

UNIVERSITY OF DUNDEE

UNIVERSITY COURT

A meeting of the University Court was held on 22 April 2013.

Present: Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Professor SM Black, Emeritus Professor A Burchell, Ms SC Campbell, Lord Provost Mr R Duncan, Mr J Elliot, Mr IA Kennedy, Ms S Krawczyk, Dr J Lowe, Ms B Malone, Professor GJ Mires, Ms CA Potter, Dr AD Reeves, Mr KA Richmond, and Mr IDM Wright.

In Attendance: University Secretary; Vice-Principal & Head of the College of Art, Science & Engineering (Minute 65); Director of External Relations; Director of Finance; Director of Human Resources; Director of Policy, Governance & Legal Affairs; Director of Strategic Planning (Minute 74) and Clerk to Court.

Apologies: Mr R Burns, Professor TA Harley, Dr H Marriage, Ms J McGovern, Mr KAC Swinley, Dr AM Roger.

The Chair welcomed Ms Malone to her first Court meeting following her nomination as Rector's Assessor.

63. MINUTES

The Court decided: to approve the minutes of the meeting on 18 February 2013.

64. MATTERS ARISING

(1) Appointment of Dean of the School of Business (Minute 46(2)(c))

The Principal informed the Court that Professor Matthias Klaes of the University of Keele had been appointed as the Dean of the School of Business. Professor Klaes would take up post on 1 June 2013.

The Court decided: to note the appointment.

(2) Appointment of Director of Information & Communication Services

The University Secretary informed the Court that Mr Paul Saunders had been appointed as the new Chief Technology Officer & Director of Information & Communication Services. Mr Saunders was the Vice-President & Chief Information Officer for two large business units within a major US conglomerate, Textron Inc. and would take up post on 27 May 2013. The Court noted that the interview panel had been impressed by his experience of developing a strategic vision for technology and information services and his track record in delivering change.

The Court decided: to note the appointment.

(3) Notice of Election: Chairperson of Court (Minute 59)

The Court noted that as the only nominee, Mr Eric Sanderson had been duly re-elected as the Chair of Court for a second term of three years to 31 July 2016 in accordance with Statute 9(3).

The Court decided: to congratulate Mr Sanderson on his appointment.

(4) Communication from the Senatus Academicus (Minute 58)

The Court decided: to ratify the decision taken at its meeting on 18 February 2013 to approve changes to Ordinance 39, specifically the addition of the Master of Forensic Odontology (MFOdont) and Master of Mathematics (MMath) to paragraph 1, and the addition of the Master of Forensic Odontology (MFOdont) to the Taught Postgraduate Masters Degree General Regulations (General: Paragraph 1).

65. VISION – COLLEGE OF ART, SCIENCE & ENGINEERING

The Vice-Principal & Head of the College of Art, Science & Engineering (CASE) presented to Court his vision for the future of the College. In doing so, he highlighted the quality of research across the College. He told the Court that the six disciplines within the School of Engineering, Physics & Mathematics (EPM) and the School of Computing were individually small, but that as a result of their interdisciplinary working five of these disciplines would rank within the top five if compared to equivalent disciplines within the Russell Group on the basis of research income per research staff Full Time Equivalent (FTE). He also highlighted the scale and quality of research in Duncan of Jordanstone College of Art & Design.

Turning to the College vision, the Vice-Principal highlighted its alignment to the University vision. He told the Court that in order to realise its aspirations the College would focus over the next five years on: excellence in research and education; wider impact; growth in unregulated markets; investment in excellence; efficient working; and building multi-disciplinary opportunities and external partnerships.

The Vice-Principal drew attention to the College's 'Dundee Fellows' scheme – the creation of permanent 'Teaching & Research' posts with an enhanced research focus, staff development opportunities, mentoring, and flexible working. The process had resulted in a significant number of high quality applications from across the world in all disciplines in the College. In response to questions the Vice-Principal confirmed that the equality & diversity initiatives embedded within the recruitment scheme appeared to have been effective.

