

UNIVERSITY OF DUNDEE

UNIVERSITY COURT

A meeting of the Court was held on Monday 14 June 2010.

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

In Attendance: Vice-Principal Professor J Calderhead, Vice-Principals Professors AH Anderson, DA Cantrell and CA Whatley (Minute 69-73), Professor JM Connell (Minute 69-73), Miss S McMichael (President of the Sports Union, for Minute 69), Mr C Kelly (President-elect of the Students' Association), Secretary, Director of Finance, Director of Information Services & Deputy Secretary, Directors of Human Resources, Strategic Planning and External Relations, Mr R Isles and Clerk to Court

Apologies: Mr R Burns

69. SPORTS UNION

(1) Annual Report

Miss McMichael presented a report from the Sports Union for 2009/10. She highlighted the solid relationships being built between the Union, the Institute of Sport & Exercise (ISE) and the Students' Association; and in particular set out the concept of Dundee University Sport: a close partnership between the Sports Union and the ISE, which would see a co-ordinated approach to sports development at the University. This entailed a number of constitutional changes to the operation of the Sports Union (Minute 69(2) refers). Miss McMichael also reported on the success of events throughout the year as well as on the performance of the University within British Universities & Colleges Sport (BUCS), where this year the University had slipped a few places in the overall ranking to 42nd, although the scoring methodology masked the strongly improved performances of 20 of the University's 37 teams. Both the University Secretary and the President of the Students' Association paid tribute to Miss McMichael's hard work and dedication over the past year, underlining the fact that the Sports Union was now on a much firmer footing than in previous years. The collaboration between ISE and the Sports Union was to be particularly welcomed.

(2) Sports Union Constitution

The Court received amendments to the Constitution of the Sports Union (**Appendix 1**, which contains the Constitution plus Appendices 1, 5 and 8 only), for which, under Ordinance 55, Court approval was necessary. The amendments were in the main a result of the collaboration with ISE,

substituting a Dundee University Sport Management Group for the role previously exercised by the Sports Union's Finance Committee. There were also revised procedures for handling elections and by-elections. Otherwise, the changes were minor and/or typographical in nature.

The Court decided: to approve the changes to the Constitution as proposed.

70. MINUTES

The Court decided: to approve the minutes of the meeting on 26 April 2010.

71. MATTERS ARISING

(1) Strategic Review: Book & Paper Conservation Unit (Minute 59)

The Court noted that agreement in securing the future of the Unit had now been reached and in particular that, in reaching agreement, a series of meetings had been held with the staff concerned as well as with the campus unions.

(2) Governance & Nominations Committee: Ordinances 18, 20 & 45 (Minute 61)

The Court decided: to confirm its decision, taken at the meeting on 26 April 2010, to approve amendments to Ordinances 18 (Election of Members of the Court and the Senatus), 20 (Graduates' Council) and 45 (Election of Member of Court by the Non-Teaching Staff) (Minute 61 of meeting on 26 April 2010 refers).

(3) Dignity at Work & Study Appeal (Minute 68(2))

The Court noted that a Committee, established to hear an appeal against a decision following the outcomes of an investigation under the University's Dignity at Work & Study Policy, had heard and partially upheld the appeal and that as a result the matter had now been satisfactorily resolved.

72. PRINCIPAL'S REPORT

The Court received a report from the Principal (**Appendix 2**). In presenting the report, the Principal spoke of the current economic and political situation and the likely effects on public spending.

In discussion, Court members requested that it receive a report at a subsequent meeting which set out the University's performance in the main league tables, including information on the methodological differences between tables, details of the key factors influencing the University's relative position and measures that might improve the University's standing. The recent Sunday Times ranking had been disappointing, and the Court wished to understand the mechanisms at play.

In answer to a question about alignment of teaching and research, the Principal made clear that this should not be taken as an absolute, but rather that alignment should be enhanced where appropriate. He noted that there were a number of courses which were not directly aligned to research activity but which were nevertheless successful.

In view of the news that the University had been successful in its bid for funds from the Wellcome Trust/Wolfson Foundation for the Centre for Translational & Interdisciplinary Research, the Principal advised that the Finance & Policy Committee and Court would consider a full capital proposal in the normal way.

73. **STRATEGIC REVIEW**

The Court received an update from the Senior Management Team on progress being made with the Strategic Review (**Appendix 3**). Included in the update were three appendices: i) summaries from each of the Colleges and from the Student & Academic Support Services (SASS) on the individual projects being taken forward under the review, ii) notes from the Colleges and SASS on the level of consultation undertaken so far; and iii) a document outlining a proposed Human Resources strategy in support of the review. The review was now at a critical transitional phase; having developed overriding themes within the Senior Management Team and in the Colleges and SASS, it was important through the current phase of consultation to encourage ownership of the individual projects in the review by the staff in the Schools and the SASS Directorates. There was good evidence that the consultation process was proving fruitful and that individual Schools and Directorates were embracing many of the projects. As the current phase developed, it was important for Schools and Directorates to begin considering how the projects would be implemented.

In discussion, the President of the Students' Association (DUSA) voiced concern that the timing of the review meant that students might not be fully engaged in consultation. The Principal emphasised the importance of student involvement and saw no reason that consultation with students should not continue into the new session, once students had returned. Court noted also the implementation of more regular and formal liaison meetings between the Principal's Office and the DUSA Executive. The Court continued with a wider discussion of the consultation process, and members were as a result re-assured that the process had been open and transparent and had endeavoured to be as inclusive as possible.

In view of the possibility that a voluntary severance scheme would be established as part of the review, Court members were keen to understand the effects on the University staffing complement of the previous scheme which closed in 2009, and the Director of Human Resources was asked to provide a report to Court which analysed the outcomes of that scheme and any subsequent changes in staff numbers. The Director of Human Resources also advised the Court that discussions were ongoing to establish an Avoidance of Redundancy Agreement with the campus unions. As far as the proposal for a new scheme was concerned, it was clear that the individual project proposals contained in the review were neither sufficiently mature enough to allow staff to be able to make informed decisions about the attractiveness of voluntary severance, nor for senior management to take decisions in relation to whether or not individual applications could be accepted. For this reason it had been decided to delay a proposal to Court for the introduction of a new scheme until the

proposals had been further developed and full consultation in relevant areas had been concluded.

The Court also discussed the decision-making processes involved in the review. Since the individual projects related to activity within Schools and Directorates, it was appropriate that Deans/Directors and Heads of Colleges/University Secretary should be able to make the relevant management decisions, except where the University's Schedule of Delegation and Decision-making required that approval be sought as appropriate within the University's governance framework (for example, where Court had reserved specific powers to itself, or where a matter required the approval of the Senate). Court was reassured to note that equality impact assessments would be carried out as a matter of course for the constituent projects in the review.

The Court broadly welcomed the commitment, contained in the update, to developing a new strategic plan for the University against a background of detailed consideration of the University's branding and market positioning.

- The Court decided:**
- (i) to note the ongoing development of projects over the summer (including a second phase of consultation on the detail of individual projects);
 - (ii) to note the decision-making process associated with the implementation of projects;
 - (iii) to note the proposal in relation to the implementation of a voluntary severance scheme; and
 - (iv) to approve the proposal that consideration of the branding and positioning of the University and the development of a new strategic plan form the basis of discussions at the Court Retreat in September.

74. FINANCE & POLICY COMMITTEE

The Court received a report from the meeting of the Committee on 17 May 2010 (**Appendix 4**).

The Court decided: to approve the report.

75. BUDGET 2010/11 & FINANCIAL PROJECTIONS

The Director of Finance presented the University's budget for 2010/11 along with financial projections for the period to 2012/13. The current end-of-year forecast for 2009/10 was for an operating surplus of £1.5m, and the budget for 2010/11 represented an improvement on this position to an operating surplus of £2m. There were, however, a number of key risks associated with it, notably opacity surrounding the level of knowledge transfer grant, the possibility of clawback from the Scottish Funding Council (SFC) once its funds for 2011/12 were known, and uncertainties surrounding the current pay negotiations as well as in student recruitment. The

Director highlighted the significant progress already made in increasing the levels of research overhead recovery and taught postgraduate recruitment since 2006/7.

The Director then set out the projections for the period to 2012/13, which forecast an operating breakeven position for 2012/13 on the basis of flat SFC funding and continued increases in both research funding and overseas recruitment. The Court sounded a note of caution in relying too heavily on the expectation that SFC funding would remain flat; there was a likelihood that universities in Scotland would see a decline.

Given the uncertainties in the current economic situation vis-à-vis Westminster spending cuts, the Director also presented a series of potential financial scenarios, based on the inherent risks contained in the projections: SFC funding stability, maintaining recruitment and research funding targets, etc. Of particular importance was the effect of these possible scenarios and the financial projections on the level of capital funding that could be expected over the period. With likely reductions in capital funding, the University would need to consider where its priorities lay; and in any event would need to manage its cash extremely carefully to avoid increased borrowing.

The Court thanked the Director for what it considered an extremely clear and well-structured presentation, which allowed members to understand fully the funding landscape and its potential effects on the University.

The Court decided:

- (i) to approve the proposed budget for 2010/11; and
- (ii) to approve the Strategic Plan Forecast and commentary for submission to the Scottish Funding Council.

76. GOVERNANCE

(1) Governance & Nominations Committee

The Court received a report from the meetings of the Committee on 17 May 2010 and 2 June 2010 (**Appendix 5**). Mr Wright, who had convened the meeting, reported on the process used to interview and select suitable candidates for membership of the University Court: each had been interviewed by a panel consisting of at least one lay member and one academic member of Court, and each had also separately met with the Principal and the University Secretary. The quality of the applications had been high and the level of response through the external press advertisement had been pleasing.

The Court decided:

- (i) to approve the appointments of Mr Jo Elliot, Ms Christina Potter and Mr Andrew Richmond as lay members in terms of Statute 9(1)(l) for the period 1 August 2010 to 31 July 2014;
- (ii) to approve the appointments of Dr Marriage as Convener of the Audit Committee, of Mr Burns as Convener of the Finance & Policy Committee

and of Mr Sanderson as Convener of the Governance & Nominations Committee;

- (iii) to approve the composition of the Committees of Court as proposed for 2010/11, noting that the Governance & Nominations Committee would want to consider how best to accommodate the second student Court member on appropriate committees at its next meeting;
- (iv) to approve formally the merger of the Finance & Policy Committee and the Campus Services Committee, following the success of the pilot arrangements over the last year, and
- (v) otherwise, to approve the report.

(2) Emergency Committee

The Court decided: to remit the transaction of any urgent Court business over the summer to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairman of Court and the Convener of the Finance & Policy Committee) and one other academic member; the precise composition would be subject to availability. A report on any action taken would be submitted to the first business meeting of 2010/11.

77. **SENIOR APPOINTMENTS**

The Court discussed arrangements for the appointment of Vice-Principals & Heads of College for the Colleges of Art, Science & Engineering and Life Sciences. Court members were concerned to ensure sufficient transparency for what were Court appointments.

- The Court decided:**
- (i) to request that the Senior Management Team devise a more clear and explicit process for appointment to these posts, which allowed for early consideration of internal candidates of appropriate standing, but which maintained transparency and openness in the recruitment process and provided sufficient opportunity for appropriate oversight by Court;
 - (ii) to approve the continuation of Professor Cantrell's appointment as Acting Vice-Principal & Head of the College of Life Sciences in the interim; and
 - (iii) to note that the Principal was involved in discussions internally to determine appropriate interim arrangements for the College of Art, Science &

Engineering, following the resignation of Professor Anderson.

78. **STRATEGIC FRAMEWORK: BENCHMARKING**

The Court received a report from the Director of Strategic Planning which set out the University's progress against a set of key performance indicators in comparison with other institutions and groupings in the sector. Of concern were the areas of entry standards and employability, where the University had fallen back in common with several comparator institutions. Areas showing positive change were in research efficiency and teaching quality. Court members discussed in particular the University's performance on employability criteria, and in particular sought reassurance that the University was taking this seriously and was analysing the data with reference to individual Schools' performances.

79. **HONORARY FELLOWS**

The Court received a proposal from the University Secretary to establish a group of Honorary Fellows of the University, whose members would be nominated on the basis of having made, and having the potential to continue to make, an outstanding voluntary contribution to the life and work of the University.

The Court decided: to approve the establishment of a group of Honorary Fellows as proposed (**Appendix 6** refers).

80. **BANKING FACILITIES – LETTER OF VARIATION**

The Court received notification from its bankers (Barclays Bank plc), via a Letter of Variation, of amendment to a facility letter dated 11 January 2005 wherein the bank agreed to provide a Facility Agreement to the University of Dundee (that is, the University's £20m revolving credit facility).

The Court decided:

- (i) that the amended terms and conditions of the Facility Agreement as set out in the Letter of Variation were approved and accepted; and
- (ii) that Mr Robert Kennedy and Dr Jim McGeorge were authorised to sign on behalf of University of Dundee the copy of the Letter of Variation to indicate acceptance of the amended terms and conditions.

81. **COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

The Court received a report from the meeting of the Senate on 2 June 2010 (**Appendix 7**).

- The Court decided:**
- (i) to note that the Senate had agreed to the establishment of a pool of its members to act as Senate nominees in the composition of Grievance Committees;
 - (ii) to approve, subject to ratification at the business meeting taking place at the Court Retreat on 3 September 2010, an amendment to Ordinance 39 such that the text: 'A graduate of the University of Dundee is a person who has been awarded one or more of the degrees given in paragraph 1(1) above, ...' be replaced with:

'A graduate of the University of Dundee is a person who has been awarded one or more of the degrees or qualifications given in paragraph 1(1) and 2 above, ...';

noting that such a change would permit students receiving postgraduate certificates and diplomas to attend graduation ceremonies.
 - (iii) otherwise, to note the report.

82. HUMAN RESOURCES COMMITTEE

The Court received a report from the meeting of the Committee on 24 May 2010 (**Appendix 8**). In relation to a question concerning reportable student injuries, it was noted that the higher than average incidence related to scalpel injuries and was explicable by the fact that the University provided teaching in clinical subjects and that students in Duncan of Jordanstone College of Art & Design undertook extensive craft work.

The Convener of the Committee encouraged Court members to complete their equality and diversity training as a matter of urgency.

One member raised points of clarification in relation to comments raised at the University & College Union Local Joint Committee concerning the Academic Council, its membership and the possibility of introducing open meetings for all staff.

- The Court decided:**
- (i) to ask the Clerk to Court to contact members with information on completing the equality and diversity training; and
 - (ii) otherwise, to approve the report.

83. AUDIT COMMITTEE

The Court received a report from the meeting of the Committee on 26 May 2010 (**Appendix 9**).

- The Court decided:**
- (i) to approve the appointment of KPMG for the provision of internal audit services for the period 1 August 2010 to 31 July 2013, with the possibility of renewal thereafter for one further year; and
 - (ii) otherwise, to approve the report.

84. STAFF

(1) Grievance Committee

The Court decided: to note that a Committee, established in accordance with the decision of Court at its meeting on 26 April 2010 and with the composition: Professor Y Muschamp (Convener), Dr J Lowe and Professor CA MacKintosh, had heard a grievance brought by a member of the academic staff under Statute 16 and had decided to uphold the grievance.

(2) Appeal under Statute 16

The Court decided: to approve the establishment of an Appeal Committee under the terms of Statute 16 paragraph 28 with the following composition:

Mr Sandy Meiklejohn (Convener; Partner, Blackadders)
 Dr J Lowe (Lay Court member)
 Professor CT Reid (Senate nominee).

85. FAREWELLS

The Court said farewell to three of its members for whom the meeting was to be their last: Mr Andrew Smith, Ms Alison Newton and Mr John Milligan, departing Chairman.

In paying tribute to Mr Smith, the Chairman emphasised his dedication and readiness to stand his ground on issues on which he felt passionate. The Chairman thanked him for his industry as a Court member and for his advocacy on behalf of the students. For his part, Mr Smith had enjoyed his time on Court and would be taking very positive memories of Dundee with him into his new career.

The Chairman spoke of his personal sadness in seeing Ms Newton leave the Court. She had a quick-witted talent and tremendous capacity for getting to the heart of matters; her experience and professional skills would be sorely missed. For her part, Ms Newton spoke admiringly of the quality of the University's graduates and likewise affirmed that she had thoroughly enjoyed her term of office on the University Court and the close relationship with the University.

The Principal paid tribute to Mr Milligan, who had proven himself an honest and steadfast friend of the University, and who had steered the Court confidently through a period of great change. Court members were to have the opportunity to thank Mr Milligan personally at the Court supper later that evening, but nonetheless joined the Principal in thanking Mr Milligan for his enthusiasm for and loyalty to the University.

APPENDIX 1**UNIVERSITY OF DUNDEE SPORTS UNION – CONSTITUTION
(Minute 69(2))****1. Name**

- 1) The name of the Association shall be the University of Dundee Sports Union, hereafter referred to as the Sports Union.

2. Interpretation

- 1) In this Constitution unless otherwise stated:

- a. University refers to University of Dundee
- b. Council refers to Sports Union Council
- c. Executive refers to Sports Union Executive Committee
- d. ISE refers to Institute of Sport and Exercise
- e. SUS refers to Scottish Universities Sport
- f. BUCS refers to British Universities and Colleges Sport
- g. Club refers to a properly constituted sports club that is approved by the Sports Union for the purpose of membership
- h. Associate Club refers to a club who have not yet reached the criteria for a fully affiliated Sports Union club as set out in 15.
- i. DUSMG refers to Dundee University Sport Management Group

3. Aim

- 1) The aim of the Sports Union shall be to provide opportunities for sport for all its members in such a way as to foster an ethos based on identity and pride within the University.

