A meeting of the Court was held on Monday 20 February 2012.

Present: Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Professor SM Black, Emeritus Professor A Burchell, Mr R Burns, Mr D Cathcart, Mr J Elliot, Mr IA Kennedy (President, Students’ Association), Dr J Lowe, Dr H Marriage, Professor GJ Mires, Ms CA Potter, Dr AD Reeves, Dr AM Roger, Mr K Swinley, Professor J Taylor, Mr IDM Wright.

In Attendance: University Secretary, Vice-Principal and Head of the College of Arts & Social Sciences, Director of External Relations, Director of Finance, Director of Human Resources, Director of Policy, Governance & Legal Affairs, Director of Strategic Planning, Director of Student Operations, Deputy Director of Student Operations, and Clerk to Court.

Apologies: Mr M Arnott, Mr M Kendrick, Lord Provost Dr J Letford, Mr KA Richmond.

39. **MINUTES**

The Court decided: to approve with minor amendment the minutes of the meeting on 12 December 2011.

40. **MATTERS ARISING**

   (1) **Vice-Principal and Head of the College of Medicine, Dentistry & Nursing (Minute 21(1d))**

   The Chairman reported that Professor John Connell had been appointed as Vice-Principal and Head of the College of Medicine, Dentistry & Nursing with effect from 1 January 2012.

   The Court decided: to offer its congratulations to Professor Connell and ratify his appointment.

   (2) **International Strategy (Minute 23)**

   The Principal informed Court that the development of a draft strategy for internationalisation was underway and would be presented to Court in June.

   The Court decided: to await with interest a paper in due course.

   (3) **Review of Remuneration Committee Remit (Minute 27)**

   The University Secretary provided an update on the progress of the proposed review of the remit of the Remuneration Committee. At the last Remuneration Committee meeting, the Director of Human Resources had been asked to
prepare a paper for consideration at its next meeting. Input had been sought from the Human Resources and Governance & Nominations Committees, and the paper would be communicated to the next meeting of Court on 23 April following further consideration by these committees. The review was likely to focus on: Committee membership; how the Committee conducted its business; the underlying principles for senior staff remuneration; and the decision-making process. It was anticipated that the outcomes of the review would lead to terms of reference that would demonstrate enhanced transparency in the decision making process and provide clarity over the delegation of responsibilities from Court.

The Court decided: (i) to thank the University Secretary for the update and await a paper in due course; and

(ii) to ask that members forward any additional input for the review to the University Secretary.

(4) Election to Court from Academic Council (Minute 31)

The Chairman welcomed Professor Sue Black to her first meeting following her election to Court by the Academic Council.

41. CHAIRMAN'S REPORT

The Chairman reported that the majority of his activities since the last meeting of Court had related to the Review of Higher Education Governance in Scotland, which would be covered elsewhere on the agenda (Minute 46(2)).

The Chairman informed the Court that the Principal had been elected as Convener of Universities Scotland for the period 1 August 2012 to 31 July 2014. A formal announcement would be made by Universities Scotland in due course, however Court members joined the Chairman in offering their congratulations to the Principal.

42. GRADUATE EMPLOYABILITY

The Vice-Principal and Head of the College of Arts & Social Sciences and the Deputy Director of Student Operations gave a presentation to Court setting out employability activities at the University. An overview of the work and scope of the Employability Committee was provided, along with data on graduate employability and details of employability-enhancing initiatives from across the University (both centrally provided and College/School based). The growth of degree pathways with modules addressing employability issues was highlighted, alongside the success of internship programmes in increasing students’ employability prospects. The Deputy Director of Student Operations drew the Court’s attention to the recent success of the University in the National Placement & Internship Awards, where it had come second in the Best University Placement/Careers Service category. He also highlighted the success of the Dundee Graduate Skills Award scheme, which had seen c.1500 students register since its launch in 2010.

In his role as the Chair of the Employability Committee, the Vice-Principal outlined some of the strategies being used to drive improvements in graduate employability.
These included the annual monitoring of progress against agreed ‘employability performance indicators’ and discussions with Schools/Colleges regarding the correlation between graduate entry standards and graduate employment. He also highlighted on-going work to evaluate funding models for core support of employability modules.

The Court decided: to thank the Vice-Principal and the Deputy Director of Student Operations for their presentation and otherwise to note the report.

43. REPORT ON REST OF UK (RUK) APPLICATIONS FOR 2012/13

The Director of Student Operations presented a report analysing student applications to the University of Dundee for the academic year 2012-13. The Director presented both data from UCAS (based on domicile) and also University data based upon applicant ‘fee status’. Despite the introduction of increased entry grade requirements for 2012-13, the total number of applications to the University of Dundee for 2012-13 was reported to have increased by 2%, and there was a suggestion that this year’s applications were of a higher quality than previously seen. As a result of the introduction of RUK student fees, RUK student applications had seen a reduction of 13.4%, however the Director highlighted that these data were still subject to change as two remaining application routes (UCAS extra and clearing) might alter the current reported application patterns. Court members noted that the reported level of reduction in RUK student applications was within the modelled range as presented to Court on 12 December 2011. On this basis, the University Secretary confirmed that if this reduction carried through to the conversion of applications to matriculated students, it would nevertheless generate a significant additional income to the University.

An increase in EU and overseas applications of 20% and 28% respectively was brought to the attention of Court; these increases were noted to be in line with the rest of the Scottish HE sector. The Director highlighted that, since EU students were part of the funded places provided by the SFC, the increase in EU applications had the potential to put significant pressure on the numbers of places available for Scottish domiciled students, particularly given the need to control overall Scottish/EU numbers to avoid SFC claw back for over-recruitment.

The uncertainties around the fee status of applicants from Northern Ireland were raised as a cause for concern. The Director gave assurances that the situation was being closely monitored and that further updates would be provided as more information became available. A detailed review of application patterns by domicile, subject and department was to be undertaken shortly, and would be used to shape future marketing and recruitment plans.

The Director informed Court that the critical focus for Student Operations was now on the conversion of applications into student matriculations, and this would be supported by, inter alia, student visit days. Predicting conversion rates was, however, proving difficult given the changes in the funding system as well as the quality of applications and the recruitment patterns of other Scottish universities.
Members of Court noted that, as expected, Scottish institutions had experienced a greater reduction in RUK student applications than English institutions. Members requested an update on application figures for the new 3-year degree programme which had been introduced for 2012-13 to help maintain competitiveness in the RUK student market.

The Court decided: (i) to request further updates on student application numbers and clarification on the fee status of applicants from Northern Ireland; (ii) to request a report in due course on the conversion of applications to offers; (iii) to await a report on awards from the bursary and scholarship schemes; and (iv) to request additional information regarding applications to the 3 year degree programmes.

44. PRINCIPAL’S REPORT

The Court received a report from the Principal (Appendix 1). Since the Review of Higher Education Governance in Scotland would be covered in more detail elsewhere on the agenda, he focused on other elements of his report. He reported that the University’s preparations for REF were progressing well. A clear REF strategy confirming the criteria for inclusion in the return and a supporting ‘Code of Practice on the Selection of Staff’ would be completed shortly and would be presented at the next meeting of Court in April. Based on a provisional requirement to have at least 2 research outputs classified at 3* and a high probability of achieving a grade point average of at least 2.75 by the census date, 316 staff across the University had been assessed as being likely to be included in the submission. Although this represented a 40% reduction in the number potentially to be returned in comparison to the RAE 2008 submission, the figure was similar to the number of 3* and 4* returns for the RAE 2008. A further 101 staff were felt to have the potential to be included in the return, although these individuals would need significantly to enhance their outputs by the census date of 31 October 2013, and it was noted by Court members that the Deans were actively ensuring that time was invested in these areas of potential return.

The Principal then sought discussion with Court on member’s appetite for investment in staff and infrastructure in areas where such investment could improve the University’s REF submission or support unregulated income growth. He also sought comment on the level of investment which members felt was appropriate given competing demands such as backlog maintenance and outstanding strategic review savings. He drew member’s attention to the fact that selective investment in key, high performing staff had both the potential to improve the REF submission and to promote future growth and income generation. Work was being done with Colleges to define the scale of investment and the likely payback expected from individual appointments, and it was recognised that only those with proven ability to secure additional funding or produce research of the very highest quality would be considered for appointment. Members of Court were supportive of investment in key staff and in those areas of the Student & Academic Support Services Directorates that
supported unregulated income growth, but highlighted the importance of ensuring that the required strategic review savings continued to be found.

Turning to other matters, the Principal highlighted the appointment of Professor Andrew Morris to the prestigious position of Chief Scientist for Scotland. Members of Court then commented on the recent Discovery Day lectures, noting that inclusion of high quality presentations on learning and teaching innovations alongside a common theme of interdisciplinary research had proved to be a powerful combination in promoting the University of Dundee.

In response to questions arising from the Senior Management Team report, the Principal confirmed that the development of academically and financially sustainable taught postgraduate programmes would continue to be a strategic priority. These programmes had the potential to enhance the University’s reputation, to promote academic excellence and generate significant additional net income. Where such criteria were met, they could also represent a useful route for undergraduate students into PhD programmes. It was suggested that a report from the Deputy Principal for Learning & Teaching on the state-of-play of current taught postgraduate programmes would be welcomed by Court.

The Court decided:

(i) to request a presentation outlining the REF process, in particular for the lay members of Court;

(ii) to note that the grade point average required for inclusion in the REF process would be confirmed at the next meeting of Court, and that an accompanying Code of Practice would be submitted for consideration at that time; and

(iii) to request that the Deputy Principal for Learning & Teaching provide a summary report on taught postgraduate programmes at a meeting within the current session.