The Vice-Principal also outlined a number of 'flag-ship' activities within the College including the V&A at Dundee, a planned Offshore Renewables Institute and the proposed transfer of the Centre for Anatomy & Human Identification.

Turning to financial matters, the Court noted that the Vice-Principal had identified a number of key financial challenges. Many of these were applicable to all Colleges, and the Vice-Principal described how Transparent Approach to Costing (TRAC) data was being used within the College to guide a more detailed analysis of areas where improvements could be made. He told the Court that the College had identified a number of processes to address the challenges, including: a review of staff workload and institutional needs, a review of programmes and research groups, provision of enhanced mentoring, performance management, investment in marketing to assist with the growth of unregulated income, development of new international partnerships aligned to the University's internationalisation strategy, integration of professional support with relevant SASS teams, and the possible development of a graduate school.

The Court decided: to thank the Vice-Principal for his presentation.

66. CHAIRMAN'S REPORT

The Court noted that since the last meeting of Court the Chairman had been heavily involved in the development of the Scottish Code of Good HE Governance which would be discussed elsewhere on the agenda (Minute 71). The Chairman also informed the Court that he had held discussions with three Vice-Principals in connection with the proposed change to the reporting structure for the Centre for Human Anatomy & Identification (CAHID), and that he would report fully on those discussions when the proposal was discussed later in the agenda (Minute 73). Finally, the Chairman drew member's attention to the appointment of David Ross (Glasgow University) as successor to Alan Simpson as Chair of the Committee of Scottish Chairs from next August for a period of three years.

The Court decided: to note the report.

67. PRINCIPAL'S REPORT

The Court received a report from the Principal (**Appendix 1**). Noting that the Scottish Code of Good HE Governance would be covered in more detail elsewhere on the agenda, the Principal focussed on the other elements of his report. At the last meeting of Court discussions had focussed on the Post-16 Education (Scotland) Bill, and the Principal told the Court that meanwhile there had been indications from the Parliamentary Committee that it intended to take further evidence between Phase 1 and 2 of the passage of the Bill. The Court remained concerned at the potential for the introduction of legislation capable of affecting the autonomy of institutions, and members noted that the extent of legislation would likely depend on the degree to which the Scottish Code of Good HE Governance was accepted. The Principal told the Court that it seemed possible that amendments by Universities Scotland on some measures might be adopted, although for others such as widening access and gender equality this remained unclear. Members noted a view that the Scottish Funding Council (SFC) retained some oversight of higher education provision through the Outcome Agreement, and that further legislation in this area was therefore unnecessary.

Turning to financial matters, the Principal told members that it appeared unlikely that the Scottish Government would be in a position to provide a clear position on budgets for 2015/16 for some time. However, it was likely that the HE sector would be subject to a tough settlement in the future, and so the need for both stringent financial management and dogged determination in working toward the University's 6% investment target was recognised as being important for the future support of ambitious academic programmes and necessary investment in estates and infrastructure.

The Principal also updated the Court on recruitment to the additional places awarded through the SFC Investment Proposal scheme. A number of initiatives were underway, and effort was now focussed on the conversion process and UCAS clearing campaign. Members noted that recruitment to these places was in line with the University's core purpose, but that investment would be required to ensure recruitment and retention.

The Court also noted that the indicators of likely levels of recruitment from the Rest of UK (RUK) market remained similar to last year. The Principal told the Court that efforts were being made to improve upon last year's conversion rates, and that the RUK recruitment strategy would be reviewed to fully exploit all opportunities to improve recruitment from this unregulated income source, albeit in the context of a very competitive marketplace for students both among English universities and between Scottish institutions wishing to take advantage of the RUK policy.

The Principal also updated the Court on preparations for the Research Excellence Framework (REF) 2014. Preparations remained on target, and the Court noted that staff would be notified of their proposed inclusion, or otherwise, in the REF submission by 7 June. It was expected that fewer staff would be returned in REF 2014 than in the Research Assessment Exercise (RAE) 2008, but that the quality of outputs would be higher.