4. Objectives

- 1) To foster awareness of sport within the University
- 2) To increase participation in sport in the University
- 3) To promote and facilitate competition in sport both within the University and between Universities
- 4) To promote and encourage competition within local and national leagues
- 5) To work in partnership with ISE in establishing Dundee University Sport as the sustainable unified framework for the delivery of sport at the university.
- 6) To work within a SUS/BUCS Framework to support the competitive development of sport at a national and international level.
- 7) The Sports Union will ensure the implementation of the Kukri Sports Agreement to provide team and leisure wear for all SU clubs. The Kukri Sports Agreement will be re-evaluated on conclusion of contract.
- 8) To support the SU Design and Promotion Team as a way to market and raise awareness of sport.
- 9) Ensure the adherence of the reciprocal agreement between the SU and Dundee University Students Associations (DUSA) to ensure the needs of students are fulfilled

5. Resources of the Sports Union

- 1) The Sports Union must apply all its property and income towards the promotion of its objectives.
- 2) Minibuses will be serviced and maintained to be used solely by SU clubs as transport for fixtures and training.

6. Membership of the Sports Union

- 1) Ordinary membership shall be open to all fully matriculated members of the University over the age of 16.
- 2) Associate membership shall be open to any individual who is interested in furthering the objectives of the Sports Union, but who is not a matriculated student of the University. Clubs are allowed to have up to 30% of their total membership made up from Associate members. Anything greater than this has to be approved by the Sports Union Executive prior to membership being granted.
- 3) Club affiliated membership shall be open to any Club that is interested in furthering the objectives of the Sports Union. The number of new Clubs allowed to join the Sports Union each year will be at the discretion of the Executive. Affiliation of Clubs to the Sports Union must be through nomination in accordance with clause 15 of the Sports Union Constitution.
- 4) Social membership is open to any individual interested in promoting and supporting the Sports Union, but who does not wish to participate in the playing of activities of the association.
- 5) Honorary Vice Presidents shall be elected annually by Council and shall number up to seven but not less than five and have membership to the Sports Clubs free of charge during their term of office.
- 6) Membership of Sports Union Clubs may be terminated by the Sports Union Executive.

7. Subscriptions

- 1) Ordinary membership of the Sports Union will be without charge but any participating member must pay a subscription to the relevant Club as set out in terms of their own constitution, being above the Sports Union minimum recommendation.
- 2) Minimum subscriptions to Clubs shall be approved at the Annual General Meeting, upon the recommendation of DUSMG.
- 3) The membership year shall be from Freshers' Week (week zero) at the start of the academic year. Sports Union Matriculation shall be carried out on the 2nd week of Term, all club members MUST attend matriculation, regardless of club membership exemptions. Failure to attend matriculation means that you are not affiliated to the Sports Union or insured, therefore you are ineligible to train or compete for your University. Individuals who miss matriculation through reasons outwith their control or may be interested later in the year are required to make an appointment with the Sports Union.
- 4) Decisions relating to eligibility for ordinary membership and associate membership shall be made by individual Clubs subject always to 6ii.

8. Council

- 1) The Council shall consist of:
 - a. The Honorary President and Honorary Vice Presidents in an advisory capacity
 - b. The Members of the Executive
 - c. The Club Captain or Executive Member from each affiliated Club of the Sports Union (Associate clubs must attend council however in a non voting capacity).
 - d. The President or a sabbatical officer of the Students' Association can attend council in an advisory capacity. In the same capacity that the Sports Union President sits on the Students' Representative Council
 - e. The Director, Assistant Director and the Sports Development Officer of the ISE in an advisory capacity
 - f. One representative from University Court and Senate in an advisory capacity
 - g. The administrative secretary of the Sport Union in a non voting capacity
 - h. Not more than two additional members co-opted by Council
 - i. Outgoing President of the SU in an advisory capacity

9. Executive Committee

- 1) The officers of the Sports Union, elected under the procedures specified in Appendix 8 shall be:
 - a. The President
 - b. Vice President (Sport)
 - c. Vice President (Events)
 - d. Honorary Secretary
 - e. Communications officer
 - f. Campus Sport Officer
 - g. Mini-bus Officer
 - h. Administrative Secretary (Advisory Capacity)
- 2) Powers of the Executive are as follows:

To appoint committees and subcommittees of its own number and delegate any of the powers and functions of the Executive.
- 3) All members of the Executive shall hold office for one year (starting from the 1st July on par with Presidents term of office)

10. Duties of Officers

- 1) **The President shall be the official representative of the Sports Union and his/her duties shall include:**
 - a. To chair all meetings of the Sports Union including: Council, Executive and Blues & Colours and jointly chair DUSMG with Assistant Director of ISE. To generally oversee the day to day running of the Sports Union
 - b. To provide the highest level of representation for all Sports Union Clubs on bodies as determined by the University.
 - c. To represent the University of Dundee on external bodies such as SUS Athletic Union Forum and Committees, BUCS Committees and Dundee City Sports Council
 - d. To work in partnership with the ISE to further the provision and development of sport and exercise opportunities for students.

- e. To represent the Sports Union on the DUSA Students' Representative Council.
 - f. To represent the Sports Union at the University Liaison Meetings
 - g. To delegate, approve and oversee the organization of his/her executive and their duties. To exercise the powers and fulfill the duties of the Executive in an officer's absence or failure to fulfill their duties
 - h. Record and keep private the decisions of the Blues and Colours Committee. Publish a list of awards granted.
 - i. Co-ordinate with other Universities and SUS on the fulfillment of fixtures.
 - j. Sit on any further SU Sub-Group Committees
- 2) The duties of both Vice-Presidents shall be:**
- a. To exercise the powers and fulfill the duties of the President in that officer's absence
 - b. To sit on the Executive and Blues and Colours Committees of the Sports Union and DUSMG in a voting capacity
 - c. To attend all sub-committees set up by the Executive and Council
 - d. The Vice Presidents will also be on hand to help executive members with their duties, along with being the next in line should the President require help or assistance.
 - e. Attend all SU events and assist at these events at the discretion of the president
 - f. Attend any other relevant events and meetings at the discretion of the president.
 - g. To assist the President and Administrative Secretary in collating all information for the Sports Union Handbook
 - h. To work in partnership with ISE in the successful management and delivery of DUS aims.
- 3) The duties of the Vice President (Sport) shall be:**
- a. The President will delegate the responsibility of organizing the following events to the Vice President (Sport). The Vice President (Sport) must seek the approval of event plans from the President and then accept the responsibility for the delivery and success of these events.
 - b. A sports day that encourages participation throughout all sports
 - c. A competitive Varsity Challenge
 - d. Any other sporting event thought required by the Sports Union Executive
 - e. All of these events must be working towards the objectives of the Sports Union
- 4) The additional duties of the Vice President (Events) shall be:**
- a. The President will delegate the responsibility of organizing the following events to the Vice President (Events). The Vice President (Events) must seek the approval of event plans from the President and then accept the responsibility for the delivery and success of these events.
 - b. Sports Union Dinner
 - c. Blues and Colours Ball
 - d. Any additional Sports Union event that fulfills the objectives of the Sports Union
- 5) The duties of the Honorary Secretary are:**
- a. To work with the administrative secretary and to keep a record of proceedings of Council and Executive committee meetings and, in the absence of the Administrative Secretary, DUSMG meetings where necessary.
 - b. Sit on the Executive and Blues and Colours Committees and DUSMG in a voting capacity and keep a note of proceedings of the Blues and Colours and Executive meetings.
 - c. To work with the administrative secretary to issue notice of all meetings
 - d. Attend all SU events and assist at these events at the discretion of the President
 - e. Attend any other relevant event at the discretion of the President.
 - f. The Honorary Secretary will also be on hand to help executive members with their duties
- 6) The duties of the Communications Officer shall be:**
- a. Must have a base knowledge of Web design
 - b. To update the website with all club details and other relevant information before the start of term
 - c. To update the fixtures and results weekly
 - d. To update any news article, club info, etc when required
 - e. Attend all SU events and assist at these events at the discretion of the President
 - f. Attend any other relevant event at the discretion of the President.
- 7) The duties of the Campus Sport Officer shall be:**
- a. To work with the SU president and the Sports Development Officer to maintain and develop a recreational campus sport programme
 - b. To assist the Sports Development Officer in the development and delivery of the Campus Sport Programme.
 - c. Attend all SU events and assist at these events at the discretion of the President

- d. Attend any other relevant event at the discretion of the President.
- e. Attend DUSMG meetings as required.

8) The duties of the Mini-bus Officer shall be:

- a. The post holder must be over 21, have 3yrs driving experience and no points on their licence, they also must have passed the Minibus test to fulfill this position
- b. To check that each Sports Union vehicle is road worthy via the Sports Unions Regulations and Requirements.
- c. To drive the buses to and from the garage if required
- d. To be on hand (via mobile) at the weekend should the President not be available to answer their phone.
- e. To attend all SU events and assist at these events at the discretion of the president
- f. To attend any other relevant event at the discretion of the president.
- g. To be on hand to help executive members with their duties

9) The duties of the Administrative Secretary shall be:

- a. To attend meetings of the Council, DUSMG and Executive Committees; in an advisory capacity and as the minute taker.
- b. To keep financial records of all monies paid in or out of the Sports Union Grant. An Income and Expenditure account and Balance Sheet should be made available to the Sports Union council for inspection within six months of the accounting year-end.
- c. To ensure that all income and expenditure are properly accounted for
- d. To establish and oversee a system of internal control to safeguard the Sports Union's income and assets and ensure that all expenditure is properly authorized, has supporting evidence and is recorded. The Administrative Secretary shall arrange an audit of all Clubs at least once a year;
- e. To have special responsibility for all matters relating to the financial management of affiliated Clubs.
- f. To handle the day to day administration of the Sports Union
- g. Ensure that the properties of the Sports Union are maintained.
- h. To sit on the DUSMG in a non voting capacity and contribute to the successful management and delivery of DUS aims.

10) DUSMG is the partnership between the Sports Union and ISE and is responsible for the delivery of Campus, Club and Team Sport in Dundee University.

- a) Management and allocation of the budget provided for Campus, Club and Team Sport
- b) Provision and management of coaching services for clubs
- c) Strategic development of Campus, Club and Team Sport
- d) Setting and reaching relevant objectives and key performance indicators for DUS
- e) Responding to and planning for, the sporting needs of the university community

11) DUSMG shall consist of:

- a. President
- b. Two Vice Presidents
- c. Honorary Secretary
- d. One Honorary Vice President. The Honorary Vice President must be approved by Council.
- e. Administrative Secretary (in an advisory capacity)
- f. Assistant Director of ISE
- g. Sports Development Officer of ISE

12) Quorum for the DUSMG is five voting members.

13) The President will have the power to allocate a total of up to £250 without recourse to the DUSMG, but any decision must be reported at the next DUSMG meeting and reported to the administrative secretary at the time.

11. Safety Committee

- 1) The Safety committee shall be a standing group of the Sports Union and any recommendation should be forwarded to Council.
- 2) The Safety committee will meet upon the call of the President
- 3) The Safety committee should aim to carry out a risk assessment interview with every affiliated club annually
- 4) The purpose of the committee will be to advise and support Clubs in the implementation and good practice of the Safety Policy detailed in Appendix 9.
- 5) The committee shall consist of:

- a. President (Convener)
- b. One Executive member
- c. One Honorary Vice President
- d. Assistant Director of Sport and Exercise
- e. The Sports Development Officer
- f. High Risk Club representative
- g. Low Risk Club representative
- h. Administrative Secretary to minute all information.

12. Blues and Colours Committee

- 1) The Blues and Colours committee shall award Blues and Colours in accordance with the regulations detailed in Appendix 4.
- 2) The committee shall consist of:
 - a. President (Convener)
 - b. Two Vice Presidents
 - c. Honorary Secretary
 - d. One Honorary Vice President (approved by council)
 - e. Current student Full Blue Recipient (approved by council). In the event that there is no current matriculated student is a Full Blue recipient the position will become available to Half Blue Recipients.
 - f. Director, Assistant Director and Sports Development Officer of ISE in an advisory capacity
- 3) Quorum for Blues and Colours meetings will be four voting members.

13. Meetings

- 1) Council Meetings
 - a. There shall be at least three meetings of Council held in each Semester to which all formed and management committee groups should report. The dates of Council meetings shall be given to members at the start of the academic year. Notice of each meeting shall be given by the Administrative Secretary to all members (at least 7 days) in advance. Such notice shall include the date and venue of the meeting, with the agenda and previous minutes.
- 2) Extraordinary Council Meetings
 - a. Extraordinary Council meetings can be called at the request of the President, the Executive, any statutory committee of Council or at least six voting members of Council. Request shall be in writing to an officer of the Sports Union. Notice of the meeting, agenda and papers shall be distributed to all members of Council at least seven days in advance of the meeting.
- 3) Annual General Meeting of Council
 - a. The Annual General Meeting shall be held in Semester 2 before the end of term, but not on a Wednesday, Saturday or Sunday. Notice for the Annual General Meeting shall be at least 14 days in advance of the date. This shall be accompanied with an agenda, a statement of the financial accounts and balances, a proposed budget and the annual report of the Executive. Notice of elections to the Executive shall also be given.
- 4) Executive Committee Meetings
 - a. The Executive shall meet on a fortnightly basis with at least two days notice given of the date and time of each meeting.
- 5) Quorum
 - a. The quorum for a Council meeting shall be two thirds of the membership entitled to vote, and to include at least two officers of the Sports Union Executive.
 - b. Quorum for Executive meetings shall be two thirds of the Executive officers.
- 6) Voting at Council meetings
 - a. Affiliated Clubs shall have one person entitled to vote on behalf of their Club. All ordinary members have the right to attend any meeting of Council but voting will be on the basis of one vote per affiliated Club. Only ordinary members are entitled to vote.
 - b. Voting shall be by a simple majority of those members that are entitled to vote, except in the case of changes to the Constitution when a two-thirds majority shall be required. The President shall have a deliberative vote, with the casting vote in the event of a tied vote.

14. Affiliated Clubs

- 1) Affiliated Clubs shall submit a Constitution, financial accounts, safety notes and inventory of equipment to the Sports Union at the end of the outgoing year. At the start of the incoming year all Clubs will submit an Estimate of Expenditure.
- 2) Affiliated Clubs shall receive a full list of Club contact details from SU Matriculation. It is the duty of the club executive to inform the Sports Union of any additional members who have not yet matriculated. Affiliated clubs must provide a fixture lists (when applicable) to the Sports Union at the start of the incoming year.
- 3) New Clubs may apply for affiliation to the Sports Union through the Sports Union council after fulfilling the criteria:
 - a. Associate clubs must be self sufficient for a one year period commencing on agreement with the SU executive.
 - b. At the end of their preliminary year they must produce a written constitution, open a club bank account and submit a membership list of twenty or more fully matriculated Dundee students.
- 4) New Clubs may apply for assistance from Sports Union grant funding, only after the first year of operation and on submission of a valid constitution, financial accounts, inventory of equipment and estimate of expenditure.
- 5) If any Club ceases to function or has nil membership for two academic years it shall automatically be disaffiliated from the Sports Union.
- 6) The constitution of each Club and any amendments thereto must be approved by the Sports Union Executive.
- 7) The Sports Union will not be liable for debts incurred by its member Clubs.
- 8) If a Club ceases to exist it must give immediate notice in writing to the Sports Union.

15. Insurance and Maintenance of Equipment

- 1) The Sports Union shall not have direct responsibility for the insurance and maintenance of any equipment of a Club unless in respect of equipment which has been bought by the Sports Union and for which responsibility for insurance is specifically approved by DUSMG.
- 2) Insurance of Club's equipment shall be the responsibility of the Club, although they can seek advice and guidance from the Sports Union.
- 3) All Clubs must keep an up to date inventory of equipment. A copy of this inventory with accompanied Safety Notes should be submitted to the Sports Union at the start of the academic year.
- 4) Major repairs or alterations to equipment should be notified to the Sports Union, in advance of work being carried out. Failure to do so may result in grant funding not being available. Emergency repairs should be reported as soon as possible.
- 5) Applications for grant funding for insurance and maintenance of equipment should be submitted to DUSMG.

16. Coaching

- 1) All coaches for any affiliated club must be registered via the Sports Development Officer, who will keep an updated database of all coaches on behalf of the Sports Union.
- 2) Applications for financial assistance to pay for coaching expenses should be made to the DUSMG
- 3) Eligibility for grant funding will be dependent on the submission of a valid coaching application, with all relevant individuals completing the appropriate coaching criteria as set out by the Sports Development Officer and approved by DUSMG with the exception of Clubs using professional coaches employed by commercial facilities. The Sports Development Officer must submit a written report regarding each coaching application to the DUSMG.
- 4) Preferred Criteria for Sports Union Club Coaches:
 - a. Relevant and up to date coaching certificates
 - b. Provide an updated CV including contact details, other relevant information and references
 - c. Relevant coaching experience

- d. Relevant first aid, child protection and other suitable course certificates relevant to their sport where appropriate
 - e. Up to date and suitable personal coaching insurance
 - f. Provide a written training plan for the academic year
- 5) Grant funding may be made available for coach education courses for coaches who do not fulfill the criteria detailed above.
- 6) The Sports Development Officer will support coaches and all Clubs to ensure that the criteria detailed above is achievable.
17. Dissolution
- 1) The Sports Union may only be dissolved by a two-thirds majority vote of a Council meeting, with the disposal of assets decided by a subsequent vote of the meeting.