45. **FINANCE & POLICY COMMITTEE**

The Court received a report from the meeting of the Committee on 23 January 2012 (Appendix 2). The Director of Finance provided a brief summary of the Financial Strategy paper contained within the report (annex), before providing an update on the current financial position, which was described as being strong, with period 6 accounts showing a £1m improvement on the projected operating surplus reported at period 5.

The Chairman then drew the Court’s attention to the report on space management discussed by the Committee; Court was pleased to see measures being taken towards reducing the University’s footprint. It was noted that the outlined strategic goals represented a step-change in performance.

Court noted the update on the Dasman Diabetes Institute in Kuwait, in particular the risk assessment of the long-term responsibilities. Member’s concerns over risks resulting from parliamentary elections in Kuwait were noted, particularly given the
fact that only a one-year contract was currently in place. Officers confirmed that the Finance & Policy Committee was to regularly review the risk register for this project.

The Court decided:  
(i) to approve the Financial Strategy; and  
(ii) otherwise to approve the report.

46. GOVERNANCE ISSUES  

(1) Governance & Nominations Committee  

The Convener of the Committee reported orally on the meeting which had taken place that same morning. The Committee had discussed the planned review of the Remuneration Committee remit (see Minute 40(3) above). The Committee had also considered the nomination of Ms Shirley Campbell for the position of co-opted lay member of Court and, after hearing from the Chair of the interview panel and the University Secretary, had unanimously recommended to Court the appointment of Ms Campbell as a co-opted lay member of Court.

The report on the Review of Higher Education Governance in Scotland had been discussed at length, and comments from the Committee would be fed into Court’s discussion of the issue later in the agenda (Minute 46 (2) below).

Due to recent changes to the membership of the Finance & Policy Committee, the Governance & Nominations Committee had decided to recommend to Court that Professor Sue Black be invited to join the Finance & Policy Committee, and Professor Black confirmed her willingness to serve in this capacity.

Proposed changes to the Charter, Statute 20 (Graduates’ Council), Ordinance 20 (Graduates’ Council) and Graduates’ Council Regulations had also been discussed. It was reported that the Committee had been supportive of most of the changes proposed by the Graduates’ Council Business Committee, but that the paper had been referred back to the Business Committee for further consideration of the proposed changes to Regulation 19 (Election of Graduates’ Council assessors to Court) due to concerns over the proposed screening of candidates for the post of Graduates’ Council Assessor on Court by the Governance & Nominations Committee.

The Committee also considered and endorsed to Court the changes to Ordinances 39 (Degrees, Diplomas and Certificates), 40 (Student Discipline) and 43 (Tuition and Other fees), as considered and endorsed by Senate on 8 February 2012.

The Court decided:  
(i) to approve Professor Sue Black’s membership of the Finance & Policy Committee; and  
(ii) otherwise, to approve the report.
In opening discussions on the Report of Higher Education Governance in Scotland, the Chairman first provided a report of his activities and discussions with the Committee of Scottish Chairs of Courts (CSC). The CSC was to meet on 22 February 2012 to formulate a joint response to the recommendations, and the Chairman invited members of Court to provide comments to enable him to provide input to that response. He informed Court that there was a consensus amongst the Chairs that the direct election and remuneration of Chairs was not a welcome move. The CSC also intended to highlight in its response the importance of the Chair of the governing body having the full confidence of Court, along with concerns regarding the potential impact on the Chair’s objectivity which might arise if he were to be elected on the basis of a manifesto.

In response to questions, the Chairman confirmed that it was unlikely that the recommendations would be considered as part of the Post-16 Education legislation going forwards in April 2012, and that there would now be a period of consultation with the Scottish Government, although it was unclear what form this consultation would take.

The University Secretary then updated the Committee on the Universities Scotland response to the report: a questionnaire had been circulated to University Principals and Secretaries seeking initial comment on the recommendations, and asking institutions to indicate whether they felt each of the recommendations was welcome/unproblematic, requiring further definition, or particularly challenging. He highlighted that existing good practice at the University of Dundee meant many recommendations could be easily accommodated, and that the University had looked to indicate this where possible while providing a robust response to other recommendations. An analysis of the summary of responses from across the sector to the questionnaire showed common themes of concern in the following areas: the lack of clarity to the recommendation for a single statute; the proposal for election and remuneration of Chairs of Court; the inclusion of staff members nominated by unions; the restriction on the presence of officers other than the Principal at meetings of Court; the proposal to hold meetings of governing bodies in public; and the elements of positive gender discrimination in some recommendations. The University Secretary indicated that the Chairs, Principals and Secretaries groups would work together to provide a sector-wide response, and that consideration was being given to the development of a draft Code of Practice on a ‘comply or explain’ basis. This would represent a proactive and positive approach to the consultation process.

Court members were supportive in principle of a voluntary Scottish Code of Practice, however they expressed strong concern that legislation for mandatory implementation of the recommendations had the potential to threaten the autonomy and competitiveness of Scottish institutions. It was noted that this mirrored the concerns expressed by Senate at its meeting on 8 February 2012. Court members broadly indicated their opposition to the recommendation that Chairs of governing bodies should be elected in the manner proposed, and it was unanimously agreed that the position of Chair should not be a formally remunerated position - though there was some
agreement that some account might need to be taken of loss of earnings in certain circumstances. Court members also agreed that the proposal that officers other than the Principal not attend meetings of Court would be to the detriment of Court Business (although the opportunity for members to meet in private as had happened at the annual retreat in September 2011 was desirable). With regard to the recommendation that meetings of governing bodies should be held in public, there was a consensus amongst Court members that this would severely affect the robustness of debate, particularly in terms of accountability, and might even adversely influence the type of candidate coming forwards for lay court membership.

Through discussion it was noted that the Dundee University Students’ Association (DUSA) was coordinating a joint response to the report on behalf of several non-NUS affiliated student associations, and that the areas of remuneration of Chairs, election of Chairs, and positive gender discriminations were potential areas of concern to this group, too.

There was a broad consensus of opinion from Court members that the report lacked the external points of reference, benchmarks and clarity required to judge whether the recommendations individually or as a whole would actually achieve improved governance. Inherent contradictions between recommendations in the report and against best practice were noted as a cause for concern.

The Court decided: 

(i) to ask the Chair to circulate information on the outcome of the forthcoming meeting of the Committee of Scottish Chairs of Courts;

(ii) to invite members to communicate to the University Secretary and the Convener any additional comments; and

(iii) to circulate to members of Court any proposed formal responses from the University of Dundee.

(3) Candidate for Lay Member of Court

Court considered the report from the Governance & Nominations Committee which unanimously recommended the appointment of Ms Shirley Campbell as a co-opted lay Court member. It was noted that Ms Campbell’s skills and experience matched the identified skills set as previously identified by the Governance & Nominations Committee.

The Court decided: to approve the appointment of Ms Shirley Campbell as a co-opted lay member of Court for four years in the first instance from 1 March 2012 in terms of Statute 9(1)(l).
(4) **Graduates’ Council**

Court agreed with the report from the Governance & Nominations Committee that the majority of proposed changes (Appendix 3) were uncontroversial, but that the changes to the election of the Graduates’ Council assessors to Court would require further consideration by the Graduates’ Council Business Committee. Given the recommendations made in the Report of the Review of Higher Education Governance in Scotland, it was acknowledged that obtaining approval from Privy Council might at this time be a difficult and protracted process.

**The Court decided:**

(i) to approve in principle the changes proposed to the Charter, Statute 20 and Ordinance 20 subject to: the endorsement of the Senatus, ratification at a sequential meeting of the Court, and the formal approval of changes to the Charter and Statute 20 by the Privy Council; and

(ii) to refer the proposed changes to Graduates’ Council Regulations back to the Graduates’ Council Business Committee for further consideration of Regulation 19, and request that that a revised paper be presented to the next meeting of Court.

47. **STRATEGIC FRAMEWORK – PROGRESS REPORT ON AIMS 6&7**

The Court received a report from the Director of Strategic Planning, which outlined the progress being made by the University against targets set in the Strategic Framework in the two areas of support services’ responsiveness and the University’s long-term financial sustainability. The Director highlighted that support costs were low, that Estates & Buildings policies were expected to have a significant impact on issues related to efficient use of space, and that Key Performance Indicator (KPI) 15 (Progress on embedding staff performance management) was receiving significant senior staff encouragement in being driven forwards.

48. **COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

The Court received a report from the meeting of Senate on 8 February 2012 (Appendix 4). The Director of Policy, Governance & Legal Affairs confirmed that a review of the academic year would be initiated, but that no potential time-frame for implementation had as yet been determined. Court members gave broad support for the consultation and noted the sound arguments behind the proposal.

**The Court decided:**

(i) to approve changes to Ordinances 39 (Degrees, Diplomas and Certificates), 40 (Student Discipline) and 43 (Tuition and Other fees) as set out in the annex of the report;

(ii) and furthermore, noting the non-contentious nature of the proposed changes to Ordinances 39 (Degrees,
Diplomas and Certificates), 40 (Student Discipline) and 43 (Tuition and Other fees), to approve the proposal that these changes be considered urgent in terms of the proviso to article 16.2 of the Charter, and that they therefore be approved at a single meeting and come into immediate force; and

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

(v) otherwise, to note the report.

49. **HUMAN RESOURCES COMMITTEE**

The Court received a report from the meeting of the Human Resources Committee on 31 January 2012 (Appendix 5). The Director of Human Resources provided an update on an accident which had occurred last year at Knockhill Racing Circuit, confirming that the student involved had now returned to studies and that both the risk management and investigatory processes had been taken very seriously.