Finally, Court joined the Principal in congratulating Ms Christina Potter on her appointment as the Principal of the new college formed by the merger of Dundee and Angus Colleges.

The Court decided: to note the report.

68. FINANCE & POLICY COMMITTEE

The Court received a report from the meeting of the Committee on 25 March 2013 (**Appendix 2**). The Director of Finance highlighted proposed changes to the wording of three prize endowments to enable expenditure. Members noted that the Committee would consider a paper on the V&A at Dundee at its next meeting on 13 May 2013.

The Court decided: (i) to approve changes proposed to three endowments to enable expenditure from these bequests; and
(ii) otherwise, to approve the report.

69. MAIN SFC GRANT LETTER AND BUDGET SETTING

The Director of Finance presented a paper outlining the SFC grants which were confirmed on 4 April 2013. The majority of items were unchanged from the indicative grant letter received in December 2012, but there was an inclusion of a further £1,033,000 research excellence grant to support the SFC's Global Excellence Initiative.

The Court noted that the budget which was currently under development was likely to predict a break-even position for the 2013/14 academic year, largely due to increased costs such as salary drift, pay increases and pension auto-enrolment which had been estimated at £5.5m. The Director of Finance told the Court that structural changes would be likely to be needed to achieve the 6% financial surplus target, and that TRAC data was being used to identify areas where costs were out of line with income.

In response to questions, the Director gave reassurance that the emerging budget was realistic. Members indicated an interest in ensuring that the return on investment posts was monitored, and asked the Director to indicate in-year investments when reporting on progress toward the 6% surplus target.

With the strategic plan and vision for the University completed, some members questioned if, given the predicted break-even position for the budget, there was a need to return to a review of financial resilience issues, including a review of the footprint of the University and the identification of areas where investment was required to achieve growth potential.

The Court decided: (i) to note the report; and
(ii) to note that a paper outlining the 2013-14 budget would be presented in June.

70. AUDIT COMMITTEE

The Court received a report from the meeting of the Committee on 5 March 2013 (**Appendix 3**). In the absence of the Convener, the University Secretary highlighted the internal audit reports on Student Numbers, Control Risk Self-Assessment, and Business Continuity planning. He also highlighted the positive relationship with the external auditors.

The Court decided: to approve the report.

71. SCOTTISH CODE OF GOOD HIGHER EDUCATION GOVERNANCE

The Chairman introduced the recently published 'Scottish Code of Good Higher Education Governance' and a paper outlining an initial analysis of the Code as it related to current practice at the University of Dundee which had been produced by Officers. The Code had been published on 16 April 2013, and would be subject to an 8 week consultation phase. Members noted that the Code was based on a 'comply or explain' approach.

From the initial analysis presented it appeared that the University of Dundee was largely compliant with the expectations of the Code, in large part a result of the promotion of good governance at the University of Dundee over the last few years, and as a result of reforms made following the last review of the effectiveness of Court.

The Principal told the Court that Universities Scotland had responded positively to the Code, and that a response from the Cabinet Secretary was expected shortly.

Members were keen to avoid a situation where the Government felt the need to legislate in relation to matters of institutional governance, indicating a strong preference that the Code be implemented in its most progressive interpretation with an expectation that institutions would comply with the code and only use the explain option when absolutely necessary. It was expected that the SFC would make compliance with the Code a condition of funding, which members suggested should negate the need for additional legislation. The Court stressed the need to retain the principle that institutions should retain their autonomy from Government and be responsible for their own governance.

A range of suggestions were received from members on areas in which the Code could be strengthened, for example through the incorporation of or reference to aspects of the UK Corporate Governance Code. In that regard, members noted the opportunity for the University to feed comments and suggestions into the consultation process before the Code was finalised.

- The Court decided:**
- (i) to endorse the Scottish Code of Good Higher Education Governance; and
 - (ii) to provide additional feedback on areas where the Code could be strengthened to the University Secretary by 6 May to enable circulation to members of a proposed response to the consultation.