Appendix 1	Schedule of Delegation
Appendix 2	Standing Orders
Appendix 3	Model Club Constitution
Appendix 4	Blues and Colours Regulations
Appendix 5	Financial Regulations
Appendix 6	Disciplinary Procedure
Appendix 7	Terms of Presidency
Appendix 8	Election Procedures
Appendix 9	Safety Policy

SCHEDULE OF DELEGATION

1. Duration of Validity

- 1) With effect from the start of the academic year and until such date as it may subsequently decide, the Sports Union has reserved specific powers to itself and delegated others as set out in this schedule.

2. Purpose

- 1) To define those decision-making powers that are reserved for specific levels of authority. The schedule is not intended as a general description of roles and responsibilities.

3. Coverage

- 1) Committees and individuals involved in the management of the Sports Union.

4. Reporting Arrangements

- 1) It should be assumed that all significant matters are reported to Council unless otherwise explicitly stated.

5. Vacation Powers

- 1) Council will determine arrangements for summer vacation powers at the final meeting of each academic year.

6. Delegated Powers

- 1) While the Schedule identifies that certain powers are delegated to specific committees or individual office bearers, any committee or office holder may decide that a particular issue requires to be ratified by a higher level of authority.

7. Named Deputies/Alternates

- 1) Where powers are reserved to individuals, it should be assumed that a nominated deputy or alternate may exercise the same power in the absence of the post holder.

8. Institute of Sport and Exercise

- 1) With the exception of the Director (as Convener of the Disciplinary Committee), the Institute is not a formal decision making body within the Sports Union. It provides advice and acts as a forum for discussion for any aspect of work relating to the functions of the President, Executive and member clubs.

9. Sports Union Council

- 1) Approve strategic plan and annual report
- 2) Approve annual accounts
- 3) Approve annual budget and estimate of expenditure
- 4) Approve co-opted members of Council
- 5) Approve appointment of Honorary Vice Presidents
- 6) Approve changes to Constitution and By Laws (subject to Court ratification)
- 7) Approve standing orders for operation of Council
- 8) Approve appointment of Senior Returning Officers
- 9) Delegate specific functions to individual Sports Union committees

10. Sports Union Executive

- 1) Approve proposals from new clubs setting up and the number of new clubs allowed to setup per year
- 2) Approve Sports Union calendar of events
- 3) Approve policies and procedures for use of Sports Union vehicles
- 4) Approve promotion and marketing strategy

- 5) Approve safety guidelines for all Sports Union clubs
- 6) Approve the appointment of temporary sub committees or working groups
- 7) Approve associate membership to any SU club where membership of non-students is greater than 30%

11. Dundee University Sport Management Group

- 1) Approve alterations to Financial Regulations
- 2) Approve grant funding for clubs
- 3) Approve minimum club membership fees
- 4) Approve expenditure in excess of £250

12. Blues and Colours Committee

- 1) Award Blues and Colours and related awards, including honorary awards

13. President

- 1) Approve expenditure up to £250
- 2) Exercise the right to the casting vote when a vote is tied
- 3) Delegate, oversee and deliver all duties, responsibilities and development of the Sports Union

14. Director of the Institute of Sport and Exercise

- 1) Exercise full disciplinary powers in relation to Sports Union disciplinary regulations in discussion with the Sports Union President, unless the issue is regarding the Sports Union President, in which the situation would be sent to the University Secretary.

16. Affiliated Clubs

- 1) Approve club membership rates above the Sports Union minimum recommendation
- 2) Initiate policies and procedures for insurance and safety of all club members and activities
- 3) Approve changes to club constitution
- 4) Approve club annual budget, estimate of expenditure and safety notes
- 5) Responsible for informing the Sports Union of any changes to their club membership once full matriculation details have been published to the club.

FINANCIAL REGULATIONS

1. The Sports Union grant will be allocated by the Sports Union at the discretion of the DUS Management Group (DUSMG) under the following headings:

1) Travelling Expenses

Under normal circumstances the following applies:

<i>Air:</i>	At the discretion of DUSMG
<i>Bus:</i>	Standard fare
<i>Rail:</i>	Cheapest rate bought in conjunction with Student rail card
<i>Car¹:</i>	If there no available minibus and cars are required for travel, then the cost of petrol will be paid according to the DUSMG regulations
<i>External hire:</i>	Where clubs book Sports Union buses in advance and they are being repaired the Sports Union will fund the cost of hiring an external bus. If a club hires a bus because there are no Sports Union buses available the club must pay the cost of hire.

2) Sports Union Vehicles

Clubs using Sports Union vehicles will be responsible for returning the vehicle with a full tank of diesel. Failure to do so will result in a charge for the refilling of the tank plus a fine of £10.00

Sports Union minibuses must be returned in the condition in which they were found and fines of £10.00 will be issued to any club leaving minibus in an unsatisfactory condition. If minibus is found in unsatisfactory condition this must be reported to the Sports Union Office.

Any damage found on buses eg puncture, leak must be reported to the Sports Union Office.

3) Subsistence Rates

Subsistence at the rate of up to a maximum of £25.00 per person per complete 24 hours absence from the University or other previously agreed setting-off point will be paid for BUCS competition. All other claims will be considered by the DUSMG.

4) Affiliation, Entry, Referees and Licence Fees

<i>Affiliation Fees:</i>	At the discretion of the DUSMG
<i>SUS/BUCS Entry Fee:</i>	At the discretion of the DUSMG
<i>Grading/Registration/Licence Fees:</i>	At the discretion of the DUSMG

5) Insurance

Clubs are responsible for keeping their sport specific insurance up to date and to provide the Sports Union with details of current requirements. Everyone who has matriculated is insured, however this is general insurance and in some cases sport specific insurance is required. Details of the general insurance can be obtained from the Sports Union Administrative Secretary.

Clubs may claim financial assistance in terms of insurance premiums for equipment purchased by the Sports Union, only at the discretion of DUSMG.

6) Maintenance of Equipment

Clubs are responsible for the maintenance of their equipment and should include these costs in the Club's expenses each year.

2. Equipment

1) Clubs may apply for Replacement Equipment. This will be at the discretion of the DUSMG.

¹ Car owners using their own cars for Sports Union travel must ensure that their insurance cover is valid.

- 2) The value of the equipment owned by each club should be included in their Inventory of Equipment.
 - 3) Equipment purchased by the Sports Union on behalf of the clubs shall remain the property of the Sports Union.²
 - 4) Clubs must provide a full inventory of all equipment held
3. Pre-sessional Training
- 1) Clubs are responsible for the costs of pre-sessional training.
4. Coaching
- 1) Applications for coaching fees and coaching course expenses will be considered via the coaching regulations as set out in the sports' union constitution, section 17.
- 5. Affiliated Sports Federations: BUCS/SUS**
- 1) Travel and subsistence rates prescribed in 1i will apply for players and clubs participating in affiliated Sports Federation tournaments or for representing British or Scottish Universities Representative Squads
 - 2) In agreement with SUS, the Sports Union will pay for a percentage amount in discussion with our Institutions athletes.
6. Tours
- 1) **Clubs will be responsible for the full costs and insurance**
7. Stationery
- 1) The Administrative Secretary may order or purchase any stationery only with approval of the President.
8. Office Furniture and Equipment
- 1) As approved by the DUSMG
- 9. Telephone**
- Incoming calls:* Clubs may receive messages
Outgoing calls: Clubs may make calls for Sports Union business only
- 10. BUCS/SUS Contributions**
- 1) As laid down by these bodies and only in agreement by DUSMG
- 11. BUCS/SUS Delegates**
- 1) Travel and subsistence rates prescribed in 1i will apply for the Sports Union President or representative attending BUCS/SUS meetings.
- 12. BUCS/SUS Hospitality**
- Hosting BUCS/SUS Events:* Assistance at the discretion of the DUSMG
- 13. Club Strips**
- 1) All clubs are required to wear and maintain the Sports Union generic Kukri kits. Any items that are lost, damaged or stolen will be paid for by the club in time for the new academic year. It is the responsibility of the club to hand all kits back to the sports union at the end of semester 2 and it is the responsibility of the Sports Union to ensure that all missing pieces are replaced for the new academic year.

² Signed notification, in advance, of the sale or disposal of any Sports Union equipment should be sought from the club.

- 2) If the Sports Union cannot provide kit for your sport through its sponsor then the following rules apply when purchasing club kit:
- 3) The Official Colour of the University of Dundee is Red. All representative kit must be predominantly red with black and white.
- 4) The club in consultation with the Sports Union President must seek alternative kit in line with regulation 15iii

14. Minimum Club Membership Fees

<i>Ordinary Membership:</i> on an annual basis	To be set by the Club but not less than the minimum amount set out by the Sports Union
<i>Associate Membership:</i>	To be set by the club but should be no lower than than ordinary membership
<i>Social Membership:</i>	To be set by the club

15. Executive Expenses

<i>Other University Sports Union Ceremonies:</i>	Travel and subsistence costs as prescribed in 1i and 1iii
<i>SUS Meetings:</i>	An allowance of £15.00 for one full day.
<i>BUCS Meetings:</i>	An allowance of £15.00 per full day.
<i>Other Financial Losses:</i>	At the discretion of DUSMG

16. Other

- 1) All BUCS/SUS regulations shall be accepted unless any item is specifically rejected by the Sports Union.
- 2) Club representatives may attend or may be required to attend DUSMG meetings to support applications.
- 3) Improper claims by clubs will be disallowed and any amounts paid in connection with such claims will be recovered from the club involved and sanctions be imposed.

ELECTION OF OFFICERS

1. Frequency
 - 1) Elections shall be held:
 - a. *Annually in semester 2*
 - b. Within two weeks notice being given by the Administrative Secretary of the Sports Union
 - c. Not on a Wednesday, Saturday or Sunday, or in vacation times as stipulated by the calendar of the University.
2. *Officers*
 - 1) Elections for Executive Officer positions of President, Vice President (Sport), Vice President (Events), Honorary Secretary, Website Developer, Campus Sport Officer, Mini-bus Officer shall be conducted in the second semester.
 - 2) A candidate may only be nominated for one office in any one year.
3. Eligibility
 - 1) **President**
 - a. Only students who have been members of an affiliated club for two academic years and have been a committee member of this club for 2 years may stand for election.
 - 2) **Vice President**
 - a. Only fully matriculated students who have been members of an affiliated club and sat on committee for one academic year may stand for election as Vice-President.
- 3) *Discipline*
 - a. Candidates with an unsatisfactory disciplinary record by the Sports Union, ISE or Students' Association, for misbehaviour or misconduct, may not be allowed to run for election. The decision will be made by the disciplinary committee.
4. Returning Officers
 - 1) A senior returning officer shall be elected by Council at the first meeting of the second semester, which should not be later than week 5. Junior returning officers may also be elected.
 - 2) The returning officers shall not stand for any office, nominate or support any candidate and shall not be matriculated.
5. Notice of Elections
 - 1) Notice of all elections shall be given by a circular to be received by all members of Council at least three weeks before the AGM.
 - 2) Notice of all elections will be publicised for the attention of the general student body.
6. Procedures
 - 1) Each candidate for a contested office shall be permitted to spend up to £40 on publicity (only the Presidents position candidates will get reimbursed). Disqualification for election will result if this amount is overspent or if any donations of publicity are received. Decisions concerning this will be made at the discretion of the Senior returning Officer.
 - a. At the AGM all candidates, who are unopposed shall be declared elect at the close of their hecklings.

- b. Within three days of the AGM (excluding Saturday and Sunday), voting papers bearing the name of each candidate contesting an office shall be made available to all matriculated students at the ballot box in the Students' Association building.
 - c. Votes shall be cast in a sealed ballot box which shall be sealed in the presence of the Senior Returning Officer before voting commences and opened by the Senior Returning Officer only immediately before the count commences.
 - d. Only the Executive, Returning Officers, candidates, proposers and administrative secretary shall be present at the count.
 - e. The Senior Returning Officer shall be responsible for all election procedures and for publicising results.
 - f. In the event of an equality of votes being gained by two or more candidates, the Senior Returning Officer shall decide which candidate is elected by the drawing of lots.
 - g. The outgoing Executive Committee's term of office shall run in conjunction with that of the President's contract.
7. Termination or Resignation of Office
- 1) If an officer of the Sports Union leaves the University they shall immediately and automatically resign from office.
 - 2) An officer may be removed from office only by an EGM of council being called for that purpose. Removal from office shall only occur if two-thirds of those eligible to vote on Council support the motion of removal. If passed the motion is effective at once.
 - 3) In the event of a vacancy from the EGM the Executive will have the power to appoint a candidate to fill the vacancy.
8. In the event of a post not being filled, a by-election will be held at the first available Council meeting.
- 1) Candidates must express interest to the administrative secretary before given deadline.
 - 2) All candidates must prepare a speech to present at council.
 - 3) Once all candidates have spoken the president will call for questions from the floor.
 - 4) The candidates will be asked to step out of the room whilst the vote takes place.
 - 5) Each club and member of the exec will receive a ballot paper.

APPENDIX 2

PRINCIPAL'S REPORT (Minute 72)

At least to some extent the dust has now settled on the General Election of 6 May, and we are beginning to come to terms with the prospect of a Coalition Government in Westminster. The Chancellor of the Exchequer will be presenting an emergency budget on 22 June, and we have already seen where immediate cuts totalling £6bn will fall. In comparison with the views of the previous incumbents, it is likely that cuts will be deeper and implemented more rapidly, but that, at least in England, higher education will not be a protected sector in the Coalition's spending plans. Certainly signals from Business Secretary, Vince Cable, and Universities Minister, David Willetts, in a recent letter to University Vice Chancellors and Principals show that the Government expects the HE sector to play a role in 'restoring financial health' by doing 'more with less and [by stopping] doing some of the things we currently do'.

Nevertheless, in Scotland it is probable that the impact on public spending will be less severe in the short term, particularly since the devolved administrations have the option to delay the impact of the £6bn of cuts, and also given that Scottish parliamentary elections take place in spring 2011. Certainly, Scottish ministers at present remain coy. I believe, however, that the best case scenario for universities is that the cuts will be spread evenly across the board with no particular sector protected.

Against this external context, the University's current financial position is tracking ahead of budget, as it was in my previous report, with an operating surplus of £1.5m being forecast against a break even budget. This provides a firm footing for the budget for 2010/11, although there still remain uncertainties around knowledge exchange funding where a recent consultation document from the Scottish Funding Council (SFC) suggests as much as 30% of funding under this stream will now be subject to competitive bidding, as opposed to the formula driven funding of the past. Additionally, the SFC have reserved the right to make in-year adjustments to funding if necessary, depending on the levels of funding they receive from the Scottish Government. These issues are all discussed in more detail in later in the agenda, where additional uncertainties in the form of possible funding scenarios for the period to 2012/13 are also presented.

Despite all of this, the University continues to provide evidence of its outstanding performance in learning and teaching and in research and impact. We continue to win large grants against intensive competition: as of May, successful grant acquisitions were running significantly ahead of forecast. We have also very recently learnt that the bid for funding for a Centre for Translational & Interdisciplinary Research from the Wellcome Trust/Wolfson Foundation has been successful. This is great news and means we will need to review the capital plan over the summer, with a view to bringing proposals forward for the Finance & Policy Committee and Court in the autumn.

In my last report, I was able to draw attention to the election of four members of staff as fellows of the Royal Society of Edinburgh. In this report, I can add to that the election of two fellows of the Royal Society: Professors Ron Hay and Angus Lamond, who take the College of Life Sciences' tally of FRs to nine. Also Professor Peter Davies, of the School of Engineering, Physics & Mathematics, has been elected to a fellowship of the Norwegian Academy of Science and Letters. I also want to emphasise the achievement of the Students' Association at being named Scotland's top students' union, the third best in the UK and the seventh best in the world. This is remarkable and shows just how engaged and committed DUSA is to its student members, and how important it is to the life of the University.

Even so, these notable successes have not been able to counteract some of the structural weaknesses that have reversed recent trends of steady movement up the university league tables. Our position in the recent Sunday Times ranking was disappointing. We fell back in terms of relative RAE scores, in undergraduate qualifications and in graduate employability, all of which are key areas that the Strategic Review aims to address.

The Strategic Review proposes, amongst the many projects around the University, improvements to both undergraduate and postgraduate curricula to make our courses more attractive to home and overseas students and to help address the marketability and employability of their graduates. Our continuing success in grant winning may seem incongruent with the weakening of the overall RAE performance, but it is simply a reflection of the fact that the strongest parts of the University continue to be successful and are effective at competing against the best from elsewhere, but that we are failing to improve in the weaker areas. As I have said many times before, the focus on excellence is not simply a luxury. Unless we perform at the very top of our game, as grant funding becomes increasingly competitive, we will lose out. On the flipside of course: the very best research will always be funded even in the deepest recession. This is why the Strategic Review proposes focussing on proven 3* and 4* research, as well as on research with the potential to achieve this level in the foreseeable

future. It is also likely that the SFC will intensify support for 3* and 4* research at the expense of funding currently available for 1* and 2* research. Our goal therefore must be to place our confidence in the areas of strength that exist throughout the University by focussing our resources there, aligning teaching and research more successfully and further enhancing the experience of students who choose to study in Dundee. In this way, as we prepare for unprecedented budget cuts we also strengthen the institution in preparation for strong growth and development as the country emerges from recession.