The Court noted that following discussions at the Human Resources Committee, a proposal for health & safety risk management training was now being refined which would see the identification and targeted training of individuals at the School level to increase the existing knowledge base.

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

50. **ETHICAL REVIEW COMMITTEE**

The Court received the annual report from the Committee. Court members expressed a concern that there had been no refresher training events in 2011.

**The Court decided:** (i) to ask the University Secretary to speak with the convener and provide an update to Court in relation to the training issue highlighted; and

(ii) otherwise to approve the report.
Review of Higher Education Governance

Cabinet Secretary Mike Russell published the report of the review chaired by Robert Gordon University Principal Professor Ferdinand von Prondzynski in the Scottish Parliament on 1 February 2012. The text of the full report is provided for Court members later in the agenda, and no doubt it will provide the stimulus for some lively debate. In his statement to the Scottish Parliament, Mike Russell indicated that he broadly welcomed the recommendations in the report and that he wished to move forward ‘working closely in consultation with the sector’.

The recommendations are wide-ranging and if implemented in their entirety would represent significant change to the way University governance in Scotland is done: Privy Council oversight would be removed; a single statute would be developed to replace the various governance instruments at Scottish universities; the operation of remuneration committees would be transformed; the composition and mechanics of Court and its committees would be fundamentally altered; and the appointment process of Court members and in particular its chairperson would be revised, in the case of the latter to involve election by university staff and the student body. The report also emphasises the importance of academic freedom and suggests the establishment of a national advisory forum to play a role in shaping higher education strategy and government policy.

Some of the recommendations are uncontroversial; some even reflect our own practice at Dundee. Others lack the detail for us to determine precisely what their effects would be, and still others will require some serious discussion and debate and may even then remain unpalatable. Personally, I find it difficult to reconcile the different heritages and traditions in place across the Scottish sector with a set of recommendations which attempts to be a one-size-fits-all; this would surely undermine the rich diversity of higher education in Scotland. That said, the sector must nevertheless show a commitment to best practice in governance; and yet the recommendations from Professor von Prondzynski in a number of areas seem to be at odds with best practice or indeed fail to understand the unique nature of universities in straddling autonomy and public accountability. I believe there is much work to be done here, and I am interested to hear the views of all Court colleagues.

Research Excellence Framework (REF)

The University’s preparations for REF are well underway and have recently acquired renewed vigour through the appointment of Professor John Connell as Vice-Principal with responsibility for research.

In December 2011 the University completed a mid-term review which will inform decisions about our submission to REF. The review entailed gathering data on the number of academics likely to be submitted based both on the feedback from external research reviews conducted in the preceding 18 months and on internal evaluations performed by the co-ordinators of each of the units of assessment (i.e. REF-speak for assessment subject areas). Assisting Professor John Connell in the preparations will be Professor Alan Page (Dean of the School of Law) along with a team led by Graeme Findlay from Research & Innovation Services and including a REF technical manager and a new senior administrator.

Staff

In the mid-term review 316 staff across the University were assessed as being likely to be submitted (based on having at least 2 research outputs classified at 3* and a high probability of achieving a grade point average of at least 2.75 by the census date (i.e. an average star rating across 4 outputs in the range 0, 1*, 2*, 3*, 4*). In RAE 2008 the University returned 528 staff; there is, therefore a reduction of 40% in the number potentially to be returned. A further 101 staff were felt to have potential for return but would need significantly to enhance their outputs by the census date of 31 October 2013.

Impact

The first internal impact assessment exercise has been completed; internal evaluation revealed a range of performance and substantial improvements in the understanding of the nature of impact, the evidence required to support cases, and the presentation styles. The exercise is being continued with re-submission of those impact cases that fell short of the expected standard.

Strategy

The momentum of preparations for REF will be accelerated over the next few months. These will include the development of a clear REF strategy for academic staff, which sets out the intention to return only staff...
performing internationally excellent research (3* or 4*); completion of a Code of Practice on the Selection of Staff (to be submitted for approval to REF by July 2012); provision of detailed feedback on the mid-term reviews, and discussion of subject boundary issues; and the preparation of an indicative return for autumn 2012.

Investment
The external assessments of research quality as well as the mid-term reviews identified where REF submissions could be maximised with focused investment in areas of sustainable strength and by re-profiling vacancies which remain unfilled towards these areas. Mindful of the better than expected settlement from the Scottish Government for 2012-13 and of the potential benefits from the introduction of fees for RUK students, the Senior Management Team has been exploring ways to provide investment for staff and infrastructure in areas where it can make a difference to our REF submission. This is not, however, just about improving REF outcomes, but also about underscoring the excellence, focus and impact agenda that has been the keystone of my approach to the University’s future development since I was appointed.

Each of the Heads of College, as well as the University Secretary, has been developing plans for strategic investment in key areas of proven excellence, for instance: civil engineering, clinical and biomedical research, history, art & design, renewables. We need also to invest in those key Student & Academic Support Service Directorates that support unregulated income growth in our designated areas of academic strength or drive service enhancements. If this investment is done rigorously and properly then it has the potential not only to provide impetus to our REF submission but also to act as the seed-corn for growth and income generation for the future: using excellence as leverage to new areas of funding and resource. Work is currently being done by finance in conjunction with the colleges to define the scale of investment, which will be determined to a large extent by the likely payback expected from individual appointments. It is crucial that, in making any new appointments, we only recruit those with the proven ability to secure additional funding or produce research of the very highest quality; this is not a time for compromise.

I look forward to being able to report on progress to Court in due course. In the meantime, Court needs to signal its appetite for investment of this nature, and in particular the scale of investment it could tolerate. As I have said, 2012-13 will see the University with increased resource from the SFC and tuition fees, but there are also competing costs, such as backlog maintenance and staff costs, as well as uncertainty. We still have £1.8m of strategic review savings to identify, too. But in the run-up to the REF, this is the time to signal a change in our direction of travel, turning to growth and ambition rather than the retrenchment of the previous very difficult years.

To help in this discussion, the following table shows the forecast result for the current year adjusted by known or potential changes for the next financial year to predict the financial result for 2012/13. Any income or expenditure not shown in the table is assumed to stay constant.

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<tr>
<th>Description</th>
<th>£'000</th>
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<td>Additional grant already notified</td>
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<td>RUK fees</td>
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<td>Less allowance for bursaries</td>
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<td>Salary drift and increases</td>
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<tr>
<td>Strategic Review savings still to be achieved</td>
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</tbody>
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Professor Pete Downes
Principal & Vice Chancellor
Senior Management Team Meetings (SMT)
http://www.somis.dundee.ac.uk/court/com/smt/welcome.htm

Since the last report to the Court, the Senior Management Team has met as follows: 14 and 21 December 2011, 11, 18 and 26 January, and 1 and 8 February 2012; it considered a number of issues, including the following:

- Strategic Investment in Research;
- HE Governance Review;
- University Strategy to 2018;
- Preparations for the Research Excellence Framework (REF);
- RUK Bursaries and University Scholarships;
- Senior Appointments;
- the University’s collaboration with the Dasman Diabetes Institute;
- Postgraduate research students;
- Recruitment for 2012-13
- Initial thoughts on Establishing a Review of the Academic Year;
- the Roll-out of dMail;
- Finance Matters:
  - Management Accounts;
  - Indicative Main Grant Letter from the Funding Council;
  - Consideration of a draft Financial Strategy;
- Human Resources Matters:
  - Objective-Setting and Review;
- Routine Matters:
  - Approval of Honorary Professorships;
  - Voluntary Severance Cases.
Major Grants and Awards

- £5.9m from the Innovative Medicines Initiative for Dr Ewan Pearson for DIRECT: Diabetes Research on Patient Stratification (joint with 21 partners)
- £0.6m from the Medical Research Council to Professor John Hayes for Pivotal Role of the Keap1-Nrf2 Pathway in the Pathogenesis and Prevention of Non Alcoholic Steatohepatitis Induced Cirrhosis
- £0.5m from European Framework 7 to Professor Edik Rafailov for TERA – Novel Copact Terahertz Source Based on Dual Wavelength Lasers and Photomixers (Joint with industrial partner)
- £0.3m From European Framework 7 for Professor Geoffrey Gooch for LAGOONS: Integrated Water Resources and Coastal Zone Management in European Lagoons in the Context of Climate Change (joint with 8 partners)
- £0.3m from Medicines for Malaria Venture to Professor Ian Gilbert for Screening Inhibitors for Plasmodium Falciparum Growth in Vitro (extension)
- £0.3m from Natural Environment Research Council to Professor Mike Bonell for Hydrologic and Carbon Services in the Western Ghats Response of Forests and Agro Ecosystems to Extreme Rainfall Events (joint with 1 partner)