72. GOVERNANCE

(1) Governance & Nominations Committee

The Court received a report from the meeting of the Committee's meetings on 18 February 2013 (**Appendix 4**) (as verbally reported to Court on 18 February 2013), and 25 March 2013 (**Appendix 5**). The Court noted that the Committee had recommended unanimously the appointment of Mr Ronald Bowie as a lay member of Court. The Convener also highlighted the approval by the Chancellor of the appointment of Mr Richard Burns as Chancellor's Assessor, and the upcoming review of all reappointments of co-opted lay members at the meeting of the Committee in October 2013.

- The Court decided:**
- (i) to approve the appointment of Mr Ronald Bowie as a co-opted lay member of Court for four years in the first instance from 1 August 2013 in terms of Statute 9(1)(l);

- (ii) to note the confirmation of the appointment of Mr Richard Burns as Chancellor's Assessor for the period 1 August 2013 to 31 July 2014 in terms of Statute 9(1)(d), that being his maximum term of office; and
- (iii) otherwise, to approve the reports of the meetings of the Governance & Nominations Committee on 18 February and 25 March 2013.

(2) Rector's Assessor

The Court noted the nomination of Ms Bernadette Malone as Rector's Assessor for a period of 3 years in the first instance until 25 February 2016 in terms of Statute 9(1)(c) and 9(2)(f).

(3) Election of Members of Court

(a) Graduates' Council Assessor on Court

The Court noted that Dr William Boyd had been elected by the Graduates' Council to serve as its Assessor on Court for the period 1 August 2013 to 31 July 2017 in the first instance in terms of Statute 9(1)(f).

(b) Senate Elections

The Court noted that Professor Trevor Harley (School of Psychology) had been re-elected to serve on the University Court as a professorial member of the Senatus in accordance with Ordinance 18. Two nominations had been received for the election of a non-professorial member of Senate to Court and the Court noted that an election would be held on 6 May 2013.

The Court decided: to congratulate Professor Harley on his re-election to Court.

[Secretary's note: Dr Sam Crouch was subsequently elected]

(c) Academic Council

The Court noted that two candidates were standing in the election for an Academic Council member on Court which would be held on 3 May 2013.

[Secretary's note: Professor Sue Black was subsequently re-elected]

(d) Dundee University Students' Association President

The Court noted the election of Mr Iain MacKinnon as DUSA President with effect from 1 July 2013.

The Court decided: to congratulate Mr MacKinnon on his election.

(e) Independent Student Member on Court

The Court noted that a by-election would be held on 25 and 26 April for the position of Independent Student Member on Court, after the previous nominee withdrew before the poll took place.

[Secretary's note: Ms Marija Tasevska was subsequently elected].

73. **CENTRE FOR ANATOMY AND HUMAN IDENTIFICATION**

[Professor Black left the meeting for the duration of the item]

The Principal introduced a proposal for the transfer of the Centre for Anatomy and Human Identification (CAHID) from the College of Life Sciences to the College of Art, Science & Engineering. The proposal was being made subject to recommendation by Senate. The move would support the further development of areas of potential growth such as unregulated taught and postgraduate programmes, surgical skills, and bioengineering. The Chair informed members that he had met and discussed the move at length separately with the Principal, the three Vice-Principals involved and the Director of CAHID, and was personally satisfied that the move was supported by all involved and would not be detrimental to existing operations.

The paper also outlined the appointment of Professor Sue Black (Director of CAHID) as Deputy Principal for Public Engagement in accordance with the principles for appointment approved by Court on 12 December 2011. In reaching its decision to endorse the proposals, the Court noted and discussed recent press attention on a Court case in which Professor Black had acted as an expert witness. The Court was fully satisfied that this case did not affect the University's decision to appoint Professor Black as Deputy Principal, agreeing unanimously that her extensive background in public engagement made her an excellent candidate for the role.

- The Court decided:**
- (i) to endorse the move of CAHID to the College of Art, Science & Engineering; and
 - (ii) to endorse the appointment of Professor Sue Black as Deputy Principal for Public Engagement and congratulate her on her appointment.