Finally, I would like to thank Court members for their contributions throughout the year. Special thanks, however, are due to John Milligan, Chairman of Court for the last six years and whose final meeting this is. We will have the opportunity later at the Court supper to pay tribute to his many contributions and to his steadfast support for the University.

Looking forward to 2010/11, I note also that, subject to Court's formal approval, we will be welcoming three new lay members to Court: Jo Elliot, Christina Potter and Andrew Richmond. These names emerged after a rigorous selection and interview process, and I am convinced they will each play a significant role in the effective governance of the University.

Professor Pete Downes
Principal & Vice-Chancellor

Major Grants & Awards

- **£1.7m from European Research Council/Framework 7 to Professor Irene Leigh** for TREATSKIN: Tissue Engineering to Evaluate Novel Treatments for Skin Cancer and Genetic Disease
- **£1.4m from the Wellcome Trust to Dr Anton Gartner** for Combined Genetic and Biochemical Approaches to Uncover and Characterise Redundant Factors Involved in Late Stages of Recombinational Repair
- **£1.3m from Cancer Research UK to Professor David Lilley** for Nucleic Acid Structure and Interactions with Proteins (Programme Grant)
- **£0.5m from Framework 7 Co-operation Programme to Professor Philip Andrews-Speed** for POLINARES: Policy for Natural Resources
- **£0.5m from Cancer Research UK to Professor Roland Wolf** for Understanding the Function of Genes which Determine Drug Efficacy and Susceptibility to Environmental Agents

Awards for Learning & Teaching*Honorary Graduates' Award for Innovative Teaching*

Winners:

- Mrs Sharon Tonner, School of Education, Social Work & Community Education for 'Embedding 21st Century Technologies into Primary Education'
- Mrs Carol Tricker, Mr Gary Roberts & Ms Valentine Scarlett, School of Education, Social Work & Community Education for 'Working Together to Achieve Social Justice- The Developing Professional'

Highly Commended:

- Dr Catherine Kellett, School of Medicine for 'Development of a Theatre Etiquette Course for Medical Students'

Senate Award for Excellence in Teaching

- Mr Jonathan Baldwin, Duncan of Jordanstone College of Art & Design
- Mr Stuart Cross, School of Law
- Dr Angela Gilbert, School of Dentistry
- Professor Frank Sargent, College of Life Sciences

Chancellor's Award for Lifetime Contribution to Teaching

- Emeritus Professor Martin Pippard, School of Medicine
- Dr Richard Brown, School of Accounting & Finance

People & Prizes

- Dundee University Students' Association (DUSA) has been ranked Scotland's top students' union and one of the world's best in a new survey of universities across the globe.
- Professors Ron Hay and Angus Lamond of the College of Life Sciences have been elected Fellows of the Royal Society.
- Professor Peter Davies (Fluid Mechanics) has been elected a Foreign Member of the Norwegian Academy of Science & Letters
- Principal Professor Pete Downes has been elected Fellow of the Academy of Medical Sciences.

Graduation 2010

This year's graduation ceremonies take place on 22nd to 25th June 2010, as follows below. As always, Court members are invited to join me at the ceremonies to celebrate the achievements of our students and congratulate our honorary graduates:

2.30pm, Tuesday 22 June 2010

College of Arts & Social Sciences: Schools of Humanities and Law and the School of Natural Resources Law, Policy & Management.

Honorary Graduates: Rosamunde Pilcher & Roberto Lenton

10.00am, Wednesday 23 June 2010

Colleges of Arts & Social Sciences and Art, Science & Engineering: Schools of Accounting & Finance, Architecture and Social & Environmental Sciences

Honorary Graduate: Bruce Johnston

2.30pm, Wednesday 23 June 2010

College of Arts & Social Sciences: Schools of Education, Social Work & Community Education and Psychology

Honorary Graduate: Bahia Hariri

10.00am, Thursday 24 June 2010

Colleges of Art, Science & Engineering and Life Sciences: Schools of Engineering, Mathematics and Life Sciences Teaching & Research
Honorary Graduate: Gösta Walin

2.30pm, Thursday 24 June 2010

College of Art, Science & Engineering: School of Computing and Duncan of Jordanstone College of Art & Design

10.00am, Friday 25 June 2010

College of Medicine, Dentistry & Nursing: Schools of Medicine and Dentistry
Honorary Graduate: Alan Langlands

2.30pm, Friday 25 June 2010

College of Medicine, Dentistry & Nursing: School of Nursing & Midwifery

APPENDIX 3

STRATEGIC REVIEW: UPDATE (Minute 73)

Introduction

1 At Court's meeting on 26 April 2010, members considered a series of proposals developed by the Senior Management Team arising from the commissioning by Court of a strategic review of the University's activities. Having done so, members endorsed the proposals in principle for extensive consultation across the Schools, Colleges and Directorates and with DUSA and the campus unions, with a view to more developed proposals being submitted to the June meeting of Court.

2 This paper outlines the progress made in taking forward the various activities set out in the strategic review and in communicating and consulting upon the proposals.

Development of projects

3 The strategic review essentially comprises proposals on a College/School and Student & Academic Services/Directorate basis for the establishment of a range of projects that will deliver the new vision for the future development of the University set out by the Principal. A list of the projects being established within each College and in SASS is set out in annex a. The projects are of varying nature in terms of their complexity and timescales for implementation. Each project, once finalised and consulted upon, will be brought forward through the appropriate University decision-making process in accordance with the University's Schedule of Delegation & Decision-making and general governance framework; and will be accompanied where necessary by an equality impact assessment.

4 In the next phase, each of these projects will be refined further to provide details of timescales and deadlines, project leader, proposed strategic benefits, success indicators, projected savings and an implementation plan.

5 On the basis of the progress made to date, the Senior Management Team remains satisfied that savings on the current overall core pay and non-pay budgets of the order of 10-12% can be delivered in a targeted and strategically focused manner over a two to three year period.

Communication and consultation

6 The strategic review paper was circulated to all staff, the campus unions and to the DUSA executive in advance of the Court meeting in April. Since that time, there has been extensive communication and consultation within Schools, Colleges and SASS in relation to the proposals as a whole and as they relate to their individual areas of activity, including the circulation of more detailed College-specific documentation and information. An account of the consultation activities undertaken to date is provided in annex b.

7 The review has also been discussed at the Finance & Policy Committee, HR Committee, the Academic Council and the Senate; and issues arising from the review and the consultation process were the subject of a Senior Staff Workshop attended by the Senior Management Team and Deans of School and Directors of Service on 21 May 2010.

8 Feedback from the campus unions indicated that the emphasis in the early stage of the process had been on communication rather than consultation and that staff feedback had been that a number of individuals felt that they had received insufficient detail to enable them to comment meaningfully on the proposals. Additional areas of concern related to: (a) a perception that the learning and teaching agenda was not being given sufficient prominence in the review; (b) the need to ensure thorough market-testing of revisions to the academic portfolio; and (c) the University's stance that compulsory redundancy had to be retained as a last resort in any cases where required levels of staffing reductions could not be achieved through voluntary means.

9 In relation to issues (a) and (b), the Principal has reiterated in a range of formal meetings and other forums his views on the importance of learning and teaching in his vision for the future development of the University and the requirement for market-testing of new programmes has been accepted. In relation to (c), the University has brought forward, for consultation, proposals setting out how a Voluntary Severance Scheme associated with the strategic review might be operated and is currently awaiting union feedback on them. All unions have indicated a desire to agree a formal University Policy on the Avoidance of Redundancy with the University and meetings are being arranged to take the development of such a policy forward.

10 Consultations within Schools and Colleges have formally involved student representatives through discussions at School and College Boards, and students have participated in consultation processes within SASS Directorates. The University Secretary has met with the President of the Students' Association to discuss the review and the Principal and University Secretary attended an open meeting at the Students' Association, hosted by the Rector, at which they answered questions from students and staff.

Summary

11 It is accepted that the early stages of the consultation process started slowly and, necessarily, were characterised by communication of the proposals set out in the strategic review rather than consultation. However, staff and students have since received greater detail regarding the proposals as they affect Schools, Colleges and Directorates and this is providing opportunities for them to provide their views. This finding was supported by feedback at the meeting of Senate on 2 June 2010, where members recognised that extensive discussion regarding the proposals was now taking place across the University. It is therefore clear that much progress has been made since Court's meeting in April in developing proposals into projects and consulting upon them.

12 Nevertheless, it was always the case that the period between the Court meetings on 21 April and 14 June was short. As further details emerge regarding the various projects to be undertaken within strategic review, it is evident that their varying scale, nature and extent of change is such that many would benefit from ongoing consultation and refinement over the course of the summer. This second period of consultation would also provide the opportunity properly to discuss the detailed implications of projects, consider the issues raised by staff and by the campus unions, enable time for a University Policy on the Avoidance of Redundancy to be developed and address the concerns of DUSA that the timing of the publication of the review might inhibit student input. It is therefore proposed that the consultation process continues over the summer period, as the various projects are refined and finalised.

Establishment of a voluntary severance scheme

13 As noted above, draft proposals in relation to the terms of a Voluntary Severance Scheme have been circulated to the campus unions for consultation and the University anticipates receiving feedback on those proposals in early course. The proposals in their current form are attached as annex c.

14 Given that strategic review projects have not yet been finalised in detail, it is as yet not possible to provide an indication of, for example, the likely number of posts to be lost in a particular area of activity or how that number might be affected by forthcoming retirements and other forms of natural wastage. It would be inappropriate to launch a Voluntary Severance Scheme at a time when individual staff do not have sufficient information regarding how those projects might affect jobs within their own area of activity to make an informed decision on voluntary severance. It is therefore proposed that a recommendation to launch a Voluntary Severance Scheme within the University is made to the Court Retreat in September, by which time it is anticipated that the detailed implications for staffing in individual areas of activity will be known and will have been consulted upon with affected staff and the campus unions. It is likely that senior management would wish to propose that the Scheme, once launched, remains open for a relatively focused time period.

Overarching strategic framework

15 The Principal's ideas regarding the future development of the University, centred on the three pillars of excellence, focus and impact, have provided the high level vision against which the projects brought forward through the strategic review have been developed. It is important that the University's new vision, and the activities being undertaken to realise that vision, are also underpinned both by the development of a new strategic plan for the University, building on the current Strategic Framework, and by a review of how the University is branded and positions itself nationally and internationally.

16 It is therefore proposed that the branding and positioning of the University and the development of a new strategic plan form the basis of the discussions at the forthcoming Court Retreat in September.

Recommendation

17 Court is asked to consider the progress made in communicating and consulting upon the proposals and: (a) note the ongoing development of projects over the summer (including a second phase of consultation on the detail of individual projects); (b) note the decision-making process associated with project implementation; (c) note the proposal in relation to the implementation of a voluntary severance scheme; and (d) approve the proposal regarding the consideration of the branding/positioning of the University and the development of a new strategic plan at the Court Retreat in September.

STRATEGIC REVIEW PROJECTS

College of Art, Science & Engineering

1 *To develop a revised undergraduate portfolio in the School of Engineering, Physics & Mathematics (EPM) which provides more efficient use of resources in support of excellence as aligned with agreed strategic themes*

The Dean has met with all academic, clerical and technical staff within the School and explained the context and implications of the strategic review. Current actions include:

- ASRS will explore the market for renewable energy/physics/electrical engineering.
- The School's industrial partners will advise on issues of employability for graduates of renewable energy/Physics and Electrical Engineering and input into revised UG portfolio.
- A proposal will be made by the School on the future direction of the undergraduate programme once the initial research and discussions are completed.

ASRS research will take place throughout June, with discussions with industrial partners and other stakeholders being carried out June/July and proposals being outlined in September for consultation with students.

2 *Revised taught postgraduate portfolio in EPM which provides more efficient use of resources in support of excellence as aligned with agreed strategic themes*

The Dean and staff from the School have had extensive discussions with staff from CLS and the School of Medicine exploring new synergies and looking at opportunities for efficient teaching and supervision on our modules in the bio-interfaces areas. These talks are ongoing with meetings scheduled for early July. ASRS will look at the market environment and new opportunities in relation to existing Masters programmes.

3 *To form two larger research groups in EPM to improve quality and attract larger research investments and steer new appointments and collaborations, specifically: (a) Bio-Interfaces; and (b) Environment, Infrastructure & Sustainability*

Following overall discussions between the Dean and all School staff, it has been uniformly agreed to focus research on two themes. Future actions will seek evidence that these revised themes will support the strategic objective of excellence/focus on 3/4* outputs and identifying any current areas that do not feature in the new themes.

4 *To increase the proportion of staff with outputs at the 3* and 4* level in EPM and to consider proposals to reinvest in new research-active staff appointments into the two research themes.*

Suitable 'externals' for the current REF unit of assessment are being identified and will be invited to visit. Civil Engineering has already commenced individual research reviews, while other reviews will take place from September/October 2010. Workload allocation and balance of duties for staff will be considered in the light of this research quality review.

5 *To develop a revitalised portfolio in the School of Computing aimed to address the student recruitment challenges and which provides more efficient use resources in support of excellence as aligned with agreed strategic themes: Specifically, consider traditional UG Computing Science degree*

A new undergraduate portfolio has been proposed as follows:

- BSc Hons Computing Science: September 2010
- BSc Hons Business Computing (replacing e-Commerce Computing): September 2010
- BSc Hons International Business with e-Commerce: September 2011
- BSc Hons Digital Interactive Design (replacing Interactive Media Design): September 2010
- Joint Degree programmes in Computing & Electronics: to be withdrawn

The resource costs of teaching in Computing will be reviewed in line with further developing innovative and efficient teaching. Programmes will be developed to make maximum use of core teaching modules, many existing and shared modules. Further action is required to review the sustainability of the proposed portfolio and liaise with ASRS on market research/industry needs.

6 *To develop a revitalised portfolio in the School of Computing aimed to address the student recruitment challenges and which provides more efficient use resources in support of excellence as aligned with agreed strategic themes (specifically to deliver a niche TPG portfolio).*

- Review and consult on suitable niches to add to growing portfolio of successful products (such as BI & Design Ethnography): May/June
- Develop structure to review efficiency and effectiveness of current mainstream MSc portfolio: Summer 2010
- Examine market friendly modes of delivery with a view to feeding into the development of any new/revised programme/s: Summer 2010
- Consult with students regarding proposed changes to MScs & possible future delivery modes/marketing strategies: September 2010

Further action will be required to review the sustainability of the proposed portfolio and liaise with ASRS on market research and industry needs.

7 *To increase focus from 4 to 3 themes in the School of Computing to steer new appointments and collaborations as follows: Assistive & Healthcare Technologies; Artificial Intelligence & Computer Vision; Space Systems Research Centre*

Consultation is focussing on three distinct constituencies, academic (SFC-funded) staff, research staff and PhD students. Open discussions are being held along with specific opportunities for each stakeholder group. A senior staff session led to the following revised proposed themes: Inclusive Design; Intelligent Systems and Space Technology Centre, which have been consulted upon for implementation over Summer 2010. Further action will be required to (a) document how these revised themes have emerged and how they support the strategic objective of excellence/focus on 3/4* outputs; and (b) identify which areas do not feature in the new themes.

8 *To increase proportion of staff with outputs => 3* and 4* level in the School of Computing.*

An initial staff consultation has been undertaken by email 6 May 2010 and a Research Review Process and action plan to achieve the project has been developed. Staff are currently being consulted with a view to assembling guidelines based on their responses which will be incorporated into the 6-monthly Research Review. Workload allocations and balance of duties will be reviewed in the contexts of the outcomes of the exercise.

9 *To explore the synergies between the research and teaching within the Schools of Computing and Psychology with a potential for merger towards a 'School of Computation and Cognition'.*

A series of meetings between the two Deans and between senior staff of the two Schools has suggested no strong rationale or desire to merge, however both groups see the value in exploring potential synergies at all levels of teaching and research. However, meetings at the School and College levels are continuing.

10 *To rationalise the current 11 to 4 UG programmes in Duncan of Jordanstone College of Art & Design (DJCAD), creating new programmes in Art, Craft, Interactions, and Visual Communications*

Seven meetings have been held to date and good progress is being made across each of the four proposed portfolio areas. Issues to tackle include focusing on embedding 1st Year and history & design into the 4 programmes. ASRS have been engaged at all levels to provide market research support.

11 *To develop a revitalised TPG portfolio in DJCAD to align with new research themes and which addresses the underperformance in TPG recruitment.*

At the meetings of the proposed new groupings discussions have taken place about the shaping of future provision from first year to PhD level, with specific TPG review across DJCAD seen as a priority. ASRS have been engaged at all levels to provide market research support.

12 *To review research themes in DJCAD leading to strategic re-focussing into the 3 following themes which will steer future developments and collaborations: (a) Digital Economy, Futures & Culture; (b) Visualisation & Application of Visual Thinking; and (c) Archival & Curatorial Practice History & Theory*

At least two meetings have been held of each of the new academic groupings coordinated by a relevant facilitator. A DJCAD Research Symposium was held over two days (May 25/26) which allowed for further discussion and a workshop on future research questions within the research themes. The project is on course and has been conducted with a high level of participation by staff. There is a wide-spread consensus for the overall themes, which will be consolidated in the period to September 2010, with each developing a research strategy and impact case studies in the period to August 2011.