People and Prizes

- Professor Andrew Morris, co-Director of the Medical Research Institute at the University of Dundee, has been appointed the new Chief Scientist for Scotland, succeeding Professor Sir John Savill;
- The University held a graduation ceremony in Asmara, Eritrea for 52 graduates of the School of Nursing & Midwifery. An honorary doctorate was conferred on Dr Andom Ogbamariam (Director General of Research & Human Development in Eritrea’s Ministry of Health) at the same ceremony;
- The University of Dundee was placed 78th in the recently published 2012 Leiden Rankings of the top 500 world universities. In the key indicator ‘mean citation score’, the University ranked 13th in the world;
- The University of Dundee’s inaugural Stephen Fry Award for Excellence in Public Engagement with Research has been given to Professor Sue Black and the team in the Centre for Anatomy & Human Identification; and Professor Charles McKean received an honorary award for his work on Scottish architectural history;
- Madeline Mackay (4th year undergraduate student in DJCAD) has won the Timothy Greenwood Young Wildlife Artist Award along with £2000 to visit Nepal to produce work inspired by the Pipar Reserve;
- Dr Nicola Stanley-Wall, lecturer in Molecular Microbiology, has been announced as the winner of the Royal Society of Edinburgh’s Beltane Innovator’s Prize for Public Engagement 2012;
- Dr Nick Lydon, an alumnus and honorary graduate of the University of Dundee, has been awarded the 2012 Japan Prize for his discovery and development of Imatinib, a remarkably effective anti-cancer drug. The Japan Prize is one of the world’s most prestigious awards in science and technology;
- Laura Loudon and Fiona Thompson, Town and Regional Planning students, have been announced as the joint winners of the Dundee Civic Design Award for their vision for the regeneration of the Whitfield area of the city;
- Dundee Celebrations 2012, a one-day event organised by Dundee University Sports Union to bring the cultural and sporting aspects of this year’s Olympics to the City, has been granted the prestigious London 2012 Inspire Mark as part of the programme which recognises exceptional and innovative projects inspired by the Games;
- And finally, but by no means least, congratulations are due to all our new professors who spoke with clarity and passion about their work at the 2012 Discovery Days event in January.
APPENDIX 2

FINANCE & POLICY COMMITTEE
(Minute 45)

A meeting of the Committee was held on 23 January 2012.

Present: Mr R Burns (Convener), Principal Professor CP Downes, Mr IA Kennedy (President, Students’ Association), Dr J Lowe, Dr AD Reeves, Mr KA Richmond, Mr IDM Wright

In Attendance: University Secretary, Director of Finance, Director of Strategic Planning, Director of Campus Services, Director of Policy, Governance & Legal Affairs and Policy Officer (Corporate Governance)

Apologies: Dr H Marriage, Mr EF Sanderson

1. MINUTES

Resolved: to approve the minutes of the meeting on 21 November 2011.

2. MATTERS ARISING

(1) Financial Strategy (Minute 2(1))

The Director of Finance presented a revised financial strategy paper (annex) which incorporated comments received from Committee members, the Senior Management Team and the Deans and Directors. It was noted that the paper emphasised the significant progress made by the University in terms of financial planning, however further discussion on the frequency of testing of the 3% surplus target was suggested. Such testing would inform strategic decision making, since it could evaluate the effects of investment decisions on the University’s ability to achieve its surplus target. It was also noted that the introduction of fees for students from the rest of the UK (RUK) would have implications for the University’s concept of ‘value for money’.

The Committee requested information regarding the changes implemented by the Scottish Government with regard to VAT for those with charitable status. It was reported that the changes were designed to promote collaboration and the sharing of support services where possible. A report examining the opportunities and risks presented by these changes would be provided at a future meeting.

In response to queries from the Committee, the University Secretary gave a verbal update on student application numbers. Comparative data were reasonably encouraging, currently showing a decrease in applications from RUK students of around 5%, although the UCAS deadline had not yet passed and year-on-year comparisons came with a ‘health warning’ due to variations in census dates and patterns of applicant behaviour. A significant increase in European Union (EU) student applications to Scottish Universities had also been observed. It was however noted that Government expectations on access to places by Scottish students would need to be taken into account in any future strategy relating to EU applications. The Committee stressed the value of a robust business plan in relation to the income and expenditure associated with RUK students. This would help to identify areas requiring selective investment to sustain recruitment levels in future.

In discussing selective and strategic investments, the Principal highlighted that a paper considering potential opportunities for strategic investment would be discussed by the Senior Management Team on 26 January 2012. Given the relative success of the Voluntary Severance (VS) scheme, the positive SFC settlement and the RUK student application numbers, there was scope for the University to consider some focused strategic investment. The Research Excellence Framework (REF) mid-term review would be a tool in determining opportunities to invest in the appointment of high performing research staff in key areas ahead of the REF, but there was also scope for limited investment in the University’s infrastructure.

Resolved: (i) to recommend to the Court that, subject to minor amendments, it approve the strategy;
(ii) to request that officers prepare a paper outlining the risks and opportunities resulting from changes to VAT for those holding charitable status; and

(iii) to note that a paper would be presented to Court detailing final RUK student application numbers, broken down by country and subject.

(2) Report on Progress of Fundraising Campaigns (Minute 4(ii))

The Secretary informed members that the report on progress against targets for each of the fundraising campaigns currently underway had been postponed until the next meeting of the Finance and Policy Committee in March. This would allow the report to take account of ongoing work in this area.

Resolved: to look forward to receiving the report at the next meeting.

3. MANAGEMENT ACCOUNTS – PERIOD 5

The Director of Finance reported on the management accounts for the period to 31 December 2011. These showed an operating surplus of £2.5m to the end of period 5, a favourable variance of £1.4m compared with the phased budget. The year-end forecast was for an operating surplus of £0.8m, representing a favourable variance of £0.7m. After projected VS costs of £0.3m and gain on disposals of £0.9m, a bottom line surplus of £1.3m was forecast. Capital expenditure of £12.5m was forecast for the year. Total borrowings were forecast to remain at £8.5m through to the year end. The forecasting process was being reviewed with the aim of improving the accuracy of predictions for the next financial year. Revised end-of-year cash projections incorporating the influence of working capital movements would be presented at the meeting on the 14 May 2012.

Members raised concerns over a decline in taught postgraduate applications as a result of UKBA changes. It was reported that areas with niche markets and strong reputations were still fairing well, however in general a decline had been observed. There was discussion around the potential benefits of investing in student recruitment, marketing and assessing recruitment processes as a way to address the decline and increase conversion rates.

Resolved: to note the accounts

4. SCOTTISH FUNDING COUNCIL (SFC) FUNDING UPDATE

The Director of Finance presented an overview of the indicative main grant funding letter from the SFC. Key priorities addressed in the indicative funding letter included: the restoration of the teaching unit of resource to a level equivalent to 2010/11; allocation of additional resources to protect the unit of resource for science; maintenance of the total number of places for Scottish and EU students that was available in 2011/12; and the concentration of funding in Universities where funding will lever the greatest resources from Research Councils, the EU and other research funders. In broad terms the letter indicated a reversal of the reduction in funding seen in 2011/12. The low increase (1.2%) observed in the Research Excellence Grant compared to certain other research-led institutions had been predicted given the move to fund only 3* and 4* research, and this was a trend that would likely see further changes in future.

The letter included a list of improved outcomes expected of the SFC by the Scottish Government. These outcomes were focused into 9 key areas: retention; articulation from college; accelerated degrees; access to university for people from the widest possible range of backgrounds; international competitiveness in research; university/industry collaboration and the exploitation of research; the patterns and spread of provision; efficiency, both in the learning journey and of institutions; and the entrepreneurial and employability skills of graduates. Outcome agreements would be established with each university, containing targets to allow the SFC and the sector to quantify improvements across the areas identified. Outcome agreements would be in place by the start of the 2012/13 academic year, and the committee suggested that these should be linked to internal Key Performance Indicators and planning objectives to ensure good outcomes were achieved.

Resolved: to note the report.
5. **BUDGET SETTING: 2012-13**

A paper outlining the preparations for the 2012/13 budget was presented. Budget instructions would be sent out shortly, and a draft budget would be prepared for discussion at the meeting on 14 May 2012. The key objective remained to build towards the 3% target surplus required for financial stability.

In response to concerns raised in discussion, the Principal provided a brief overview of the non-SFC research funding income landscape. The current climate had made raising research funding more difficult, however significant recent successes were noted, and the outlook was being monitored on a monthly basis by the Senior Management Team.

**Resolved:** to note the report.

6. **DASMAN DIABETES INSTITUTE KUWAIT**

The Director of Finance introduced a business plan and risk analysis for the Dasman Diabetes Institute project in Kuwait. The major risk associated with the project remained difficulties in the use and enforceability of legal contracts with overseas partners, however it was reported that significant progress had been made in building multiple critical relationships that would support the project and minimise this risk. The project was seen as a reputation-enhancing initiative as well as a financial opportunity, and the Committee recognised its diversity: covering CPD, education, clinical skills and research in a discrete population. It was noted that anticipated risks of this small, self-contained project were minimal compared to the risks presented by overseas campus projects. The long-term growth potential of this project and the opportunity for rolling out the model to other locations was considered.

**Resolved:** to note the report, and request regular updates from the Director of Finance.

7. **ESTATES & BUILDINGS REPORT**

(1) **Estates Progress Report**

The Director of Campus Services introduced his routine report to the Committee. In doing so, he highlighted that work was on-going towards achieving a position of financial sustainability for the Botanic Garden. Energy management was once again a key topic for discussion. He provided details of awareness raising and monitoring initiatives which would contribute to improved energy usage. The devolution of responsibility for energy costs to Colleges (linked to budget setting) was suggested as one way of raising awareness of the issue and potentially of delivering the cultural change required to meet targets.

An update on the progress of current capital works projects was also provided. Plans to reduce the Ninewells footprint by 10% via vacation of lab space were progressing well, and a paper reporting on progress would be submitted to the Senior Management Team shortly.

**Resolved:**

(i) to request further updates on the progress of the energy management strategy at future meetings;

(ii) to await further updates on progress towards the planned 10% reduction to the Ninewells footprint; and

(iii) to otherwise note the report.

