disposal, lease or rent of land, buildings or fixed plant shall be jointly authorised by the University Secretary and the Director of Finance.

23.2 Equipment

Budget-holders shall exercise responsibility and control on behalf of University Court in respect of all equipment, furniture, goods, cash and other property within their department and shall ensure that proper and effective inventories or records of them are maintained for audit and other inspection and in accordance with such guidelines as may be issued from time to time. Budget-holders shall provide details of such inventories and stocks from time to time as may be required by the Director of Finance.

The University shall maintain an asset register for all land and buildings and for equipment purchases above the University's capitalisation threshold. This shall form the basis for relevant entries within the University's annual financial statements and for such other purposes as may be required. The Director of Finance shall ensure that the register is properly maintained, recording all additions and disposals, and reflecting any relocation or deterioration.

23.3 Stocks and stores

Budget-holders are responsible for establishing adequate arrangements for the custody and control of stocks and stores within their department. The systems used for stores accounting must have the approval of the Director of Finance.

Budget-holders are responsible for ensuring that regular inspections and stock checks are carried out. Stocks and stores of a hazardous nature should be subject to appropriate security checks and health and safety arrangements.

Where stocks require valuation in the balance sheet, the budget-holder must ensure that the stock-taking procedures in place have the approval of the Director of Finance and that instructions to appropriate staff within their departments are issued in accordance with advice contained in the University's financial procedures.

23.4 Vehicles

All vehicles owned or operated by the University shall be used only in accordance with the regulations governing such use as are currently in force.

23.5 Security

Keys to safes or other similar containers are to be kept secure by those responsible at all times. The loss of such keys must be reported to the Director of Finance immediately.

The Director of Information Services shall be responsible for maintaining proper security and privacy of information held on the University's computer network. Appropriate levels of security will be provided, such as passwords for networked PCs together with restricted physical access for network servers. Details of these controls are contained in the appropriate IT policies.

Information relating to individuals is subject to the provisions of the Data Protection Act 1998. The University's Records Manager is the designated data protection officer for the University and is responsible for ensuring compliance with the Act and the safety of documents.

23.6 Personal use

Assets owned or leased by the University shall not be subject to personal use without proper authorisation.

23.7 Asset disposal

Disposal of equipment and furniture must be in accordance with procedures contained in the detailed financial procedures.

Disposal of land and buildings must only take place with the authorisation procedures set out in the Schedule of Delegation and Decision-Making Powers. The Funding Council consent may also be required if exchequer funds were involved in the acquisition of the asset.

24 Insurances

As part of the overall risk management strategy of the University, all risks will have been considered and those most effectively dealt with by insurance will have been identified. This is likely to include those important potential liabilities which are insurable and will provide sufficient cover to meet any potential risk to all assets.

The Director of Finance shall be responsible for maintaining adequate insurance for property, personal and other appropriate risks, whether statutory or otherwise, and shall deal with all claims on behalf of University Court.

Budget-holders are required to immediately inform the Director of Finance of any alterations which will or might affect existing risks or require additional or new cover.

Budget-holders are responsible for all equipment, stock and other items under their control and shall ensure that, where there is a requirement for independent inspection for general safety or to comply with legislation, such inspections are carried out timeously and that suitable records are kept which shall record any defects noted at the time of inspection and the remedial measures taken.

Budget-holders shall immediately notify the Director of Finance of any loss, damage or injury which may give rise to an insurance claim. If a loss results from theft or other criminal offence, the Director of Finance shall be notified immediately irrespective of whether the loss or damage caused as a result thereof shall be a matter in respect of which an insurance claim may be made or not.

Items of equipment or stock shall not be removed from the University for official use without the prior permission of the budget-holder. Any such movement of items of equipment or stock should be notified to the Director of Finance for insurance purposes. No equipment or stock of whatever nature shall be removed from the University other than for approved University use.

All staff using their own vehicles on behalf of the University shall maintain appropriate insurance cover for business use and may be required to produce the relevant records demonstrating such cover.

25 Subsidiary Entities

In certain circumstances it may be advantageous to the University to establish a company or a joint venture to undertake activities on behalf of the University. The establishment of subsidiary entities shall be jointly authorised by the Principal and the Director of Finance. The process involved in forming a subsidiary entity and arrangements for monitoring and reporting on the activities of these entities are documented in the financial procedures.