College of Arts & Social Sciences

1 *A School of the Environment (working title), merging the School of Architecture with Geography and Town & Regional Planning from the School of Social & Environmental Sciences.*

A number of meetings have taken place with staff from the Schools of Architecture and Social & Environmental Sciences and a paper written by the two Deans fed into the University's Strategic Review document. This was circulated to staff as background information. Support for the proposal for a merger between Architecture, Geography and Planning has been unanimous. Concerns however were raised regarding the alignment of the teaching programmes and research themes, and the view has been expressed by staff in Social & Environmental Sciences that there needs to be full consultation over the practical implications of the proposal. At a special meeting of the School Board of Social & Environmental Sciences (3 June 2010) the following points were agreed:

- To support the merger of Geography and Town & Regional Planning with the School of Architecture.
- To formally request from Senate and Court support for the formation of the School of the Environment within CASS, **as from September 2010.**
- Before the new School becomes fully operational, there should be full and open consultation involving the staff of both of the past Schools (Architecture and Geography/Planning) on issues relating to strategy, research priorities, teaching programmes, and operational management.
- That a Steering Committee with elected members from the component disciplines of the new School should be established and begin work in September 2010.
- Session 2010-11 will be concerned with creating an environment to enable staff to continue to contribute to the building of the new School. After a period of transition in which the School develops there is commitment for a celebration of the fully integrated School in September 2011.
- A longer term aim would be to investigate opportunities to expand the School of the Environment through collaboration with other cognate disciplines.

2 *A School of Business, Economics, Accounting & Finance, comprising the School of Accounting & Finance and Economics from the School of Social & Environmental Sciences*

The proposal for a new School first emerged from staff in November 2009 and there continues to be unanimous support from across both disciplines for the proposal to bring Economics into the School of Accounting & Finance to form a new School. Staff want to move forward with the creation of the School as soon as possible *from the start of the next academic session (2010-11)*, but recognise there is work to be done to create a coherent academic and business plan which fully exploits synergies. At a special meeting of the School Board of Social & Environmental Sciences there was unanimous agreement that Economics should move to form a new School with Accounting & Finance.

3 *Internal restructure of the School of Humanities based around the broad principles of the Melbourne curriculum*

There was general if cautious support from most staff and some students for the proposal, but only if the plans are clarified and there is recognition that the 'Melbourne' strategy is not adopted in its entirety but a modified version which is based loosely on the principles of the Melbourne curriculum. This will be an ongoing project over the medium term, and discussion, implementation and review will continue with staff and students over the coming academic session with a view to implementation from September 2011. The School also has plans to re-focus teaching and learning activity, including consideration of the viability of American Studies and European Studies and stabilising Modern Language Teaching in agreed specified areas. The School would welcome participation with DOJ in planning for a potential Visual Studies Centre.

4 *Larger School of Law and management/business (i.e. including Accounting & Finance, Economics and the Graduate School)*

This alternative proposal has not been widely debated, and has received little support at this stage. However, the view is that the principles that lie behind this proposal are important; perhaps not as a formal merger but in relation to synergies between these Schools and disciplines which should be explored and developed incrementally over the next 2-3 years to September 2013.

5 *Merger of the School of Psychology with the School of Computing*

Discussions between staff in the Schools and with other stakeholders have concluded that a merger would not be in the best interests of the two discipline areas; evidence in support of this assertion has been provided. However, there is unanimous support from the respective Deans for closer collaboration in undergraduate and taught

postgraduate teaching and in areas of research themes and grant-getting. These areas for development have been identified and will be pursued by the Deans with support from the respective Vice-Principals. Within Psychology the strategic review process has been instrumental in galvanising thinking and ideas, and the Dean now has firm plans in place to raise research thresholds, for maximising external grant income, increasing OTPG numbers and exploiting CPD opportunities.

6 *Transfer of CEPMLP Information Services to the Library and Learning Centre*

A number of consultation meetings with staff and students have identified strong support for retaining and enhancing Information Services as a School facility. Staff canvassed stakeholder and student groups who have responded by vigorously voicing their opposition to the proposal, not least on the grounds that IS provides an essential service for high fee paying CEPMLP students and is a key component of the quality of experience such students can expect at Dundee. Taking cognisance of this and the reputational risk relocation would entail, the proposal will no longer be pursued. However, a positive outcome has been the desire from all involved to develop and enhance the current provision from existing resources, and a number of ideas have emerged which will be taken forward by the Dean in conjunction with staff.

7 *Transfer of the Enterprise Gym to the Careers Service*

The consultation on the proposal has yet to be fully debated, but there have been a number of meetings with staff from the College who have an involvement with the Gym activities. There is a strong view that the Enterprise Gym is a University provider and should not therefore be aligned with any one School, but with the wider University. However, there must be a clear link between the Gym and the academic community, and should the TEG be transferred to Careers it must be guided by and protected in its day-to-day operation with an advisory board comprising academic staff from appropriate disciplines. Discussions continue with a view to proposals being developed for implementation from August 2011.

8 *Continuing Education*

Government funding for the community outreach provision has been reduced and will taper off in the coming year. In terms of our excellence agenda, community outreach is not considered to be a core activity which we would wish to develop or grow in the current environment. Therefore, there is agreement that the dedicated professional administrative support for community outreach should be reviewed. Various options must be considered, for example, relocation of the staff resource to an area within the Continuing Education/Part-time MA Evening provision or another support service within the University. The review will be completed by the end of next session.

9 *College workload model, where allocation of academic time is based on College-wide principles*

The College has moved to a position where each School operates a workload management model for the allocation of academic staff time. The models used are broadly comparable in five of the seven Schools, whereas two others (ESWCE and GS) use different measures of allocation. There is a commitment to create a more standardised model, which recognises the University guidelines and is based on broad College-wide agreed principles - but is responsive to individual discipline requirements. The process of comparative alignment will commence next academic session and will continue over the next two years, being completed by September 2012. The workload model will also be used to allocate time for research, based on past and potential performance. This will mean that 'unfunded' research time will be reduced and in some cases will mean that staff time is freed up to support other academic activities.

10 *New taught postgraduate provision*

The College continues to seek innovative and new programmes which meet market demand. The focus in coming months will be in finding collaborations between disciplines, Schools and Colleges to create world leading programmes that exploit our areas of excellence with maximum efficiency. A new College Head of Taught Postgraduate Programmes has been appointed and early proposals will emerge by August 2010.

11 *Efficiencies in module and programme provision*

Areas of duplication within programmes/module portfolios are a concern and work has already begun in the College to collate robust information to identify areas of potential overlap. This is being done in conjunction with a similar project in Admission and Student Recruitment Services. The idea will be to complete the desk based investigation and then to work closely with academic staff to rationalise the portfolio and encourage interdisciplinary programme teaching. This will be an ongoing project commencing in July 2010 and rolling out over the following two years.

12 *Student recruitment*

CASS has a proven track record in recruitment of students at both UG and PG levels. At both levels the College has exceeded its recruitment targets in recent years. However, there is recognition of the need to meet, and not exceed, the targets for undergraduate student numbers by closely mapping student recruitment to the entry tariffs, which we are keen to raise further.

In terms of TPG numbers there must be consolidation and we have to be assured that students meet the entry standards. The quality of the student experience is essential, not least for the reputation of the College and the University and to ensure longer-term sustainability. The College is committed to a steady increase in taught postgraduate students over the coming years, but not at the expense of quality. This will be an ongoing project, commencing next academic session, and a constant consideration for all Schools in the College.

13 *Support for highest quality research at 3* and 4**

Staff were overwhelmingly in agreement with the view that the College must pursue only the highest quality research. There is, however, real concern as to how this will be achieved. It is recognised that individual members of staff will produce outputs of varying quality (e.g. 2* work as well as 3* and 4* work) and it is difficult therefore to judge definitively an individual's worth at this stage in the REF cycle. The College is undertaking research reviews in preparation for REF and the results of these will assist in making such judgements. However, there is agreement that the absolute minimum threshold for research support will be what the VP has termed 'rising 2*', i.e. staff will have to demonstrate that they have proven potential to achieve 3* and 4* outputs. Greater emphasis will be placed on funded research, i.e. research which is supported by research councils and other external sources. Allied to this the College will continue to follow its research strategy of selectivity, as proposed in the RAE 2008/REF 2013 document and, more widely to focus support for research in areas of existing strength, other than exceptionally. This project will be completed by December 2010

College of Life Sciences

The College of Life Sciences has taken forwards its plans for Strategic Review through two distinct projects centred on each of their two Schools.

1 *Analysis of 3* and 4* research*

A mini Research Assessment Exercise (RAE) has been conducted within the Life Sciences School of Research to measure the quality of research outputs produced by each of the Principal Investigators alongside data from an Academic Workload Model which identifies each individual's teaching and administrative contributions. This process is focussed on increasing the percentage of 3* and 4* research and identifying potential resource for the development of undergraduate and taught postgraduate teaching activity. The process has been established through extensive consultation with each of the Heads of the twelve research divisions.

2 *Curriculum review*

The recently-appointed Dean of the School of Learning & Teaching within the College has commenced a comprehensive review of the undergraduate teaching curriculum, which has been recently approved following a significant consultation period with both staff and students. A change action plan has been established with agreed time scales and a formal programme review with external assessment is scheduled for completion in November 2010.

The academic resource and expertise required to deliver the new high quality learning and teaching programmes is being determined and market research on student demand is being conducted in liaison with ASRS. Discussion has commenced with the Medical School over a more collaborative approach to biomedical teaching across the life sciences, medical and dentistry teaching curricula.

The above changes will result in a single entry process into a general early year life sciences curriculum, with specialisation into research-led subject areas in years three and four. The option to complete a fifth integrated masters year will be available by 2012/13.

College of Medicine, Dentistry & Nursing

1 *Definition of research excellence and application to individual performance*

All schools are currently performing a research review by collection of research data and appraisal by an appointed panel. Criteria for performance in research and teaching & learning have been established in Medicine and Nursing & Midwifery and are in the process of being developed in Dentistry. The reviews will commence in mid-summer 2010.

2 *Development of educational work programme with CLS to resolve teaching issues in anatomy and physiology for medical students and biomedicine teaching for CLS.*

Meetings have been taking place internally in Schools and externally in a group involving Professor David Coates (Dean of Learning & Teaching, College of Life Sciences) to scope out changes. Once the review of CLS programme has been completed in November 2010, timescales for this project will be established with a view to implementation in September 2011.

3 *Evaluation of existing Masters programmes for excellence and financial sustainability as well as launching new programmes at marginal cost.*

The programme review process has now commenced and is in progress, with the analysis of financial sustainability due to be completed by September 2010.

4 *Establish a high level task force between NHS and University to develop an agreement regarding space rationalisation at Ninewells.*

The School of Medicine has developed a strategy for future capital development and space rationalisation that will be considered in June by the Senior Management Team, along with an additional paper on internal restructuring of the Medical School. A high level Working Group has been established between the NHS and the College, which met for the first time in early June.

Student & Academic Support Services

The key proposed projects to be undertaken across Student & Academic Support Services comprise:

1 *To undertake process reviews designed to enhance service delivery while producing cost efficiencies, focusing in the following areas: procurement to pay; research grant administration; e-recruitment and HR systems; student administration; and internal recharging.*

The e-recruitment system will be implemented for the beginning of academic session 2010/2011 and the 'procurement to pay' process review has been established as a project and is up and running. Timescales for the remaining reviews will be agreed over the course of the summer.

2 *To develop business plans that minimise the requirement for university subvention, and if possible make a positive net contribution, in relation to the following income-generating areas of SASS activity: Botanic Gardens; Institute of Sport & Exercise; Development & Fundraising; Design, Print & Marketing; Centre for Archive & Information Studies; Disability Services; and Campus Catering.*

All areas affected have been made aware of the objective and have begun a process of consultation and internal discussion on how they might achieve enhanced financial performance. It is proposed that plans are completed in all areas by October 2010.

3 *To restructure Directorates and Services to streamline reporting and deliver management structures in order to enhance service delivery, increase operational efficiency and deliver increased resilience in service provision, through in particular: the creation of a Directorate of Student Operations; and the merger of the Principal's Office and Academic Affairs.*

The proposed establishment of a Directorate of Student Operations predates the publication of the strategic review and has been widely consulted upon since the beginning of the year. A job description and person specification for the post has been developed and an appointment will be made by end July 2010.

4 *To deliver a 10% reduction in University campus space over the current and following two financial years, generating net recurrent savings in energy, maintenance and cleaning costs and delivering capital receipts.*

The terms of reference of the University's Space Management Group have been revised and a prioritised list of University buildings and space for disposal/release has been consulted upon and submitted to the Finance & Policy Committee. The Group is now focusing its activities on delivering each of the proposed disposals/efficiencies. It is anticipated that the University will relocate activities from 166 Nethergate, University House and Caird House by the end of the 2010/2011 financial year.

5 *To review the facilities management across the University with a view to generating efficiencies with minimal impact on the provision of services.*

A consultation on the review was undertaken at a meeting of Campus Services staff held in the Dalhousie Building on 3 June 2010. Proposals will be brought forward for broader consultation with the wider University community by September 2010.

6 *To implement a revised approach to the identification, prioritisation and delivery of cross-University IT and Systems projects, and deliver enhanced management information/business intelligence.*

Proposals have been being developed by the Director of Information Services in the context of the recent PWC Review. These have been subject to discussion within Information Services and will be considered by the Information Management Steering Group and SMT in June 2010 for implementation from 1 August 2010.

7 *To review service delivery across Information Services in order to deliver ongoing efficiencies while protecting core services to staff and students.*

Early discussions have taken place among senior managers in Information Services surrounding opportunities to deliver ongoing efficiencies, with open meetings with staff held in particular in the Library & Learning Centre. A targeted plan for delivering efficiencies will be produced by September 2010.

8 *To review the activities of Research & Innovation Services following the appointment of a new Director in the context of likely future trends in SFC Knowledge Transfer Grant funding, the balance of activities across commercialisation and research grant-getting support and the Service's interface with Research Finance.*

The new Director of RIS has already commenced her review and consulted with staff within the directorate. A meeting with senior staff in the Finance Office is planned for early June to consider issues at the interface between RIS and Research Finance. A plan for the future development of the Service will be completed for consultation in September 2010.

9 *To deliver savings across SASS through ongoing scrutiny of vacancies across all services and maintaining close control of non-staff budgets in the context of the University's budget targets and any savings requirements identified as required.*

While essentially non-strategic, this objective simply reflects the ongoing commitment of SASS to deliver any savings requirements that might emerge as a result of the strategic review and/or the external funding environment.

STRATEGIC REVIEW CONSULTATION

College of Art, Science & Engineering

The College of Art, Science & Engineering has undertaken a period of extensive and very positive consultation involving College-wide and School specific meetings. The College has identified a range of projects to progress the Strategic Review, each of which has a Project Manager identified to ensure that appropriate and extensive consultation culminates in proposals which align with the objectives of the Strategic Review within the College, namely:

- To focus both research themes and taught provision on those areas evidenced to be truly excellent or with a short term trajectory to be excellent;
- To increase the proportion of research active staff with 3 /4* outputs by reduce unfunded research time and investing in strategic appointments and collaborations;
- To withdraw from activities which do not meet the excellence criteria and which do not align with the strategic focus of the College;
- To revise taught provision resulting in a revitalised and focussed portfolio of UG and TPG programmes is evidenced to be student and industry demand led
- To enhance the excellence reputation of the College and its Schools maintaining the focus on quality of research and student experience.
- Through this focus of activities, achieve an overall savings target of 10-12% within a 2-3 year implementation period.

In order to Support Deans and Project Managers in achieving the above objectives, the College will be undertaking a mid-term review in August to monitor progress and provide additional steer. It is expected that, by September 2010, consultations will have reached a point (including student consultation) where agreed proposals can move forward to the implementation stage including the identification of resource implications, both in terms of savings and investments.

College of Arts & Social Sciences

In addition to the SMT Strategic Review paper the College has issued all staff with the documents listed below. The College has worked hard to ensure that there have been and will continue to be opportunities for staff and students to contribute to the Strategic Review consultation:

- CASS 'contextual setting with the College/background to review' document issued to Deans for dissemination to all School staff on 26 April 2010, following the meeting of University Court.
- College Office and Continuing Education staff received the CASS report on 5 May 2010.
- Head of College issued an email to all CASS staff on 5 May 2010 inviting comment on University and College papers by 17 May 2010 (for discussion at College Board on 18 May), offering to meet and discuss Strategic Review with staff – and outlining the various opportunities for consultation at the School, College and University levels.
- Had of College met with various individuals and groups of staff, including DUSA President (4 May), Ken Edward (Enterprise Gym, 11 May), School of Psychology staff (18 May), staff from Economics, Geography and Architecture (24 May), Graduate Schools staff and students (24 May), Politics (24 May); throughout the period of consultation there has been an open channel of communication for all staff to the Head of College.
- Head of College issued email to Deans for distribution to staff, giving information on the background to the decisions regarding research and attaching the CASS document RAE 2008 and Towards REF 2013 (dated Spring 2009).
- College Board held on 18 May 2010 and a detailed minute of the discussion has been submitted to Senate.
- CASS support staff meeting held on 25 May 2010 (VP and College Secretary).
- Schools have held a number of consultation events for all staff and students; where proposals involve more than one School/group of staff the Deans have led joint discussions with identified groups of staff and students.