(2) **4th Combined Heat and Power (CHP) Engine**

A paper outlining the benefits of procuring a 4th CHP Engine was presented. The University currently imported energy from the grid at peak times to meet demand, and this ‘energy deficit’ was projected to increase following the opening of the new Life Sciences buildings (Centre for Translational & Interdisciplinary Research and Centre for Anatomy & Human Identification). After careful consideration, the procurement of a 4th CHP engine was presented as the most suitable option to meet demand and therefore minimise both the cost and the requirement for increased energy importation from the grid. The pay back period for purchase of the CHP engine was an estimated 3 years. If an engine was not installed then the University might become liable for an additional carbon tax estimated to be as much as £400k once the new buildings listed within the current capital plan came on stream. Opportunities such as selling
back energy to the grid or collaborations with companies with biomass generators to utilise their heat by-product would continue to be explored.

Resolved: (i) to request that Campus Services work with the Finance Office to draw up a full capital proposal and business case for procurement of an additional CHP engine; and

(ii) to otherwise note the report

(3) Space Management

A paper updating members on space management activities in relation to targets was presented. The 2010 Strategic Review of Campus Services had looked to reduce costs by 10-12% over 2-3 years, and it was proposed that one way to achieve this target would be by reducing the estate by an ambitious 15%. The Director of Campus Services outlined the principles, practical steps and identifiable targets key to achieving the goals set out. It was suggested that the key principles be incorporated into a plan for space management.

Resolved: to note the report

8. ENDOWMENTS SUBCOMMITTEE

The Committee received a report of the Sub-Committee’s meeting on 22 November 2011. The Convener highlighted the period August 2011-September 2011 as a particularly difficult period for the financial markets, and this was reflected in the portfolio’s performance. Since this was a general issue for the economy the Sub-Committee was content with the performance of the investment managers. The Committee discussed the range of terms attaching to individual endowments, and requested that an assessment be made of the potential for these funds to be used for capital investment.

Resolved: (i) to request that officers prepare a report for a future meeting summarising the nature, terms and conditions of the portfolio endowments; and

(ii) otherwise to approve the report.

9. STRATEGIC FRAMEWORK – PROGRESS REPORT ON AIMS 6&7

The Committee received a report to be presented to Court at its meeting on 20 February 2012 setting out the University’s progress against performance targets in the areas of support services’ responsiveness and institutional financial sustainability. The Director of Strategic Planning also stated that a report would be produced later this year with broad conclusions as to progress over the last 6 years.

Resolved: to note the report.

10. DR LESLEY MCLELLAN

The Convener noted that Dr Lesley McLellan had stepped down from membership of Court and therefore also the Finance & Policy Committee with effect from 1 January 2012. The Committee expressed its thanks for Dr McLellan’s hard-work, and noted that a successor would be determined in due course.

Resolved: to communicate the committee’s thanks to Dr McLellan, and to note that any revisions to the membership of the committee would be determined in due course.
Financial Strategy

This Financial Strategy underpins our academic aspirations and is designed to support the University of Dundee’s mission:

“... to advance and diffuse knowledge, wisdom and understanding by teaching and research ...”

External environment

The external financial environment at the start of the period covered by this strategic framework is one of extreme uncertainty and volatility. In the Autumn Statement 2011 the Chancellor of the Exchequer spoke of:

- a fall in competitiveness of the UK economy;
- higher than expected inflation driven by a sharp increase in global commodity prices;
- instability and uncertainty caused by the Euro area crisis;
- a downward revision in the trend rates of growth in the medium term.

Against this background the University’s financial strategy must:

- have the flexibility to allow it to adapt to any financial shocks - or opportunities - which may arise;
- ensure the University remains competitive in its chosen markets by delivering excellent value for money both to funding bodies and to students;
- provide funds for continued investment towards the achievement of its long term goals.

Sustainability

The University needs to generate sufficient cash from its operating activities year on year in order to fund strategic investments in new academic activities and existing areas of excellence, as well as to maintain and replace physical infrastructure.

The primary means by which it will do this is by generating an operating surplus in its Income and Expenditure Account. A high level target of a surplus equal to 3% of turnover has been set. The continuing relevance of this target will be reviewed annually as part of the budget setting process. In addition the way the actual surplus is measured will be developed further to ensure that the costs relating to new investments are clearly identified and are reported separately from the surplus from which the investment is made.

It has to be able to withstand the impact of economic downturns and/or funding cuts. This will be achieved through robust forecasting, risk management and contingency planning.

It needs to maintain the right level of each key resource – staff, buildings, and information systems – and to build adaptive capacity into each of these. The financial strategy and other corporate strategies such as human resources, estates and information technology must complement each other.

Maximising income

The University aims to continue to reduce its dependence on grants from the Scottish Funding Council. It will do this by seeking to increase levels of income from unregulated sources and to diversify across activities and funders. A balance between teaching, research and other income will be maintained which is appropriate to the mission and values of the University but which also acknowledges short- and long-term trends in availability of funding.

In order to protect its income, it will ensure that it makes appropriate use of funds and in all respects complies with the requirements of funders.

Unregulated income will normally be priced in such a way as to create a surplus over the full economic cost of the activity, and this full economic cost must be clearly understood. By exception, it may be appropriate to price activity at a lower level but the reasons for this must be explicit and clearly recorded.

Forecasts of levels of teaching and research income activity will be informed by detailed and sophisticated market and trend analysis. Long-term planning of each major income stream is required in order to sustain and grow income levels.
The University will selectively seek strategic collaborations with other HEIs, public bodies, and commercial entities, in the UK and abroad, in order to generate income, share costs and manage risk. Detailed due diligence, risk assessment and robust business planning will be carried out before entering into collaborations, particularly those with new partners.

The target for non-core commercial activities will be to maximise net income. The setting up of subsidiary or associate undertakings will be explored as a means of pursuing such activities through an appropriate vehicle. They may also be used in pursuit of tax planning strategies.

Management of the University’s intellectual property will be directed at the potential for leveraging research and commercial income through building partnerships with industry. Traditional routes for licensing IPR will be employed alongside the creation of new models for partnership and development of IPR to maximise the benefits to the University and society. Spin-out companies will be encouraged and supported as part of the University’s knowledge exchange strategy to support economic development and establish new industrial partners for the future. Other approaches such as licensing and partnerships with commercial organisations will be explored.

Core funding and unregulated income will be supplemented by philanthropic giving, with a clear strategy for the level of dedicated resource being invested and the expected return, along with a clearly prioritised list of fundraising projects. Endowment funds will be used, in accordance with donor wishes, in order to support activities where funding either does not exist or is insufficient to cover the full cost.

**Controlling costs**

The other primary means of generating operating cash is to control costs. This will involve identifying any opportunities for delivering the same level of outward-facing activity (teaching and research) with a reduced level of direct and support resource, and/or increased activity for the same resource.

Key Performance Indicators (KPIs) can be particularly helpful here and may include the following high level targets:

1. Increase income per academic FTE
2. Reduce support costs as a percentage of turnover
3. Reduce staff costs as a percentage of turnover
4. Increase space utilisation
5. Reduce energy costs per square metre

In many cases, these will lend themselves to benchmarking against other similar institutions.

Achieving improved cost control is likely to require “spend to save” initiatives. These could take a variety of forms, including voluntary severance schemes, system implementations, re-organisation, accessing external consultancy expertise, and energy efficiency. These initiatives should be undertaken as a process of continuous improvement, not just as measures to respond to external financial pressure.

As staff costs will always constitute over 50% of our cost base, the University’s HR strategy links closely to this financial strategy in ensuring effective workforce planning, staff development, recruitment and retention of talented individuals, and performance management.

One of the key areas for cost reduction, but also one of the most difficult, is efficiency in support activities. This should be achieved through end-to-end process reviews, ensuring that activities are located where effectiveness can be optimised and duplication minimised.

Simply driving down costs can sometimes be counter-productive, through generating additional costs elsewhere or impacting adversely on income-generating capacity. An approach which focuses on Value for Money should be employed, particularly in procurement of goods and services. The whole life cost of assets should be considered in order to ensure that up-front savings are not cancelled out by higher on-going costs.

Expenditure budgets will not be automatically maintained at the previous year’s level. Continuing current spend from one year to the next will always be subject to review and challenge and, where appropriate, a zero-based budgeting approach should be employed.

Resources will be arranged in such a way as to ensure tax efficiency, particularly in relation to Value Added Tax. Recent legislation has removed the VAT costs relating to shared services. The potential to develop shared services with other charitable organisation in order to reduce back-office costs will be explored.
Balance sheet strength

The University will monitor the strength of its balance sheet through reserve levels and ratios such as liquidity and gearing.

Sufficient levels of cash or cash equivalents will be maintained in order to meet short-term liabilities, taking into account availability of revolving credit facilities. Working capital will be maximised through efficient income collection and appropriate creditor terms. Surplus cash will be invested in short-term instruments in line with the detailed requirements of the Treasury Policy, maximising rates of return within agreed counterparty risk parameters.

Long-term borrowing will be entered into where necessary, in order to fund new assets or activities following approval of robust business case demonstrating returns on the investment sufficient to service the debt. Short-term borrowing will be used in order to manage cash flow.

Capital

Capital investment will only be entered into where it is consistent with the University Strategy and after a full options appraisal. Asset renewal and replacement plans will be refreshed at least annually, with a revised capital programme approved by Court. An appropriate balance will be struck between maintaining and refurbishing existing buildings, on the one hand, and investing in new buildings, on the other.