The Director of Finance shall report annually on subsidiary companies where the University is the sole or majority shareholder to University Court, via the Finance and Policy Committee, except where they are dormant. He will also submit business plans or budgets as requested to enable the Committee to assess the risk to the University. The directors of such companies are responsible for appointing external and, where appropriate, internal auditors for the company.

Where the University is the sole or majority shareholder in a company, that company's financial year shall be consistent with that of the University. The financial statements of subsidiary companies shall be submitted to University Court for approval.

All companies and their subsidiaries in which the University has an interest shall be governed by the requirements of the Companies Acts. All wholly-owned companies shall also operate within the spirit of these Regulations, provided that such operation is not in conflict with the Companies Acts and is not specifically over-ridden by a resolution of or separate guidelines issued by such a company.

26 Students' Association

The Students' Association is a separate legal entity from the University but is recognised to fulfil a valuable role in relation to the University's students.

The Students' Association is responsible for maintaining its own bank account and financial records and preparing its own financial statements. These will be audited by an appropriately qualified firm of auditors and will be presented to the Finance and Policy Committee for information.

In accordance with an agreement between the University and the Students' Association, the University's internal auditor shall have access to records, assets and personnel within the Students' Association in the same way as other areas of the University.

27 Fraud

Misuse or misappropriation of the assets and funds of the University is a serious disciplinary matter which can ultimately lead to criminal proceedings.

It is the duty of all members of staff, management and University Court to notify the University Secretary immediately whenever any matter arises which involves, or is thought to involve, irregularity, including fraud, corruption or any other impropriety. Staff should refer to the the following policies for more guidance:

- Policy Statement on Fraud – Prevention and Investigation. See: <http://www.somis.dundee.ac.uk/court/policy/fraud>
- Public Interest Disclosure (Whistleblowing). See: <http://www.somis.dundee.ac.uk/court/policy/whistle.htm>

The University Secretary shall take action according to the Code, including some or all of the following key elements:

- he shall notify the Principal and the Convenor of the Audit Committee of the suspected irregularity and shall take such steps as he considers necessary by way of investigation and report;
- he shall inform the police if a criminal offence is suspected of having been committed;
- any investigation will be carried out by the Internal Auditors or another officer of the University;
- the outcome of any investigation shall be reported to the Audit Committee, the Principal and the Chairperson of University Court;
- any significant cases of fraud or irregularity shall be reported to the Funding Council.

If the suspected fraud is thought to involve the University Secretary or the Principal, the disclosure should be made to the Principal or the Chairperson of University Court respectively. If the individual does not wish to raise the matter with either the University Secretary or the Principal, he may raise it with the Convenor of the Audit Committee or the Chairperson of University Court.

Finance and Policy Committee

1. To advise University Court on the finances and overall financial health of the University in the light of government policies on higher education and public spending, the resource allocation policies of SFC and the main research funders, and the operational performance of the University;
2. To set the financial parameters within which the University operates;
3. To approve financial forecasts;
4. To approve annual budgets and to monitor performance in relation to those budgets;
5. To approve the allocation of resources to support University strategies and plans;
6. To approve projects involving major capital spend;
7. To exercise oversight of all aspects of the management and development of the University's estate, and associated services and facilities, on its various campuses; and
8. To review draft strategic planning documents and to consider their resource implications.

Membership

There is no fixed size or membership for the Committee. Members are drawn from lay and staff members on University Court, and it is custom and practice for a Vice-Principal also to be a member. Both the Principal and the Chairperson of University Court are members of the Committee, but the Convener is another lay member of University Court. A lay majority on the Committee is preferred.

In Attendance

Convener of the Audit Committee
University Secretary
Director of Finance
Deputy Director of Finance
Director of Information Services & Deputy Secretary
Director of Campus Services
Director of Strategic Planning

Secretary

Clerk to Court.

Meetings

As and when required but normally at least four times per year.

Quorum

There is no stated quorum.

Audit Committee***Remit***

To advise University Court in relation to its responsibilities for:

1. proper financial management;
2. the effectiveness of internal control and management systems;
3. safeguarding the assets of the University and public funds;
4. the economy, efficiency and effectiveness of the University's activities; and
5. corporate governance and conduct of the University's operations.

Membership

The normal membership of the Committee is six members. All members are independent, at least half drawn from the lay membership of University Court, whence also the Convener is drawn. Remaining members are co-opted with the approval of the Governance & Nominations Committee.

In Attendance

Convener of the Finance & Policy Committee
University Secretary
Director of Finance
Deputy Director of Finance
Internal Auditors
External Auditors
Other officers at the discretion of the Director of Finance

Secretary

Clerk to Court.