The feedback received (notes of meetings, email correspondence from individuals and/or groups of staff, discussions with staff groups etc) has been collated by the College Secretary. It is evident that staff and students have welcomed the opportunity to now get involved with the Strategic Review, although a common theme in the responses from staff has been the time taken by senior management to consult with a wider group. This has

created a climate of distrust, which has been countered by assuring staff that no firm decisions have been taken and that the consultation process now begun will be ongoing.

In CASS, the comments have mainly focused on the proposals in the strategic review documents, but there have also been critical comments on some of the conclusions outlined in the CASS documentation (e.g. it is argued by Economics that the CASS RAE review was unjustifiably hard on that discipline). These have been noted and specific responses made where appropriate.

The feedback has shaped the College response to the Strategic Review. While we have received numerous comments on the Strategic Review this document reflects the main bodies of opinion that we have been able to identify from individual and group responses. A few projects initially proposed in the Review have been dropped, others tailored to further enhance the proposals, and some remain unchanged.

College of Life Sciences

The strategic plans for the future sustainable development of the College of Life Sciences have been widely discussed at College Board and School Boards. Email communication has been circulated to all staff and postgraduate students and regular open dialogue held with undergraduate student representatives. An open meeting has been held with all support staff and an open invite made to all staff to meet personally with the Head of College if desired.

College of Medicine, Dentistry & Nursing

The College has held open meetings to discuss the Strategic Review on 7 May 2010 (Ninewells campus) and 12 May 2010 (City campus). Around 70 staff attended the Ninewells meeting and another 50 came to the City campus meeting. The following issues were raised, mostly in the form of questions to the Head of College:

- Concerns about the scale of job losses, how to avoid compulsory redundancies, and the position of fixed-term staff.
- The importance of balancing academic excellence with the financial imperatives.
- Practical implications for the Medical and Dental Schools of the proposed increased collaboration with Life Sciences on biomedical teaching.
- Ramifications of proposed/possible reductions in student numbers in Medicine and Nursing through national workforce planning; and restrictions on international student recruitment.
- Concern about the accuracy of TRAC data used for workload modelling in the Strategic Review; also, the inability to recognise differences between Schools in the total volume of hours worked.
- How 'unfunded' research was being defined for the purposes of the Strategic Review.
- The importance of maintaining clinical academic staff numbers in Dentistry because of the need for close supervision of students performing irreversible procedures.
- The potential for developing further teaching programmes for allied health professions.

Student & Academic Support Services

Discussions on the approach to be taken to the Strategic Review across SASS have been held at meetings of the Directors' & College Secretaries' Group, including a meeting where Directors presented their ideas in relation to the review and the outcomes of consultations they had had to date.

Directorates have each held, or are in the process of holding, open meetings with staff, involving student representatives in those discussions as appropriate. An open meeting for all SASS staff is to be held shortly.

HUMAN RESOURCE STRATEGY TO SUPPORT STRATEGIC REVIEW

Background

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.

The aim of the HR Strategy is to achieve such changes by voluntary and other means and every effort will be made to avoid compulsory redundancies. The action plan outlined below, sets out the policies to be adopted in the short to medium term to support the strategic aims of the University. Such policies will be fair and transparent and will adhere to the following principles:

- They will take account of existing employment legislation and current University policies, including our commitment to equality and diversity.
- There will be full discussion and consultation with the trade unions regarding the policies, at the earliest opportunity.
- **Voluntary severance will only be agreed to where it is considered in the best interest of the University.**

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/Directors and the University Secretary 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.

Voluntary Severance Scheme

All staff employed by the University may apply under this scheme. There will be no automatic right to a severance package and only cases that are in the University's best interest will be recommended for approval. **Voluntary severance will be made available to staff who meet the criteria as outlined below and who volunteer to leave.**

Formal applications for the scheme will be accepted up to **X(date)** after which time the scheme will close and may only be applied in specific areas of the University where further staff reductions are required.

For full-time posts the package available will be in the form of a lump sum voluntary severance payment, equivalent to one years' gross salary, that is, equivalent to the employee's current salary. Such payments will be inclusive of statutory redundancy provisions. Contractual payments only will be included in any calculation of the gross salary.

Partial voluntary severance may also be applied for and will be considered where a member of staff wishes to give up part of their post.

Consideration will also be given to applications where it is mutually beneficial to the member of staff and the University for the voluntary severance date to be at a future agreed date. Similarly, consideration will be given to voluntary severance where the member of staff wishes to relinquish their post on a phased basis (e.g. 50% voluntary severance immediately then 50% voluntary severance in 6 months' time).

Some individuals may wish to use their lump sum payment to purchase additional years of pensionable service. In addition, if staff are in a pension scheme where people aged 55 to 59 may retire without a reduction in benefits if strain on funds costs are paid, these costs will be borne by the University.

Staff are invited to explore these and other options which may be available. What is possible for individuals may be dependent on the rules of their pension scheme. Individuals wishing to find out more should discuss their options in relation to their pension with the University Pensions Officer, Miss Marion Imrie who can be contacted on ext 84044 or by email at m.imrie@dundee.ac.uk.

Lump sum payments will be made having regard to the relevant legislation on taxation. Up to £30,000 of any voluntary severance payment can be paid to an employee without any deduction of tax or National Insurance Contributions (in accordance with the Inland Revenue limit).

Procedure for Applying for Voluntary Severance

1. All staff will be informed of the availability of the scheme. Staff may note a confidential interest in the scheme and request further information by writing or emailing their College/Directorate HR Officers.
2. Individuals who have noted an interest in the scheme will be sent confirmation of their lump sum payment. At this stage the individual may also want to meet with the University Pensions Officer, Miss Marion Imrie if there are pension issues to discuss.
3. Having received the relevant information, the individual, if wishing to proceed, would formally apply in writing to their College/Directorate HR Officer, by completing the pro-forma 'Application for Voluntary Severance'. Such requests will then be passed to the relevant Head of College or in the case of Student and Support Services (SASS) staff to the University Secretary.
4. The Head of College/University Secretary in conjunction with the relevant Dean/Director will then consider if the criteria for granting voluntary severance are met. A 'School/College Voluntary Severance Consideration' form should then be completed forwarded to the College/Directorate HR Officer to confirm whether the case is being supported or not. The College/Directorate HR Officer will pass the documents to the HR Director.
5. The cases will then be considered by the Senior Management Team for approval. These decisions then going forward to the HR Committee and Finance and Policy Committee for information.

6. Individuals will be informed by their College/Directorate HR Officer regarding the outcome of any application.

The advice sought from the Heads of Colleges and the University Secretary regarding who might be considered for voluntary severance will relate to the following criteria:

Criteria for determining whether academic members of staff are given voluntary severance packages, (academic staff being defined as those in roles described as teaching and research, teaching and scholarship or research):

The essential criterion to be considered by the Heads of Colleges/University Secretary is that their recommendation (whether this is supporting the member of staff's request for voluntary severance or not) is in line with the aims of the Strategic Review. Thereafter the following criteria may be taken into consideration.

1. Assessment of the quality of the member of staff's research work.
2. Assessment of the quality of the member of staff's contribution to earning research income.
3. Assessment of whether the member of staff's subject expertise is essential to teaching programmes.
4. Assessment of the member of staff's contribution to the development of new academic provision (for example income generating postgraduate courses) and securing income from that source.
5. Assessment of the member of staff's contribution to earning income from other activities.
6. Assessment of whether the individual can be redeployed to meet an identified need.

Criteria for whether support staff are given voluntary severance packages, (support staff being defined as administrative, library, ITS, technical, clerical and manual staff):

The essential criterion to be considered by the Heads of Colleges/University Secretary is that their recommendation (whether this is supporting the member of staff's request for voluntary severance or not) is in line with the aims of the Strategic Review. Thereafter the following criteria may be taken into consideration.

1. Assessment of whether the individual has skills and expertise which could not be covered by other members of staff.
2. Assessment of whether workload levels in the relevant unit justify current staffing levels, having regard for potential efficiency improvements.
3. Assessment of ability to contribute to innovation in future service delivery.
4. Assessment of whether the individual can be redeployed to meet an identified need.

The relevance of the post to the long-term strategic needs of the University/College/Unit will also be taken into account together with financial constraints as appropriate.

Further Information

Any matters relating to information contained in this paper can be discussed with the College/Directorate HR Officer:

College of Art, Science and Engineering

Kaye Brackenbury k.z.brackenbury@dundee.ac.uk ext 84013

College of Arts and Social Sciences

Karen Gray k.gray@dundee.ac.uk ext 85110

Leonie Poor l.m.poor@dundee.ac.uk ext 85350

College of Life Sciences

Gillian Jones g.r.jones@dundee.ac.uk ext 88183

College of Medicine Dentistry and Nursing

Gillian Boyd g.boyd@dundee.ac.uk ext 88561

Suzanne Egan s.z.egan@dundee.ac.uk ext 85027

Student and Academic Support Services

Karen Gray k.gray@dundee.ac.uk ext 85110

Mark Skeldon m.skeldon@dundee.ac.uk ext 84774

Maggie Davidson m.a.davidson@dundee.ac.uk ext 85022

APPENDIX 4

FINANCE & POLICY COMMITTEE
(Minute 74)

A meeting of the Committee was held on 17 May 2010.

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

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

Apologies: Mr JR Milligan

1. MINUTES

Resolved: to approve the minutes of the meeting on 22 March 2010, noting that it had been explicitly approved that space management issues would be included in any future capital project proposals.

2. MATTERS ARISING

(1) Pensions Update – (USS)

The Director of Finance brought the Committee up to date on progress with the national review of the Universities Superannuation Scheme (USS). The Joint Review Group, set up to review the scheme and comprising representatives of the employers and the University & College Union, had been unable to reach an agreement on a way forward, and therefore each side in the negotiations had formally submitted its own proposals to the USS's Joint Negotiating Committee, which would meet in July 2010 to reach a decision on what changes might be made to the Scheme to ensure its future sustainability. The main focus of disagreement was the proposed adoption of 'career average revalued earnings' in determining the benefits of members. It was noted that the University & College Union was balloting its members on the issue. It was hoped that further information could be provided to the Committee at its next meeting at the end of August 2010.

(2) Pensions Update – (UoDSS)

The Director of Finance noted that initial discussions with the Scheme's trustees and the relevant Unions on the future of the University of Dundee Superannuation Scheme (UoDSS) had taken place. Further meetings will take place over the next few weeks.

3. MANAGEMENT ACCOUNTS – PERIOD 9

The Director of Finance presented the accounts for the period to the end of April 2010. These showed a forecast overall surplus for the year of £1.7m against a budget of £1.5m, and a forecast operating surplus of £1.5m against a break-even budget. Forecast capital expenditure for the year, at £15.2m, was in line with the capital programme, although a small amount of slippage was expected. To date the cash position was favourable, with working research capital broadly in line with levels at the start of the year. Although the forecast negative movement for the year was still being shown as £15m, it was now increasingly likely that the position would be more favourable than this.

4. BUDGET 2010/11 & FINANCIAL FORECASTS

(1) Budget 2010/11

The Director of Finance introduced the budget for 2010/11. The process of constructing the budget had progressed much as it had done for 2009/10, and it was clear that it was becoming an increasingly mature process, characterised by constructive discussions and realistic proposals from the Schools and individual units from an early stage.

The headline figure for the budget was an operating surplus of £2m. Nevertheless, there were a number of risk areas. One major risk was the continuing lack of clarity on the precise level of knowledge transfer grant, since the Scottish Funding Council (SFC) had announced that 70% would be formula driven, leaving the remainder to be allocated through a competitive bidding process. Additionally, given the uncertainty surrounding Government funding, it was possible that the SFC might claw back grant during the year. There was also the uncertainty of the outcomes of the current pay negotiations.

Continued growth in tuition fee income and in research overhead recovery had both been factored into the budget projections, and the achievement of these targets would help to offset the absence of a real increase in SFC funding. This was not without its own risks given the pressures on the very competitive research funding landscape and the as yet unknown effects of new immigration rules on overseas student recruitment. But the targets were felt to be achievable.

The University was confident that the budget agreed by the Colleges and Senior Management Team was reasonable in the circumstances and took account of relevant risk factors.

The Convener noted that he would be discussing the phasing of the budget with the Director of Finance with a view to enhancing further its alignment with the actual profile of expenditure throughout the year.

Resolved: to recommend to Court approval of the budget for academic session 2010/11.

(2) Financial Projections

The Director of Finance turned to the financial projections for the period to 2012/13, which the University was required to submit to the SFC as well as to its banks. He acknowledged the great degree of uncertainty associated with many of the items in the projections, affected in particular by the significant pressures on public spending. The projections had been based on an 'As-Is' basis, which assumed no change to the University's profile and scope of activity arising from strategic review. It was clear from indications from Government and other agencies and commentators that the sector could expect reductions of up to 15% in funding over the next 4-5 years. It was also likely that there would be ever tighter control of student numbers.

The Director explained the assumptions used. SFC funding had been assumed to remain flat in cash terms across the period, but with the restoration of teacher training provision and with revisions to teaching funding price groups in line with those previously proposed. Continued growth in tuition fee income and research overhead recovery was also forecast for the period. Set against this were forecast increases in pay and utility costs. Taking all of this into account the projections were for a break even position for each of 2011/12 and 2012/13.

A number of potential scenarios were also set out in the paper, and these modelled the effects of more stringent public funding cuts as well as the non-achievement of tuition fee and research funding targets. If these scenarios proved accurate, the effect on the University's financial position would be stark, bringing the University into a deficit position, and would require significant action to remedy.

The cash position would need to be managed carefully over the period to ensure the University's borrowing levels remained within acceptable limits. There were likely to be significant effects on the affordability of the existing capital programme, and the University would need to re-consider its priorities in this area, particularly since it was likely that capital funding from both SFC and the Department of Business, Innovation & Skills (DBIS) would be reduced.

In discussion, the Committee encouraged officers to consider what action it might take if SFC funding was indeed reduced. It also discussed the achievability of the Strategic Framework's goal of a 3% surplus. It was noted that 3% was the minimum recommended by the SFC to maintain an institution's infrastructure, but there was also acknowledgement that it was potentially de-motivating for staff to be set an unachievable target. Officers pointed out that most of the income targets set originally had been met, and that, but for the fact that pay and pension cost increases had exceeded increases in SFC funding, the University would by now have achieved a 3% surplus. It was also emphasised that the projections had been constructed

on an 'As-Is' basis and that therefore any potential savings to emerge from the Strategic Review had not been included. These savings, it was argued, would contribute over time towards creating a more resilient financial basis for the University.

Resolved: to recommend to Court approval of the projections for onward transmission to the SFC and the University's bankers.

5. TUITION FEES 2010/11

The Committee received for information notification of the tuition fees to be charged during academic session 2010/11. The Director of Finance explained the process whereby fees were set and noted that under the Schedule of Delegation and Decision-Making the setting of fees was a matter delegated to the Senior Management Team.

Some members of the Committee were concerned that some of the fees (and increases to fees on the previous year) appeared to be low, particularly given the current foreign exchange rates which increased the competitiveness of UK fees in general. The Committee acknowledged that fee rates for 2010/11 were now set and could not be changed, but encouraged officers to ensure that fees for subsequent years, which were now being discussed, were set at an appropriate level to maximise both recruitment potential and overseas income. Officers noted that the fee-setting process was an integral part of the budget review process, so that individual Schools and Colleges understood the interrelationship of volume, price and recruitment on the ground. On the other hand, there was recognition that, given the sensitivity of overseas recruitment, particularly in the face of changing immigration rules and heavy competition from other institutions, altering the pricing structure of tuition fees bore significant risk, and Deans and academic managers needed to be well prepared to address it.

It was suggested that in future the Committee should receive an evaluative account of the approach to fee-setting that was taken in any given year, rather than merely a list of the fees that had been agreed. This would provide the context and assurance that the Committee's concerns were being addressed.

Resolved: to ask officers to ensure that these concerns were fed into subsequent fee-setting rounds.

6. ESTATES BUSINESS

(1) Capital Plan Progress Report

The Committee received a routine report from the Director of Campus Services outlining progress with the capital plan. The Director noted that the larger projects (i.e. Duncan of Jordanstone, Scrymgeour and Fulton buildings) were being contracted in smaller packages, enabling a certain degree of flexibility in timing as the projects progressed, if this proved necessary.

(2) Reducing the Size of the Estate

The Committee received a paper outlining the approach being taken to reducing the size of the University's estate. In reviewing the estate, four main areas for reduction had been identified: disposal, consolidation of existing space, lease of property to third parties, and demolition. The University had set itself an initial target to reduce the space required by 18,000m² over the next 2-3 years. The positive implications of this reduction in space would be felt on a number of areas, not least energy and space efficiency and the quality of the remaining estate, since there would be scope for investment in maintenance of existing buildings.

Members asked about the currency of the campus masterplan that had been developed some years ago. Whilst the developments contained in it would not feature as part of the capital plan for the foreseeable future, they nevertheless provided a holistic guiding framework to individual campus developments as they arose.

Resolved: to endorse the approach being taken in this area.