For each proposed investment, an options appraisal will be prepared setting out the range of alternatives, with a level of detail proportional to the capital value. Estimated capital costs and revenue impacts of the alternative options will be brought together in a cash flow plan, which will be discounted to present value to make them comparable. Non-financial benefits of the selected options will be evaluated, using a weighted scoring matrix and a full risk assessment will be carried out. Post-project evaluation will be carried out and reported to the committee at which the investment was approved.

Net capital investment, after utilisation of external grants, will be funded from cash which has been generated from operating activities, unless there is clear evidence that the asset investment will lead directly to new income-generating activity. Borrowings will only be used to invest in assets where it can be demonstrated that these will generate future surpluses greater than those required to service and then pay down the debt.

The University will seek to maximise opportunities for external capital grants from all sources. This will generally involve use of its own generated cash to lever in external funds. The capital planning approval process will reflect the need to balance the risks of providing match funding with the benefit of leverage.

The University campus footprint will be kept under constant review to make sure that it is appropriate for the scale and nature of our activities and that there is optimal utilisation. Where surplus space is identified, buildings on the periphery will be disposed of in order to generate cash for re-investment in infrastructure within the main campus. Alternatives to disposal, such as commercial letting, will be explored where these present economic benefit.

Strategic planning and resource allocation

A primary objective of the University's financial strategy is to create a transparent financial environment, which is understood in general terms by all staff and in detail by those staff that have responsibility for budgets. In order to create this transparency, reports will be in a clear format and made available widely to a number of audiences, including on the University intranet. Staff will receive training which is tailored to the level of financial management required by their role.

Long term strategic financial planning will be conducted in such a way that it is linked explicitly with the strategic and operational plans of Schools, Colleges and Directorates. The overall financial envelope will be set with reference to the cash generation required in order to fund investment in assets and new activities.

Rolling three year School and College operational plans, accompanied by financial business plans, will be produced annually. The high level financial assumptions used in these plans should be broadly consistent across the University but they should also reflect the specific external environment and aspirations of each School and College. Through planning over a longer timescale than one year budgets, Schools and Colleges have the flexibility they need in order to achieve future growth, balancing delivering financial returns and deploying these for investment.
As well as clearly setting out plans for investment, School and College plans should clearly identify disinvestment in those activities which neither demonstrate excellence nor deliver a return. Where activities deliver a return without achieving excellence, the required return is a surplus above full cost.

These School and College plans will be aggregated into a three year University financial plan. If there is a gap between the overall cash envelope and the aggregated financial plan, an iterative process will be undertaken in order to close the gap.

The budget-setting process will follow on from the annual update of three year business plans. Budgets will be built up from a number of detailed exercises, including student recruitment and retention plans, research projections and modelling of staff costs. Non-pay budgets will only be approved where an appropriate analysis across expenditure headings is produced and where this can be justified with reference to the resource needs of activities to be carried out in the budget year. No budgets will be approved without full scrutiny and challenge to assumptions, especially where projected income growth appears aggressive in the context of past performance.

The University’s Resource Allocation Model is designed to provide appropriate incentives to encourage growth and sustainability, with budgets formulated in the context of rolling three year School, College and Directorate operational plans. It is structured in such a way that the total of School and College budgets represents a “financial contribution”, which is calculated as the difference between total income and direct costs. It ensures that resources are deployed in order to sustain future growth, not reward past performance. A central strategic investment fund is held in order to provide “venture funding” which supports the planning of new teaching and research activities in academic areas.

Budget-holders should build in a suitable level of contingency, which should be clearly identified as such. The value of the contingency will depend on the intrinsic level of risk associated with activities represented in the budget. Sensitivity analysis must be carried out on all major budgets, with alternative scenarios set out for dealing with negative outcomes from such analysis.

Three year plans and one year budgets will be enhanced by the inclusion of KPIs. These may be financial ratios (e.g. average income per academic FTE) or non-financial data (e.g. number of research postgraduate students).

Andrew Hewett  
Director of Finance  
December 2011

Catriona Blake  
Acting Director of Finance  
September 2011
APPENDIX 3

GRADUATES’ COUNCIL
(Minute 46(4))

Charter

11.1 There shall be a Graduates’ Association of the University.

11.2 The constitution of the Graduates’ Association, its powers and functions and all other matters relative thereto which it may be thought proper so to regulate, shall be as prescribed in the Statutes or Ordinances.

Statute 20 Graduates’ Association

(1) The Graduates’ Association shall consist of the following persons:

(a) Graduates of the University as defined by Ordinance

(b) Graduates of the University of St Andrews who pursued the whole or part of their University studies in Queen’s College or in the former University College, Dundee, and who have elected to become members of the Graduates’ Association

(c) Graduates and diplomates of the former Duncan of Jordanstone College of Art, Fife College of Health Studies, Tayside College of Nursing and Midwifery, Dundee College of Education and Northern College of Education (Dundee)

(d) Honorary Graduates

(2) All persons qualified and intending to graduate for the first time in the University shall, as a condition of graduation, pay to the University a registration fee of such amount as may be prescribed from time to time by the Court: Provided, however, that the obligation to pay the registration fee shall not apply to persons specified in clauses (b), (c) and (d) of paragraph (1) above.

(3) The Graduates’ Association shall have power to make representations to the Court on all matters affecting the well-being and prosperity of the University.

(4) There shall be an annual meeting of the Graduates’ Association and such other meetings as may from time to time be convened as may be prescribed by Ordinance. The Convener of the Business Committee of the Graduates’ Association shall be the Chairperson. In the Convener’s absence a chairperson for the time being shall be elected by the meeting from amongst those present. There shall be presented to the annual meeting an audited financial statement of the University for the previous year, an annual report by the Principal on the working of the University during that year and a report on the activities of the Business Committee by its convener.

(5) In any year in which an Assessor on the Court falls to be elected by the Graduates’ Association, such Assessor shall be elected at the annual meeting of the Graduates’ Association in such manner as may be prescribed by Ordinance.

Ordinance 20 - Graduates’ Association

1 The annual meeting of the Graduates’ Association shall be held during March or April on a date approved by the Business Committee. Other meetings may be called by direction of the Chairperson, by the direction of the Business Committee or on the requisition in writing of at least fifty members.

2 In any year in which an Assessor on Court falls to be elected, the election shall be conducted according to procedures laid down in the Graduates’ Association Regulations.

3 The Assessors of the Graduates’ Association on the University Court shall hold office for a period of four years from 1 August following the date of election. An Assessor shall be eligible for re-election but shall not hold office continuously for a longer period than eight years.
APPENDIX 4

COMMUNICATION FROM THE SENATUS ACADEMICUS

(Minute 48)

1. PRINCIPAL’S REPORT

The Principal focused on the continuing preparations for REF and noted the funding council’s intention of only supporting research that is assessed at 3* and 4* (internationally excellent or world leading) with funding being weighted heavily on 4* research.

This approach was reflected in the University submission criteria and the same criteria had applied in the recent mid-term review. The review had identified 316 staff who met the strict quality requirement and a further 100 staff who had the potential to meet the standard if provided with appropriate support and development. The Principal contrasted these numbers with the 528 staff included in the RAE 2008 submission.

The Principal explained that the threshold for the University’s submission was likely to be set at an average level of just below 3*. This would enable the selection process to capture the contributions of those early career researchers working towards 3* and 4* research.

The Principal emphasised that the support of the Senatus was an important aspect of the preparations for REF – helping to develop an effective communication strategy and a code of practice that would ensure a rigorous and consistent approach.

Moving to other matters, the Principal drew to the Senate’s attention the appointments of Mr Andrew Hewett as the new director of finance and Professor John Connell as the new Vice Principal (Research) and Head of the College of Medicine, Dentistry & Nursing. The Principal also confirmed that Professor Malcolm Horner had been appointed as Vice Principal and Head of the College of Art, Science and Engineering until July 2012.

The Principal ended his report by highlighting the excellent performance of the University in the 2012 Leiden Rankings and offered congratulations to those staff involved in the very successful 2012 Discovery Days event.

The Senatus decided:

(i) to support the emerging REF Strategy as set out in the report; and
(ii) otherwise, to note the report.

2. UNIVERSITY COURT

The Senatus received a communication from the meeting of the University Court held on 12 December 2011.

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

3. FINANCE AND POLICY COMMITTEE

The Senatus received the Minutes of a meeting of the Finance and Policy Committee held on 21 November 2011 for information.

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

4. CHANGES TO ORDINANCES 39, 40 and 43

The Senatus received a paper from the Director of Policy, Governance and Legal Affairs proposing changes to Ordinances 39, 40 and 43.

The Senatus decided: to endorse to the Court the amendments to Ordinances 39, 40 and 43 as recorded in the annex.
5. CONSULTATION ON CHANGES TO ACADEMIC YEAR

The Senatus received a consultation paper from the Director of Policy, Governance & Legal Affairs, which proposed initiating a review of the academic year in light of firstly the potential introduction of post-qualification applications and secondly the early start to the academic year combined with the timing of the resit examination diet.

Members expressed support for the consultation and pointed out that the very early start to the academic year did indeed cause problems for staff and students and made it a stressful time of year.

The Senatus decided: to endorse the proposals contained in the consultation paper.

6. SCOTTISH GOVERNMENT REVIEW OF HE GOVERNANCE

The Senatus received a discussion paper from the Director of Policy, Governance & Legal Affairs including a summary of the recommendations from the Scottish Government’s Review of Higher Education Governance.

The Principal introduced the discussion paper and outlined the context of the report including an outline of a recent meeting with the Cabinet Secretary who had indicated broad support for the report but who had confirmed that he would work closely in collaboration with the sector.

The Principal invited the Senatus to comment on the main proposals contained within the Report, and especially on those that related specifically to the Senate.