74. **OFFSHORE RENEWABLES**

The Director of Strategic Planning presented a high-level paper outlining the opportunity and relative strategic positioning of the University in relation to the establishment of an Offshore Renewables Institute (ORI). The focus of the ORI would be on major challenges associated with the implementation and deployment phases of the offshore renewable energy industry. The Director presented the business plan for the ORI, along with an outline of the vision, governance, infrastructure and risks for the project, which would be taken forward in partnership with the University of Aberdeen and the Robert Gordon University. A detailed paper containing the financial plan, risks and governance arrangements for the ORI would be submitted to

the Finance & Policy Committee on 13 May 2013 for approval, with a view to launching the ORI in late May and the Director asked the Court for its opinion on the project.

Members discussed the competitor analysis and positioning of the University relative to this opportunity, and were reassured by discussions that had taken place with others already involved in the industry. Members noted that the business and marketing plan would be presented in May.

The Court decided: to endorse the proposal.

75. SFC OUTCOME AGREEMENT

The Court considered the Outcome Agreement with the SFC which had been updated for 2013/14. The Court noted that the agreement had been approved by the SFC, and that the additional places awarded through the SFC Investment Proposal Scheme had been incorporated into the agreement.

The Court decided: to endorse the agreement.

76. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senate on 27 March 2013 (**Appendix 6**).

The Court decided:

- (i) to approve changes to Ordinance 39 4(2) designed to clarify the terms of external examiner appointments asset out in Appendix 5 subject to ratification at a subsequent meeting of the Court;
- (ii) to approve the recommendations concerning the conferment of the title of Professor Emeritus;
- (iii) to note the dates of meetings contained in the academic calendar for 2013-14; and
- (iv) otherwise, to note the report.

77. ACADEMIC COUNCIL

The Court received a report from the meeting of the Academic Council on 4 March 2013.

The Court decided: for its part, to note the report.

78. **RECORDS MANAGEMENT POLICY**

The Court noted that following a review, a number of changes had been made to the Records Management Policy to reflect changes to the University Structure since the introduction of the policy (**Appendix 7**).

The Court decided: to approve the changes.

79. **MUSEUM COLLECTIONS POLICIES**

The Court considered the Management Plan 2012-2017 and the Acquisition and Disposal Policy 2012-2017 (**Appendix 8**) for the University of Dundee Museum Collections which would form part of the application to the Museum Accreditation Scheme run by Arts Council England.

The Court decided: to approve the policies.

80. **STAFF**

Professorial and Other Grade 10 Appointments

David Horn	Chair of Parasite Molecular Biology	1 May 2013
Matthias Klaes	Dean of School of Business	1 June 2013

81. **SIR ALAN LANGLANDS**

The Court noted that former Principal, Sir Alan Langlands, had been appointed as Vice-Chancellor of the University of Leeds.

The Court decided: to offer its congratulations to Sir Alan Langlands on his appointment.

82. **ETHICAL REVIEW COMMITTEE**

The Chair of the Ethical Review Committee (ERC) confirmed that a report into the review of the remit of the ERC would be presented to the Court in June. She requested permission for the Home Office Inspector to attend the meeting to deliver a presentation on legislative requirements.

The Court decided: to note that a report would be provided in June, and to invite the Home Office Inspector to attend to deliver a presentation.

APPENDIX 1

PRINCIPAL'S REPORT (Minute 67)

Presentations to Court

This meeting will see the final instalment in the series of College vision presentations, with Professor Stephen Decent presenting his five-year vision for the future of the College of Art, Science & Engineering (CASE). Professor Decent took over the role of Vice-Principal & Head of CASE in September 2012 following a period of time during which the College had been (after the departure of Professor Anne Anderson) led by interim appointments. In the seven-months that he has been in post he has already brought a renewed sense of purpose and vigour to the College, and I look forward to hearing him share his ideas for the future. The series of presentations, together with the tours of DUSA and Ninewells were designed to help members of Court become more familiar with the activities and aspirations of the Colleges, SASS and DUSA, and I would be interested to hear members views on whether this has been a useful practice.