Meetings

The Committee shall meet 4 times in each session. One meeting each year will incorporate a private meeting of the Committee with the internal and external auditors without officers present.

Quorum

Three members shall constitute a quorum.

Human Resources Committee***Remit***

1. To maintain and review a human resources strategy for the University in support of the institution's wider objectives and to promote staff welfare;
2. To develop, implement and review principles, policies and procedures on all personnel-related matters for all staff employed by the University, and to ensure that these comply with the requirements of relevant employment legislation;
3. To monitor and review all health and safety arrangements within the University affecting staff, students and visitors and to advise University Court on statutory and other requirements relating to its responsibilities for health and safety;
4. To monitor and evaluate the University's staff development policies and to promote relevant developmental opportunities for staff;
5. To sustain and evaluate an equal opportunities policy for the University and to sponsor programmes of action in support of the policy; and
6. To oversee the staff consultative process with the recognised trades unions and to advise University Court accordingly.

Membership

There is no fixed size or composition for the Committee, which is chaired by a lay member of University Court. The membership contains both lay and staff members from University Court, supplemented with additional members of staff to achieve a balanced representation of staff groups, and including usually one of the Vice-Principals.

In Attendance

University Secretary
Director of Finance
Director of Human Resources
Other officers at the discretion of the Director of Human Resources

Secretary

Deputy Director of Human Resources

Meetings

The Committee shall meet three times in each session.

Quorum

There is no stated quorum.

Remuneration Committee

Remit

To review on behalf of University Court the remuneration of professorial and equivalent staff and of the Principal.

Membership

The Committee normally comprises four members, including the Chairperson of University Court and the Convener of the Human Resources Committee. All members are lay members of University Court.

In Attendance

The Principal (as required)
The University Secretary (as required)

Secretary

Director of Human Resources

Meetings

At least once in each session.

Quorum

There is no stated quorum.

Governance & Nominations Committee*Remit*

1. To advise Court on any matter pertaining to the University's framework for corporate governance and its operation, including, but not limited to:
 - i. The role and manner of election of the Chairperson of University Court;
 - ii. Compliance with external governance requirements and consideration of matters of best practice;
 - iii. Oversight of the University's Charter, Statutes and Ordinances (in consultation with the Senate);
 - iv. Oversight of University Court's standing orders and any other documents relating to the role and conduct of University Court members and to the mechanisms for the smooth operation of University Court and its Committees;
 - v. Oversight of the election procedures for elected members of University Court (where appropriate, in discussion with the relevant electing body);
2. To make recommendations to University Court on the appointment of University Court members who are not elected, nor *ex officio* in terms of the Statutes; and
3. To recommend to University Court the membership of University Court committees.

Membership

There is no fixed size or membership to this Committee. It generally includes the conveners of the other University Court committees as well as the Principal, supplemented by additional lay and staff University Court members. It is chaired by the Chairperson of University Court.

In Attendance

The University Secretary

Secretary

Clerk to Court

Meetings

At least twice in each session.

Quorum

There is no stated quorum.

Ethical Review Committee***Remit***

1. To act on behalf of the Court in ensuring that the University meets its obligations under the Animals (Scientific Procedures) Act 1986;
2. To maintain an ethical review process; and
3. To determine policy on all matters relating to animals on University premises.

Membership

The membership comprises the Director of Biological Services, Named Persons under the Animals (Scientific Procedures) Act 1986 and a pool of scientific and lay (i.e non-scientific) members from whom the attendees for each meeting are drawn.

Secretary

Director of Biological Services

Meetings

Meetings are scheduled monthly throughout the year, although a meeting may be cancelled if, in the opinion of the Convener and the Director of Biological Services, there is no substantive business requiring immediate consideration. Some business may be transacted by correspondence between meetings.

Quorum

At least two scientific members, two Named Persons and one lay member.

THE SEVEN PRINCIPLES OF PUBLIC LIFE**FROM THE REPORT OF THE COMMITTEE FOR STANDARDS IN PUBLIC LIFE
(THE NOLAN REPORT)****SELFLESSNESS**

Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their families or their friends.

INTEGRITY

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that may influence them in the performance of their official duties.

OBJECTIVITY

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

ACCOUNTABILITY

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

OPENNESS

Holders of public office should be as open as possible about all their decisions and the actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

HONESTY

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

LEADERSHIP

Holders of public office should promote and support these principles by leadership and example.