Members of the Senate were on the whole supportive of the proposals to ensure a gender balance in governing bodies but questioned the mechanisms involved.

Some members expressed disquiet with the tone of the report and with the lack of clarity in its underlying motivations and aims or direction of travel. Some members criticised as unnecessary the proposals for the remuneration and election of chairs of governing bodies.

Members pointed to apparent contradictions in the report – it argued for accountability and control but also for autonomy and diversity. Members also criticised a lack of detail in some aspects of the proposals that were worrying given the scale of the changes involved.

The Principal emphasised that the report was only part of a consultation process at this stage, although it was not yet clear what form that consultation would take. It was likely that the recommendations in this report would be handled separately from those in the White Paper ‘Putting Learners at the Centre’, but this, too, was not yet clear. This would allow for further discussions on detailed proposals before the Scottish Government considered putting forward legislation.

The Senatus decided: to note the report.

7. PROFESSOR EMERITUS

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

Professor Ian Parkin

8. DUSA ELECTIONS 2012

The Senatus decided: to note the dates of the DUSA Elections as follows:

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monday 23 January</td>
<td>nominations open</td>
</tr>
<tr>
<td>Friday 10 February</td>
<td>nominations close at 12 midday</td>
</tr>
<tr>
<td>Wednesday 7 to Friday 9 March</td>
<td>voting days (polls close at 5pm on Friday)</td>
</tr>
<tr>
<td>Friday 9 March</td>
<td>results announced</td>
</tr>
</tbody>
</table>

9. REVISED DRAFT JUNE GRADUATION TIMETABLE

The Senatus decided: to note the revised June Graduation Timetable as follows:
<table>
<thead>
<tr>
<th>Date &amp; Time</th>
<th>College</th>
<th>School</th>
</tr>
</thead>
<tbody>
<tr>
<td>10am, Tuesday 19 June</td>
<td>CASE</td>
<td>DoJ College of Art &amp; Design</td>
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Proposed changes to University Ordinances 39, 40 and 43

Ordinance 39 - Degrees, Diplomas and Certificates

Context: Professional doctorate programmes have been developed by the School of Education over a number of years and approved by the appropriate School and Faculty/College procedure with confirmation by the Senatus. However, the approved degrees have yet to be added to Section 1 (1) of Ordinance 39 that lists the degrees awarded by the University.

The regulations for the degrees already approved can be found online at the following URL:

http://www.somis.dundee.ac.uk/calendar/senate/prof_docs.htm

Proposal 1: to add professional doctorates to the list of degrees awarded by the University. This is adding degrees already approved and does not seek to add any degree that has not already been approved by School, College and the Senatus.

| Approved by Senate 2000-2001 No4 Minute 47 D | Doctor of Educational Psychology (DEdPsy) |
| Approved by Senate 2008-2009 No5 Minute 56(C) Paragraph 11.2.2 | Doctor of Community Learning and Development (DCLD) |
| Doctor of Education (DEd) | Doctor of Social Work (DSW) |

Ordinance 39 1(1) with the proposed changes underlined:

Ordinance 40 – Student Discipline

Context: The retiral of the Academic Secretary and the reallocation of duties to the Director of Policy, Governance & Legal Affairs mean that the list of Authorised Officers in the Student Discipline regulations (Ordinance 40) is now inaccurate.

It is also proposed that the Director of Legal Services & University Solicitor is added to the list of authorised officers so that she will be able to act, in this capacity, in the absence of the Director of Policy, Governance & Legal Affairs.
Proposal 2: to update the list of Authorised Officers under Ordinance 40 as below

Remove: Academic Secretary

Add: Director of Policy, Governance and Legal Affairs

Add: Director of Legal Services & University Solicitor

Ordinance 40 (2) (2) with the proposed changes underlined:

Ordinance 40 – Student Discipline

Authorised Officers

(2) (2) The following officers may also exercise disciplinary powers, for which they shall be accountable to the Principal and/or to the Vice-Principal(s):

- University Secretary
- Director of Policy, Governance & Legal Affairs
- Director of Legal Services & University Solicitor
- Deans, and Heads of Divisions, Departments, Units and Schools; teaching Deans (in respect of misconduct by students in their academic areas),
- Director of Student Operations or nominee (in respect of misconduct in University Residences)
- University Security Manager
- The Librarian or Deputy Librarian or Medical Librarian (in respect of breaches of the Library Regulations),
- The Director of Information Services (in respect of breaches of the Regulations for the Use of Computing Facilities).
- The President of the Dundee University Students’ Association (DUSA).

Ordinance 43 - Tuition and Other Fees

Context: Paragraph 2 Ordinance 43 gives a specification of the coverage of the consolidated annual fee and makes reference to a single examination diet that was applicable prior to semesterisation of undergraduate degree programmes.

The reference to the single examination diet needs to be replaced with an accurate description of current examination patterns to avoid confusion over the coverage of the consolidated annual fee.

Proposal 3: to clarify the examination entrance element of the consolidated fee, replacing the reference to a single diet per year with “entrance to first sitting examinations”.

Current Paragraph 2 of Ordinance 43:

Undergraduate Course Fees

2 For each undergraduate degree course there shall be a consolidated annual fee covering matriculation, tuition, use of libraries, entrance to examinations at one diet per year and, where applicable, use of laboratory, clinical and computing facilities
Proposed new Paragraph 2 of Ordinance 43:

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**Ordinance 43 - Tuition and Other Fees**

**Context:** Paragraph 7 of Ordinance 43 specifies a fee for the late submission of an examination entry schedule that was in use prior to modularisation of undergraduate degree programmes.

This fee is now obsolete and needs to be removed from the regulations to avoid confusion with other fees that may be payable under other regulations (e.g. resit examination entry fees).

**Proposal 4:** to revoke the entire Paragraph 7 of Ordinance 43 that specifies payments for late entry into first sitting examinations. Students are no longer required to submit examination entry schedules for main diet examinations.

Proposed revocation – the whole of Paragraph 7 below to be removed from Ordinance 43:

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**Ordinance 43 - Tuition and Other Fees**

Context: Full time postgraduate tuition fees were formerly charged on a whole course basis – payable in fixed annual instalments for courses that lasted more than a single academic year. Current practice is to charge tuition fees on an annual fee basis – subject to annual increases. Prospective students are informed of this likely increase in fees in the official offer of admission. Paragraph 8 of Ordinance 43 needs to be replaced with an accurate description of current tuition fee charging policy in line with the terms of admission offers. Proposal 3 above also applies

**Proposal 5:** to clarify the consolidated fee for postgraduate degrees as an annual fee (subject to annual increases) rather than a whole course fee payable in annual instalments. Proposal 3 above (removal of reference to a single annual examination diet) also applies to this paragraph.

Current Paragraph 8 of Ordinance 43:

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Proposed new Paragraph 8 of Ordinance 43:

**Ordinance 43 - Tuition and Other Fees**

8 For each postgraduate degree, diploma or certificate course taken either full-time or part-time, there shall be a consolidated annual fee covering, as appropriate, matriculation, tuition, supervision, use of libraries, entrance to first sitting examinations and, where applicable, use of laboratory, clinical and computing facilities.

**Ordinance 43 - Tuition and Other Fees**

Context: Paragraph 9 of Ordinance 43 specifies an obsolete fee discount scheme for part time students in full time employment and to a less general scheme that operated (until 2004) in the previous Faculties of Law & Accountancy and Arts & Social Sciences. All students who may have received a fee discount for courses through these obsolete schemes have now completed. Details of the obsolete schemes need to be removed from the ordinances to avoid any confusion about their current status.

Proposal 6: to revoke the entire Paragraph 9 of Ordinance 43 that specifies a universal fee discount for part time students in full time employment and a less general scheme that operated (until 2004) in the previous Faculties of Law & Accountancy and Arts & Social Sciences.

Proposed revocation: the whole of Paragraph 9 below to be removed from Ordinance 43:

**Ordinance 43 - Tuition and Other Fees**

9 (1) The consolidated fee of a part-time student who is either

(a) in full-time employment from which no release for study purposes can reasonably be granted by the employer, or

(b) following a course of study or research assigned by the University Court to a special category* may, at the University Court’s discretion, be assessed at a rate lower than the norm.

(2) A student, to whom a concession has been granted under this section and who later elects to convert to full-time study, shall be liable to pay the balance of the consolidated fee.

*This refers to the reduced-fee, part-time higher degree courses in the College of Arts and Social Sciences (Schools of Law, Accountancy and Business Finance, Humanities, Social Science and Psychology (formerly known as the Faculties of Law & Accountancy and Arts & Social Sciences)) approved by Court on 2 July 1984. No reference is made to the restriction of the concession to home postgraduates, since to make such a distinction would be discriminatory in terms of the Race Relations Act.

Dr Neale Laker
Director of Policy, Governance & Legal Affairs
A meeting of the Committee was held on 31 January 2012.

**Present:** Dr J Lowe (Convenor), Professor R Abboud, Mr D Cathcart, Dr H Marriage, Professor G Mires, Ms C Potter

**In Attendance:** University Secretary, Director of Human Resources, Director of Finance, Deputy Director of Human Resources, Mrs M Davidson (Minutes), Mr Ian Scragg (for Item 9)

**Apologies:** Professor C Whatley, Mr I Leith, Dr A Roger

The Convenor welcomed Mr Andrew Hewett, Director of Finance to his first Human Resources Committee.

1. **MINUTES**

   The minutes of the meeting of 22 November 2011 were approved subject to Section 4 Equality and Diversity being amended to intimate that excellent research may be submitted to the REF, irrespective of the type of contract an academic may hold.