7. FAREWELLS

The Committee paid tribute to the President of the Students' Association, for whom this would be the last meeting of the Committee, and wished him well in his future career. The Committee noted also that this would have been the last meeting of Mr Milligan, noting further that members would have the opportunity to pay tribute to his contribution to the University at the Court meeting in June.

APPENDIX 5

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 76(1))

A meeting of the Committee was held on 17 May 2010.

Present: Mr JR Milligan (Convener), Principal Professor CP Downes, Professor RJ Abboud, Mr WI Ball, Mr R Burns, Dr J Lowe, Mr EF Sanderson, Mr IDM Wright.

In Attendance: University Secretary and Clerk to Court.

1. MINUTES

Resolved: to approve the minutes of the meeting on 22 March 2010.

2. MATTERS ARISING

Election of the Chairperson (Minute 2(1))

The Committee noted the results of the election.

3. PROSPECTIVE COURT MEMBERS

The Committee discussed the progress of the interviews of the seven shortlisted candidates for membership of Court. The interview of the final candidate would take place on 2 June 2010.

The Committee was mindful of the fact that Mr Milligan and Ms Newton would be leaving the Court, that there was currently an outstanding lay vacancy on Court and that changes to Statute 9, to be approved by the Privy Council, would create a further lay vacancy. The Committee noted therefore that four vacancies on Court required to be filled from 1 August 2010.

Resolved: to meet on 2 June 2010 to decide recommendations for Court membership for presentation to Court at its meeting on 14 June 2010.

4. COMMITTEE MEMBERSHIP 2010/11

The Committee considered the convenership and membership of Court committees for 2010/11. Given the number of lay vacancies remaining and the fact that the interviews for prospective members had not been fully concluded, the Committee agreed to delay full consideration of this issue until it was in a position to make recommendations to Court on Court membership.

Resolved: in view of Mr Sanderson's election as Chairperson of Court, to recommend that he become convener of the Governance & Nominations Committee and a member of both the Finance & Policy and Remuneration Committees; all of these roles in succession to Mr Milligan.

5. STATUTES & ORDINANCES

(1) Statute 9 – The Court

The Committee received notification of the comments of the Privy Council's advisers on the proposed changes to Statute 9, which the Court had approved, subject to any changes required by the Privy Council, at its meetings on 22 February and 26 April 2010. The Committee also received revised proposals for Statute 9 which took account of the Privy Council's comments.

Resolved: to endorse the revised proposals, noting that, since the revisions were explanatory only and in line with the comments of the Privy Council's advisers, they did not require a further Special Resolution of the Court [Note: see also Minute 4(1) of the Committee's meeting on 2 June 2010].

(2) Review of Statutes & Ordinances

The Committee received a paper from the Clerk to Court setting out the case for a review of the Charter and Statutes. The review would take account of the former Scottish Cabinet Secretary for Education & Lifelong Learning's letter regarding University governance arrangements and would also seek to modernise the governance framework of the University. The review would be subject to wide and open consultation.

- Resolved:**
- (i) to approve the establishment of a working group, comprising the Chairperson of Court elect, Mr WI Ball, Mr IDM Wright, the University Secretary and the Clerk to Court, to carry out a review of the Charter and Statutes with a view to presenting proposals at the Committee's meeting on 4 October 2010; but
 - (ii) to note that the particular issue of Statute 16 (the 'model statute') would initially be taken forward through discussion at the Human Resources Committee and in consultation with the campus unions.

6. **DIVERSITY AND UNIVERSITY GOVERNANCE ARRANGEMENTS**

Resolved: to agree that the Committee should assume responsibility for ensuring that diversity issues were taken into consideration across the University in the appointment or nomination of representatives to University, College or School governance bodies, and that it should develop best practice guidance for Schools on this matter.

7. **MEETINGS OF THE COMMITTEE IN 2010/11**

Resolved: to meet on Monday 4 October 2010 at 10am and Monday 16 May 2011 at 10am.

APPENDIX 5 (contd.)

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 76(1))

A meeting of the Committee was held on 2 June 2010.

Present: Mr IDM Wright (Acting Convener), Principal Professor CP Downes, Professor RJ Abboud, Mr WI Ball, Mr R Burns (by teleconference), Dr J Lowe

In Attendance: University Secretary and Clerk to Court

Apologies: Mr JR Milligan, Mr EF Sanderson

1. NEW COURT MEMBERS

Following a series of interviews with prospective candidates, the Committee considered those candidates to be put forward for appointment to Court.

Resolved: (i) to recommend to Court that it appoint the following as lay members in terms of Statute 9(1)(l) for the period 1 August 2010 to 31 July 2014:

Mr Jo Elliot
Ms Christina Potter
Mr Andrew Richmond; and

(ii) to undertake to evaluate the success of the new approach to recruiting Court members at the Committee's next meeting.

2. COMMITTEE MEMBERSHIP 2010/11

The Committee considered the convenership and membership of Court committees for 2010/11, incorporating in its considerations the recommendations to Court regarding new Court appointments.

Resolved: (i) to recommend to Court that, subject to its approval of recommendations relating to new Court appointments (Minute 1 above refers), it approve the committee memberships for 2010/11 as set out in annex;

(ii) to recommend to Court that it establish the principle that additional lay co-opted non-Court members of committees of Court (for example on the Audit Committee) be subject to a maximum period of service of two terms of four years each, noting however that the Committee was nevertheless recommending that Court approve the appointment of Ms J Thomson to the Audit Committee for a further, ninth year to 31 July 2011; and

(iii) to review Dr Lowe's committee commitments in a year's time with a view to reducing the number of committees on which she serves.

3. CAMPUS SERVICES COMMITTEE

At its meeting on 4 September 2009, the Court had approved memberships for committees for 2009/10, noting that the business of the Campus Services Committee would be taken forward as part of the remit of the Finance & Policy Committee. It had been agreed that this arrangement would be reviewed when committee memberships for 2010/11 were being discussed. The Committee therefore listened to the views of members on how well this arrangement had operated, with a view to determining whether the Campus Services and Finance & Policy Committees should be formally merged.

Resolved: on the basis that the arrangements had thus far proved effective, to recommend to Court that it approve the permanent merger of the Campus Services Committee and the Finance & Policy Committee to form a committee to be known as the 'Finance & Policy Committee'.

4. STATUTES & ORDINANCES

(1) Statute 9 – The Court

The Committee received notification of further comments from the Privy Council's advisers on the proposed changes to Statute 9, which the Court had approved, subject to any changes required by the Privy Council, at its meetings on 22 February and 26 April 2010. The Committee also received revised proposals for Statute 9 which took account of the Privy Council's latest comments (including those proposals emanating from previous comments from the advisers and which were considered by the Committee at its meeting on 17 May 2010).

- Resolved:**
- (i) to endorse the revised proposals, noting that, since the revisions were clarificatory only and in line with the comments of the Privy Council's advisers, they did not require a further Special Resolution of the Court; and consequently
 - (ii) to authorise officers, as appropriate and once the Privy Council's advisers were content with the proposals, to prepare the Sealed Resolution for formal submission to the Lords of the Privy Council in accordance with articles 15.3 and 20 of the University's Charter.

COMMITTEE MEMBERSHIP 2010/11

- | | |
|--|---|
| <p>1. Audit Committee</p> <p>Dr Howard Marriage (Convener)
Mr John Barnett
Emeritus Professor Ann Burchell
Mr Jo Elliot
Mr Keith Swinley
Ms Jacqui Thomson)</p> <p>2. Ethical Review Committee</p> <p>Dr Angela Roger</p> <p>3. Finance & Policy Committee</p> <p>Mr Richard Burns (Convener)
Principal
VP Professor James Calderhead
Mr Ian Ball
Dr Janet Lowe
Dr Lesley McLellan
Mr Andrew Richmond
Mr Eric Sanderson
Mr Iain Wright
President of the Students' Association</p> | <p>4. Human Resources Committee</p> <p>Dr Janet Lowe (Convener)
VP Professor Chris Whatley
Professor Rami Abboud
Mr Donald Cathcart
Mr Ian Leith
Professor Gary Mires
Dr Howard Marriage
Ms Christina Potter
Dr Angela Roger</p> <p>5. Governance & Nominations Committee</p> <p>Mr Eric Sanderson (Convener)
Principal
Professor Rami Abboud
Mr Ian Ball
Emeritus Professor Ann Burchell
Mr Richard Burns
Dr Janet Lowe
Mr Iain Wright</p> <p>6. Remuneration Committee</p> <p>Mr Richard Burns (Convener)
Mr Jo Elliot
Dr Janet Lowe
Mr Eric Sanderson</p> |
|--|---|

In addition, the Committee recommends that Ms Christina Potter be appointed as the University's lay representative for the Governing Board of the Tayside Academic Health Sciences Centre (TAHSC).

APPENDIX 6

PROPOSAL TO ESTABLISH HONORARY FELLOWS OF THE UNIVERSITY (Minute 79)

Context

1. There is a range of external individuals who are neither staff nor students of the University but who have a close relationship with the institution and make (or have made) a significant voluntary contribution to its work. Such contributions may be, for example, in terms of direct input to teaching or research, the provision of external advice or expertise, advocacy or networking on the University's behalf, distinguished membership of the Court or other bodies, development and fundraising activities or involvement in employability and enterprise programmes.
2. While ways are found to ensure such individuals are aware that the University appreciates their efforts, we currently lack mechanisms by which we can formally recognise them, or that enable them to meet and interact with each other. A range of institutions surveyed across the sector have put in arrangements to address this issue, with a number of different models in operation. They are in the main intended to represent an appropriate way in which to honour persons who might not be nominated for an Honorary Degree.

Proposal

3. The University's existing criteria for Honorary Fellowships were originally limited to retired staff who had given substantial service to the University and who wished to retain a formal connection. In 2004 the award was extended to 'friends' of the University who had made or were hoped to make a significant contribution to its work. Other than a handful of appointments, very little use of these provisions has been made, so it seems timely to review them with a view to reinvigoration.
4. It is proposed therefore that the University establishes a group of *Honorary Fellows of the University* whose members are nominated on the basis of having made, and having the potential to continue to make, an outstanding voluntary contribution to the life and work of the University. It is envisaged that the Honorary Fellows would meet formally once a year, perhaps through the holding of an annual dinner at which a ceremony could be held to induct new members. The Fellows would be headed by a President and have a small business committee that acted as a focus for their activities. As well as continuing their contributions to the work of the University through their individual activities with Schools, Colleges and/or Directorates, the Honorary Fellows collectively would have a responsibility through their Business Committee for:
 - Acting as advocates and ambassadors for the University;
 - Building links between the University and the local community, local/national business and industry, the public sector and civic Dundee;
 - Acting generally as a sounding board for the Principal in relation to the future development of the University;
 - Supporting the University's fundraising and development activities.
5. It is suggested that proposals for the appointment of individuals as Honorary Fellows be made through Schools, Colleges and Directorates to the Senior Management Team, which would make a recommendation to the Senate and the Court for formal approval.
6. The following three anonymised profiles give a flavour of the types of candidate who might be suitable for consideration.
 - (a) Background in armed forces and private finance, with a current focus in property. An active contributor to the Prince's Youth Business Trust (PSYBT) and a supercoach in our Enterprise Gym.
 - (b) Left school at 15, to serve an engineering apprenticeship. Built up a significant industrial equipment company that has now been sold. Currently a Business Angel, active with Young Enterprise Scotland.

- (c) Serial entrepreneur, now concentrating on enterprise coaching and business centre management. Currently a non-executive director of a University life sciences-based spin-out company.
7. While in the first instance it is proposed that the Honorary Fellows would be drawn mainly from a local and (Scottish) national base, it is suggested that in the future a category of International Honorary Fellow might enable contributions to the University by those residing overseas to be recognised and provide a focus for some of the University's activities in other parts of the world.

Recommendation

8. Both the Senior Management Team and the Senate have considered the proposal and provided their endorsement. The Court is therefore also now invited to: (a) approve the proposal set out in this paper for the establishment of a group of Honorary Fellows of the University; and (b) discuss the various ideas in the paper for the mode of operation of the Fellows.

APPENDIX 7

COMMUNICATIONS FROM THE SENATUS ACADEMICUS
(Minute 81)

1. UNIVERSITY COURT

- (1) The Senatus received a communication from the meeting of the University Court held on 26 April 2010.

The Senatus decided:

- (i) on paragraph 13 and Annex 2, for its part:
 - (a) to approve the proposals subject to the inclusion of the alternative to the fast-track in the annex;
 - (b) to note that paragraph (c) in the annex should read 'nominated' and not 'appointed';
- (ii) for the rest, to note the report.

- (2) Statute 16 Appeal

The Senatus was informed that a Statute 16 appeal had been received and that there was a requirement for a Senate representative to serve on the Appeal Committee.

The Senatus decided: to approve the nomination of Professor C Reid.

2. PRINCIPAL'S REPORT

The Senatus received a report from the Principal on issues arising from the most recent meetings of the Senior Management Team.

On the appendix to the report, the Principal reported that the current total of external funding was running ahead of budget and that this was a significant achievement by the staff involved. He drew Senate's attention to the election of staff to the Royal Society and the Royal Society of Edinburgh noting that this was the first time that the University had two FRSs in a single year. The Senatus joined the Principal in expressing its congratulations to the staff who had been elected. The Principal also noted that the recent ranking of DUSA, as one of the world's best students' unions, was particularly pleasing and largely the result of the commitment and enthusiasm of the student executive and of the core staff of the Association.

On the main body of the Report, the Principal outlined progress with the process of consultation across the University and stressed that the report to the Court on 14 June was merely a staging post in an on-going process of consulting and developing elements of the Strategic Review. The Senatus was invited to comment on the process thus far and, in the course of discussion, it was noted that no specific levels of 'cuts' has been applied to Schools, but that active discussions were being undertaken which it was hoped would have the eventual outcome of meeting the targets indicated in the original review document.

The Senatus decided: to note that extensive discussion of the proposals was taking place across the University and for the rest, to approve the report.

3. ORDINANCE 39: AMENDMENT

The Senatus decided: to endorse to the Court the undernoted amendment to Ordinance 39 to permit postgraduate certificate and diploma holders to attend graduation ceremonies:

'6 A graduate of the University of Dundee is a person who has been awarded one or more of the degrees or qualifications given in paragraph 1(1) and 2 above, ...'

4. **AWARD OF HONORARY FELLOW**

The Senatus received a paper from the Secretary.

In the course of discussion, it was noted that paragraph 4 might be refocused on the future contribution of potential nominees and that it might be appropriate to specify the inclusion of a wider category of national and international nominees.

The Senatus decided: to welcome the proposals and to invite the Secretary to amend the proposals to reflect Senate's views prior to their submission to Court.

5. **PROFESSORES EMERITI**

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

Professor G Codd
Professor W Nixon

APPENDIX 8
HUMAN RESOURCES COMMITTEE
(Minute 82)

A meeting of the Committee was held on 24 May 2010.

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

In Attendance: University Secretary, Director of Human Resources, Director of Finance, Mrs M Davidson.

Apologies: Professor A Anderson, Dr A Rogers.

1. **MINUTES**

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

2. **MATTERS ARISING**

(1) Change to Academic Terms and Conditions (Minute 2(3))

Following previous notification to the Committee, the Director of Human Resources confirmed that it was intended to commence work on reviewing the employment term of 12 months' notice for redundancy within the academic contract of employment, the reason being that it is anomalous and inequitable when compared with terms and conditions of other staff at the University and, furthermore, out of step with the sector as a whole. Negotiations with DUCU will be arranged.

(2) Redundancy Committee (Minute 2(4))

The Committee was advised that the Court had decided to close the Dalziel and Scullion Environmental Art Practice and that on the recommendation of the Redundancy Committee had decided that the two academics concerned were redundant for that element of their employment contracts (0.45FTE). The members of academic staff concerned had received notice of redundancy, as had the two support staff, one of whom had to date been redeployed. Redeployment opportunities were continuing to be sought.

Resolved: to note the position.

(3) Concordat (Minute 2(5))

The Committee welcomed the considerable activity that had taken place. It was noted that Professor Anne Anderson had provided strong leadership and ambition for the group but that she would be leaving the University shortly. It was also recognised the value of having a senior academic in the role of Chair.

Resolved:

- (i) to note and support the activity of the Concordat Steering Group;
- (ii) to consult the Principal with regard to replacing Professor Anderson and whether the University Research Committee should provide input;
- (iii) to thank Professor Anderson for the positive progress made by the Group.

3. **STRATEGIC REVIEW**

The University Secretary advised the Committee that the Strategic Review paper had been approved by Court and that a further paper will be submitted to Court on 14 June 2010. The document had been circulated to staff for consultation and Vice-Principals and Heads of College asked to start the communication and consultation process with their staff.

Consultation with the campus unions has commenced, is ongoing and will continue throughout the Strategic Review. At recent Local Joint Committees it emerged that staff felt communication was not sufficiently specific. The University Secretary considered this to be partly a function of the stage of the communication and further information, discussion and consultation with staff would continue up to and indeed after the Court meeting on 14 June 2010.

DUCU has indicated that they would not enter into consultation unless reference to compulsory redundancy was removed from the Strategic Review document. The Director of Human Resources confirmed she had made it clear that compulsory redundancy would be considered only in the last resort and that the University was committed to entering into discussions with the campus unions to develop a Redundancy Avoidance Policy. Nevertheless, DUCU stated that it may ballot members to endorse industrial action if the document continues to refer to compulsory redundancy.