2. **MATTERS ARISING**

   (1) **Statute 16**

   The University Secretary reported that the report of the Review of Higher Education Governance was expected imminently. It is anticipated the document will provide clarity in relation to taking forward the formal consideration by the Privy Council of the University’s revised version of Statute 16.

   (2) **Pay Award 2011/2012 (Item 3 (1))**

   The Director of Human Resources confirmed that the pay award of £150 added to each spinal point in the salary scale had been implemented and arrears had been paid with the January 2012 salary.

   (3) **Industrial Action (Item 3 (2))**

   The Director of Human Resources reported that the collective day of strike action called on 30 November 2011 resulted in 51 staff being on strike, which had little effect on the operation of the University. UCU and Unite are continuing with action short of a strike with no discernable operational impact. Technically, the University and these trade unions are in dispute but developments are awaited in respect of any further action intended.

3. **UNIVERSITY STRATEGIC REVIEW**

   The University Secretary advised that the strategic review would now be rolled into the University’s forward planning and budgeting process. Focus remains on the potential merger of the Graduate School, School of Business and the School of Law. However, despite the various funding restrictions and the ongoing need to manage costs and deliver efficiencies, SMT is considering making strategic investment in academic staff to support the REF in particular and to build core academic strength in areas of excellence.

4. **FINANCIAL UPDATE**

   The Director of Finance reported that the latest forecast for the full financial year shows a surplus of £836k which exceeds the budgeted surplus of £161k by approximately £700k. He explained that the surplus was accounted for, in part, by one-off sources of income. There was an increase in cash balances of £5m since the start of the 2011/2012 financial year, giving a cash equivalent of £34m, much of which is committed against future income.
Resolved: to note the position.

The Director of Finance updated the Committee on the status of staff auto-enrolment in a pension scheme which will become mandatory in 2013. With minimal alterations the two existing pension schemes the University offers are likely to be compliant. The Committee discussed the relatively high proportion of staff who do not choose to enter the pension schemes currently and debated the possible reasons. It was considered appropriate to consider the possible introduction of a lower cost option for certain categories of staff although the Committee acknowledged that a range of options should be considered prior to a decision being made. The Committee noted that there would be administrative resource implications in administering auto-enrolment. The Committee’s attention was also drawn to the introduction by the UoDSS of a pension swap arrangement that would allow staff to choose to opt for either a higher, fixed pension with no future increases or a lower initial pension which would attract increases.

Resolved: (i) to note the current financial position;
(ii) to note the requirement for auto enrolment to pension schemes in 2013.

5. STRATEGIC FRAMEWORK: AIM 6 & 7

The Director of Human Resources asked the Committee to focus particularly on the performance management part of the paper submitted. It was highlighted that the actual number of objective-setting and review (OSAR) meetings conducted in the year 2010/2011 fell disappointingly short of the KPI. The Director of Human Resources conveyed that she had met with the Principal who then had reiterated the importance of OSAR meetings to the members of the Senior Management Team. The Principal was leading the process by ensuring that his direct reports were charged with an objective for ensuring that all OSAR meetings were conducted in their Colleges, Schools and Directorates. The Committee discussed the need for engagement in the process by staff by encouraging individuals to have confidence to ask their manager to conduct an OSAR meeting. Whilst this was to be desired, it was acknowledged that OSAR was a managerial responsibility. It was suggested that the senior management should view all OSAR documentation for their areas of responsibility but the Committee felt that this step would be appropriate at a more mature stage of the OSAR implementation process. It was confirmed that a workshop and guidance on writing SMART objectives were in the process of development, which was intended to support the quality of discussions that occur between manager and member of staff.

In relation to Aim 7 a member of the Committee tabled a graph on which was plotted the co-relation between the cost of support staff as a proportion of total staff costs and the total income per academic FTE for the University and comparator institutions. The correlation was strong and appeared to suggest that institutions with a higher spend on support staff generated more income per member of academic staff. The Committee found the analysis to be of interest and merited further investigation.

Resolved: (i) to retain OSAR as a KPI;
(ii) to continue implementing tools to support OSAR;
(iii) to encourage staff to request OSAR meetings;
(iv) to consider the level of support staff resource required to optimise capacity for academic staff to generate income and outputs.

6. HUMAN RESOURCES

(1) HR Strategy

The Director of Human Resources confirmed that the HR Strategy previously commented upon by the Committee had been submitted to the University’s strategic team and feedback is awaited.

(2) Remuneration Committee

The Director of Human Resources reported that the Remuneration Committee met in November 2011. A remit and scope was agreed for a process to review how the Remuneration Committee operates and to identify changes that will enhance its operation in the future.
The Director of Human Resources confirmed that the proposals would be brought to the HR Committee prior to going to Court.

Resolved: to note the position.

(3) Report from Organisational & Professional Development

The Director of HR advised the Committee that the Head of Organisational & Professional Development (OPD) had transferred to another post in the University. Her departure from Human Resources led to a re-evaluation of the OPD agenda. The proposal, which has been supported by SMT, integrates Human Resources and OPD, utilising the knowledge that HR Officers acquire in the Colleges and Directorates to identify training and development needs for staff who are involved in strategic and organisational change. As a result, the Directorate has effected a name change: the Directorate of Human Resources and Organisational Development. Mrs Julie Strachan will lead the OPD team as well as the HR Officers and support staff as Deputy Director of Human Resources and Organisational Development. The foundations laid by the previous Head of Organisational & Professional Development will be built upon (for example in relation to cohort training for key roles such as School Secretaries and Deans and the Concordat).

Resolved: to note the position.

(4) Report from the Assistant Director of LLC (Educational Development)

The Committee noted the report.

7. MEDIATION/edr

The Convenor commended the work of the mediation team for its forward-looking and ambitious activities and the value of a facility which allows resolution of issues without the need for escalation. The mediators who were members of the Committee meeting were asked to expand on the paper submitted. The Committee invited Ms Fiona O'Donnell, Mediation Lead to attend the next Committee to speak about the work of the mediation team. The Committee asked that an analysis of the relationship between Employment Tribunal cases and grievances and the number of mediation cases undertaken within the University be conducted.

Resolved: to invite Ms O'Donnell to the next meeting of the Committee.

8. EQUALITY & DIVERSITY

The Director of Human Resources reported that the REF Code of Practice was the focus of much effort at present. In order to complete the Code of Practice, Human Resources awaited clarification on certain academic core principles. The Committee commented that alternative text should be considered for paragraph 4.11 to avoid potential conflicts of interest in the case of potential complaints and appeals from CMDN where the Head of College is also Vice-Principal for Research. The Committee further discussed the need for Code of Practice not to exclude staff simply on the basis that they held Teaching & Scholarship contracts. Excellent research should be returned to the REF, regardless of the type of contract an academic may hold.

It was reported that the Senior Management Team had approved a proposal that the University commit to the Athena Swan Charter. Professor Doreen Cantrell, Vice-Principal, College of Life Sciences will lead the project for the University in addition to leading the work on the Concordat. Once the initial commitment is made to the Charter, work will commence on attaining the Bronze Award. Whilst the University as a whole will embark upon work for the Bronze Award, discrete areas of the University may aim for the more ambitious Silver Award.

The Committee discussed the manner in which certain Athena Swan principles were expressed, which was not in all cases clear nor necessarily universally applicable. It was agreed that despite this reservation it would prove a useful means of analysing and acting upon imbalances in the number of women in science at the University.

Resolved: to note the position.
9. HEALTH & SAFETY

(1) The Convenor welcomed Mr Ian Scragg, Head of Safety Services. He reported that following a serious accident at Knockhill Racing Circuit, the student involved had returned to the University in good health. The car, which had been built at the University, to defined specifications had been passed by independent scrutiny as fit for racing at three different race tracks prior to the incident occurring. Since the accident the car has been retained by the Police and Environmental Health as an item of evidence. Knockhill Racing Circuit has improved their barrier arrangements as a consequence of the accident.

(2) Mr Scragg drew the Committee’s attention to the need to embed Health & Safety with other management decisions and the need to improve risk assessment through training, as highlighted by the accident. Although the University’s accident statistics are slightly better than the average of the 120 institutions in the sector benchmarked, Mr Scragg stated that he believed the training of 800 people for 1 hour in risk assessment would improve understanding more generally. The Committee debated the proposal and resolved that Mr Scragg should work with College Secretaries to decide which groups of staff would benefit most from such training and where it was likely to have greatest impact. The Committee supported Mr Scragg’s proposal first to pilot the training, assess its effectiveness and refine it where necessary before rolling it out on a progressive basis across the University.

Resolved: (i) to develop and pilot the risk assessment training proposed;

(ii) to report progress back to the Committee.

10. LOCAL JOINT COMMITTEES

(1) Minutes of the University/UNITE Joint Committee meeting held on 11 January 2012. Resolved: to note the position.

(2) Minutes of the University/UNISON Joint Committee meeting held on 11 January 2012. Resolved: to note the position.

(3) Minutes of the University/DUCU Joint Committee meeting held on 22 September 2011. Resolved: to review the paper at the next meeting.

11. ANNUAL REVIEW & CRPs

(1) Minutes from Student and Academic Support Services CRP meeting. Resolved: to note the position.

(2) Summary of Annual Review outcomes and CRP meetings for 2011.

The Deputy Director of Human Resources and Organisational Development provided the Committee with an overview of the Annual Review and CRP Statistics for 2011. She confirmed that an exercise to check consistency across Colleges and SASS was planned.

Resolved: to note the position.