A member of the Committee raised the point that he believed there was an anomaly in the Strategic Review paper inasmuch as paragraph 27 stated that teaching should be aligned with the University's research strengths whereas he understood that, provided a teaching course was financially successful, there would be no reason to discontinue it even if it was not aligned to the University's research strengths. However, it was pointed out that many organisations focussed on their core competencies and tended not to diversify into areas unrelated to their 'core business' Paragraph 27 gave a clear indication of this in relation to courses.

The Committee then deliberated upon the matter of communication. The feedback received was that there was insufficient detail; that the communication was not occurring sufficiently quickly and that rumours were circulating. The Director of Human Resources confirmed that the Principal had tasked the Vice-Principals and Heads of College with ensuring effective communication and consultation in their Colleges and had asked for a detailed report from each. The University Secretary committed to ongoing communication with staff and campus unions throughout the Strategic Review which, he highlighted, was a complex programme comprising multiple projects, each of different duration, which would extend over a 2-3 year timeframe.

- Resolved:**
- (i) to note the position;
 - (ii) to emphasise the importance of an effective communication strategy to support the Strategic Review;
 - (iii) to continue consultation with staff and the campus unions;
 - (iv) to conclude a Redundancy Avoidance Scheme that will contain all reasonable steps to avoid compulsory redundancies; and to note with regret the threat of a ballot for industrial action on the part of DUCU.

4. HR STRATEGY TO SUPPORT THE STRATEGIC REVIEW

As an example of the steps the University was taking to avoid compulsory redundancies, the Director of Human Resources outlined the content of the Voluntary Severance Scheme that was proposed and would be submitted to the next meeting of Court. She explained that there were two main differences to the previous Voluntary Severance Scheme: that there was no requirement for a School or Directorate to surrender a post in order to recommend voluntary severance to the Senior Management Team (which would continue to approve or decline voluntary severance requests) and administration at College/SASS level would improve turnaround times for recommendations being made. The Director of Human Resources confirmed that no member of staff would be excluded from consideration for voluntary severance although individual circumstances such as strain costs, research funding and the recovery of salary would be taken into account in the decision-making process. The Director of Finance stated that it would be necessary that a voluntary severance decision resulted in a net financial benefit to the University.

The Committee placed importance on the need to link the launch of the Voluntary Severance Scheme to the Strategic Review in order that staff who may be considering requesting voluntary severance could do so in context of the manner in which the Strategic Review was to be implemented in their School/Directorate. Discussion then took place in relation to the appropriate timing for the launch of the Voluntary Severance scheme. It was felt by some on the Committee that given the lack of clarity being expressed by some staff in relation to what impact the Strategic Review was going to have, it may be that an early launch date for the Voluntary Severance scheme would not be appropriate.

Resolved: to ensure that there is a clear link between the launch of the Voluntary Severance Scheme and the Strategic Review.

5. HUMAN RESOURCES

(1) National Pay Negotiations

The Director of Human Resources advised the Committee that the final meeting of JNCHES /Trades Union would take place on 28 May 2010. The current situation is that the Trades Union are considering the management offer of a non-consolidated increase of 0.4%.

(2) Model Statute

The Committee noted that three members (Professor Aboud, Professor Mires and Dr McGeorge) had a conflict of interest in this item as they were subject to the arrangements outlined in Statute 16.

The University Secretary reminded the Committee that Statute 16 was not compliant with current employment legislation or good Human Resources practice. Indeed it was noted that difficulty had arisen in a recent case of applying Statute 16 and was considered to be to the detriment of the academic member of staff it affected.

The University Secretary explained that the paper outlined the proposed replacement for Statute 16, which set out high level principles in relation to the University's HR Framework and retained within it the concept of academic freedom within the law. The proposed revised statute removed the detail of HR policies and procedures from the statute, thereby enabling them to be updated by Court as and when required to comply with employment law and best Human Resources practice. The Director of Human Resources advised that the paper and the most important procedures: discipline, grievance and appeals were discussed at the recent Local Joint Committees and the campus unions were to respond.

Resolved: to approve the paper.

(3) Performance Management (Objective-setting and Review)

The Director of Human Resources presented a paper to the Committee indicating an audit trail of the activities within the project to develop the performance management process (now renamed Objective-setting and Review). Three hundred staff who are to be reviewers had been trained and a few remained to be trained. The training for the remaining staff will be delivered by Human Resources. The Chair stated that this had been a useful exercise of high importance to the University and commended the work.

Resolved: to approve the paper.

(4) HERA Job Evaluation

(i) Maintenance Procedure

The Director of Human Resources reported that UNITE and UNISON had agreed to the Maintenance Procedure but a further meeting with DUCU had been necessary to finalise certain minor changes. The Deputy Director of Human Resources now planned to launch the Maintenance Procedure as soon as possible asking for applications by the end of June 2010. After dealing with a backlog of submissions the Maintenance Procedure will proceed on an annual cycle.

Resolved: to approve the implementation of the Maintenance Procedure.

(ii) Formal Appeals

The Committee noted the paper detailing the appeals data. The Director of Human Resources advised that although the process had been very time-consuming it had proceeded well.

Resolved: to note the position.

(5) E-recruitment

The Director of Human Resources reported that the initial testing of the system had been completed and the changes required had been fed back to Stepstone to be implemented. The Human Resources team had now embarked on intensive training. The progress of the e-recruitment project was going well in general and was on course to meet its August target date but there had been a slight disappointment in that the referencing module had been found to be not fit for purpose. Although other Universities had been using this module, Human Resources testers had discovered that referees quoted on an initial application were overwritten if a candidate subsequently applied for another post. On this basis the decision had been made not to use the referencing module.

Resolved: to note progress with e-recruitment.

(6) Pensions

The Committee heard from the Director of Finance that the national Joint Review Group that had been established in 2008 to consider the risks and make recommendations for the future of the USS Pension Scheme had, as of April 2010, failed to come to an agreement. The employers' side had recommended a career average scheme and a slight increase in contributions but UCU's position was to retain a final salary scheme. The next stage is a final meeting of the Joint Review Group in July 2010 and UCU are conducting a consultative ballot of their members (who comprise 40% of the members of USS). The Committee discussed the risks for the USS Pension Scheme if the Joint Review Group is unable to come to a decision. It was noted that the Chair of the Group has a casting vote, which may or may not be used.

Staff had been informed as to how to access information from both sides to then enable them to make informed decisions.

The Director of Finance also apprised the Committee that work had been ongoing with the Trustees and KPMG on the Dundee University Pension Scheme and proposals would be submitted to Court in due course.

Resolved: to note the position.

(7) Policies and Procedures

The Director of Human Resources introduced the policy statement and guidelines regarding support for disabled members of staff and asked the Committee for its approval. The consensus was that the documents were very comprehensive and well written; however some concern was expressed about implementation. The Director of Human Resources acknowledged that there had been some difficulties, largely connected with budgets for reasonable adjustments but she believed that the approval and publication of the documents would place the University in an even stronger position to support staff with disabilities.

It was agreed that the acronym used in the document was PEEPS whereas it should be PEEPs and that in Section 4: Recruitment and Induction the word 'unjustifiably' should be inserted in line 3 before 'exclude'.

A request was made that disability statistics be produced and submitted to the Human Resources Committee in order that it may monitor the implementation of the policy and procedures.

Resolved: (i) to approve the policy statements and procedures subject to amendments discussed.

(ii) to produce disability statistics.

6. **EARLY DISPUTE RESOLUTION/MEDIATION**

A report from Mrs Fiona O'Donnell, the Convenor of the edr group was received.

Resolved: to note the report.

7. EQUALITY AND DIVERSITY

The Committee received a report from the Equality and Diversity Officer.

The Director of Human Resources confirmed that there was a considerable number of staff who still had not completed the Equality and Diversity e-training course and she intended to write to Deans, Directors and Heads of College to identify those members of their staff who had yet to complete the course and request that they encourage their staff to complete the course. The Chair endorsed this approach. It was emphasised that the course is mandatory and that more assertive measures might be required in due course to secure full participation..

The Director of Human Resources also advised that an Equality Impact Assessment training course was being delivered on 10 June 2010 to which any member of the Committee would be welcome.

Resolved:

- (i) to note the report;
- (ii) to encourage staff to complete the Equality and Diversity e-training course via Deans and Vice-Principals and Heads of College.

8. PERSONAL AND PROFESSIONAL DEVELOPMENT

(1) A report from the Director of Management and Personal Development Service was received.

The report provided was noted and the Director of Human Resources highlighted that a considerable amount of work was created by the Objective-setting and Review training. The Director of Finance apprised the Committee of the support being provided in Finance. A member of the Committee advised that a network is being built among Scottish Universities with regard to HEATED training.

(2) A report on Academic Professional Development from the Assistant Director (Educational Development) LLC was received.

The Committee discussed Dr Rogers' concerns about the suggestion of capping the availability of the LTA module and the Committee agreed with the points made. The University Secretary committed to resolving the matter.

The Committee also discussed the suggestion of a more clearly defined career path for teaching staff and potential alternative job titles. The Director of Human Resources stated that Professor James Calderhead had been tasked by the Principal to lead the debate on this subject, ensure a high level of engagement and bring forward proposals to Senate.

(3) A report from the Head of Generic Skills was received.

In the absence of Ms Christine Milburn, who is on maternity leave, Ms Lisa Anderson and Ms Sandra Oza are planning the 2010/11 programme.

9. HEALTH AND SAFETY

A report from the Head of Safety Services and minutes from the Health and Safety Sub-Committee were received. The Committee noted that whilst the statistics were not concerning there was a need for the process of updating risk assessments to be progressed as a matter of urgency.

After discussion, the Committee expressed its satisfaction that regulation, surveillance, communication and follow-up was being implemented tightly in cases where staff suffered reactions to workplace allergens.

Resolved: to progress risk assessments urgently.

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

Approved minutes of the meeting held on the 12 May 2010 were tabled. The Director of Human Resources confirmed that it will be necessary to consider an extension of facility time for UNITE.

(2) University/UNISON Local Joint Committee

Draft minutes of the meeting held on the 12 May 2010 were tabled. The Committee noted that these had still to be agreed. The Director of Human Resources confirmed that it will be necessary to consider an extension of facility time for UNISON.

(3) University/DUCU Local Joint Committee

Draft minutes of the meetings held on 13 May 2010 were tabled. The Committee noted that these had still to be agreed. The Director of Human Resources reiterated the possibility of DUCU balloting members on industrial action. She also advised the Committee that a collective grievance had been received from UCU on the basis that the University had not entered into discussions about avoidance of redundancy. As the University felt strongly that it had been seeking to make progress on this matter over a considerable time period with little engagement from the union, the University Secretary had written to the Regional Official outlining the University's position, but emphasising also that it wished to enter into consultation with DUCU on this subject as soon as possible.

11. AOCB

(1) The Committee wished to record its thanks to Professor Anne Anderson for her contribution to the Human Resources Committee and to wish her success in her role as Vice-Principal at the University of Glasgow.

(2) The Committee agreed that guest speakers should be invited to alternate Human Resources Committees or to Committees when there were fewer than usual items on the agenda.

APPENDIX 9

AUDIT COMMITTEE (Minute 83)

A meeting of the Committee was held on 26 May 2010.

Present: Mr R Burns (Convener), Mr J Barnett, Professor Emerita A Burchell, Ms A Newton, Miss J Thomson

In Attendance: University Secretary, Director and Deputy Director of Finance, Mr A Gray (PricewaterhouseCoopers), Mr D Barnes (Grant Thornton) and Clerk to Court.

Apologies: Dr H Marriage

1. MINUTES

Resolved: to approve the minutes of the meeting on 9 March 2010.

2. MATTERS ARISING

Financial Regulations (Minute 4)

The Committee noted that the Court had approved the Financial Regulations at its meeting on 26 April 2010.

3. INTERNAL AUDIT REPORTS

(1) Business Continuity Planning

The Committee received a report from the internal auditors into the University's approach to Business Continuity Planning (BCP). Whilst there was evidence of good practice in some parts of the institution, there were also areas that required improvement. For instance, the quality of local disaster recovery plans was variable, with many failing to include BCP considerations and actions. The report also contained the recommendation that a single member of University staff should be charged with overall responsibility for BCP to enable a much better response in the event of a crisis affecting the University. The internal auditors, nevertheless, emphasised that the University had made a good start in this area when compared to some other institutions, but that it was now time to make improvements. The University Secretary responded that the University accepted the recommendations and had a clear action plan for taking them forward.

(2) IT Review

The Committee received a report of a special review of the University's IT function. The report had been commissioned by the University Secretary and Director of Finance and thus had been prepared for an internal audience rather than for the Committee, and so was presented in a slightly different format to other reports. University officers had felt it important for the Committee to see the report, particularly since it proposed a number of improvements to the way that IT services were delivered and organised within the University. The report had already been considered at a number of levels within the University. The report noted amongst other things that the University should improve the way it approached and delivered university-wide IT projects, and this was underpinned by recommendations for changing the governance and organisation of the projects themselves but also, and perhaps more importantly, of Information & Communications Services as a whole.

(3) Library & Learning Centre (LLC)

The internal auditors presented a report into the current library provision and how it compared to that at other institutions. It was noted that the LLC was highly rated when compared with libraries elsewhere. The Committee noted that one of the difficult issues was that different users had different expectations of the type of service they required from the LLC: students wanted space to be able to interact and learn collaboratively, whereas staff were keen for

improved access to advice and support, often remotely. The Committee also noted the number of separate library facilities across the University. Recommendations in the report included consideration of further rationalisation of library sites and storage locations and a review of current arrangements for allocating library budgets to Schools.

(4) PECOS Implementation

The internal auditors presented a report which evaluated the implementation of the University's automated procurement system, PECOS (Professional Electronic Commerce Online System). The report provided an opportunity to take stock and resolve implementation issues before further roll-out of the system. Recommendations addressed the high number of users, the degree of self-approval and the amount of procurement still falling outside the PECOS system. There was discussion about whether all non-PECOS transactions should be subsequently added to PECOS, although it became clear that not all types of transaction fit the PECOS model (or any Purchase Order System) and alternative routes would need to be defined. It was more important to improve procurement control itself, and this would require a significant degree of cultural change in the way the University purchased equipment and materials.

(5) Space Management

The Committee received a report from the internal auditors assessing the University's approach to space management and including carbon management and space utilisation. The internal auditors acknowledged the concentrated attention being taken in this area, but recommended that the three areas of space reduction, carbon reduction and improved utilisation rates should be pooled together into a single coherent plan. This would increase focus, emphasise interrelationships and help to increase awareness of the issues. The Committee acknowledged that one of the major hurdles was altering people's view of space, although one way to address this was to make more staff aware of the cost of space to the University.

(6) Dundee University Students' Association (DUSA)

The Committee received a report from the internal auditors into the operation and monitoring arrangements for DUSA's student welfare services. The auditors noted that DUSA was an extremely well-run union, but there was a recognition that pastoral care needed to be enhanced and more focussed. The report contained a number of recommendations, and these had met with a positive response from both DUSA and the University. One of the issues requiring to be addressed was the boundary between what services DUSA should provide and what ones the University should provide. Of prime importance in taking the issues forward was the drafting of a reciprocal agreement between the University and DUSA regarding service provision, publicity and quality assessment of services.

(7) DRAFT Internal Audit Report

The internal auditors presented a draft report for the year ending 31 July 2010. On the basis of the year's work, the internal auditors indicated that they would be in a position to conclude that the University's internal control procedures were adequate to meet control objectives and had generally operated satisfactorily during the period under review. But for follow-up work on previous years' work, the auditors had now completed their programme of reports for 2009/10.

4. **EXTERNAL AUDIT**

Audit Approach Memorandum

The Committee received a paper from the University's external auditors outlining the approach to be taken in carrying out the audit for the year ending 31 July 2010. Mr Barnes summarised the contents pointing out the particular issues that would be focussed on as part of the audit. In addition those issues raised in the previous year would be revisited.

Resolved: to approve the approach presented.

5. **RISK MANAGEMENT MONITORING GROUP**

The Committee received a report of the Group's meeting on 12 May 2010, noting that the major item of discussion was the management response to the Business Continuity Planning report (Minute 3(1) above refers). The Committee also noted that the University had appointed new insurance brokers, and that a tender process was underway for the provision of insurance services.

Resolved: to note the report.

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

The Committee received a report of the Sub-Committee's meeting on 10 May 2010. The Committee was very concerned to note that a number of risk assessments relating to genetic modification and biological safety had not been updated despite repeated requests to do so. Members were advised that the Safety Officer, with the support of the Sub-Committee, was currently actively following up this matter with the Colleges concerned, but were keen to ensure that their own concerns in relation to this issue were emphasised in the strongest terms.

Resolved: to ask that the Safety Officer, via the Secretary, convey the Committee's serious concern to those areas of the University who had not complied with requests to update their risk assessments and that they be instructed to do so as soon as possible.

7. **LEGAL MATTERS**

The Committee received an update on current legal cases involving the University.

8. **INTERNAL AUDIT SERVICES TENDER**

Earlier in the day, the Committee had considered presentations from, and interviewed shortlisted firms tendering for the provision of internal audit services to the University.

Resolved: to recommend to Court that it appoint KPMG as the University's internal auditors for the period 1 August 2010 to 31 July 2013, with the possibility of renewal thereafter for one further year.