Wider Impact

Professor Decent is also the Vice-Principal with responsibility for the institutional portfolio on Wider Impact – we expect to have a paper for Court on this topic later in the year, however I am sure that Professor Decent would be happy to take questions on this area should Court members wish.

I mention this because one area of particular significance within the Wider Impact portfolio is that of Public Engagement. Stephen and I believe that additional focus and direction is required to maximise our potential in this area. To this end I have approached Professor Sue Black whose extensive background and profile (both internally and externally) make her a suitable individual for this role. I shall therefore be appointing Professor Black as Deputy Principal for Public Engagement in accordance with the principles for appointment approved by Court at its meeting on 12 December 2011, and I invite the Court to endorse the appointment. This proposal sits alongside the proposal made elsewhere in today's agenda to transfer the Centre for Anatomy and Human Identification (CAHID) under Sue Black's leadership from the College of Life Sciences to the College of Art, Science & Engineering to support the further development of areas of potential growth such as bioengineering and surgical skills.

University Governance

A major item on the agenda for this meeting is the Scottish Code of Good HE Governance. At the time of writing my report to Court we are awaiting the publication of the Code, however the Chairman and I expect to be in a position to update the Court at the meeting on initial reactions to the publication.

At the last meeting of Court we discussed the response to the Phase 1 consultation on the Post-16 Education (Scotland) Bill, and in particular concerns that some of the provisions in the Bill as it currently stands had the potential to threaten University autonomy. A series of amendments to the Bill were proposed by Universities Scotland, and there have been indications from the Parliamentary Committee that they intend to take further evidence between Phase 1 and 2 of the passage of the Bill. I hope to be able to provide a further update on the position of the Cabinet Secretary on the proposed changes at the meeting.

Finance

As usual the budget-setting timetable for the next academic year is geared toward agreement at the Finance & Policy Committee and Court meetings in late May and early June respectively. SMT held its key budget planning meeting as a recent away day and, while current predictions are for a tight budget in 2013/14, I am confident that the University is approaching the planning stages in a robust and comprehensive manner. The tight fiscal environment underlines both the need for stringent financial management and also the need for us to show determination in working toward the 6% investment target to facilitate our commitment to supporting ambitious academic programmes and the necessary investment in our estates and infrastructure.

Applications from the Rest of UK (RUK) market have been similar to last year, with 3117 RUK applications being received compared to 3239 at the same point last year, and our focus has now turned to conversion where we must strive to improve on last year's position. The Current figures would put our financial models for recruitment at a break-even position relative to the funding reduction which resulted from the introduction of RUK fees. Given our ambitious targets for recruitment from this source of unregulated income such an outcome

would be disappointing. It is therefore important that we consider again our marketing to RUK students and look fully to exploit all opportunities for improvement to our strategy.

If we look further into the distance, it is not yet clear whether the Scottish Government will be in a position to provide a budget forecast for 2015/16, that is beyond the period of the spending review it conducted in 2011, so, not for the first time, we will be determining our own budgets in the absence of any concrete information about likely spending from the Scottish Government. In the shorter term, it is possible that higher education will see a tougher settlement, particularly given the political pushback seen following the very tight treatment of the college sector, and the resulting reorganisation. The danger with this approach of course is that it risks undermining the investment of the last two years; it would be a retrograde step if decisions were made simply on a 'whose turn is it next to suffer' basis.

Outcome Agreement

You will notice that the University's Outcome Agreement with the SFC (updated for 2013/14) has been provided for the information of Court. The agreement once again reflects the University's own priorities as outlined by objectives within our strategy to 2017, and sets stretching, but achievable targets. The new agreement includes additional places awarded through the SFC Investment Proposal Scheme (150 places for wider access, 50 places for articulation and 45 places for undergraduate skills along with 49 postgraduate places). In the current year a number of initiatives are being launched in relation to the articulation places, including co-curriculum development with Dundee College for which there will be a signing of an agreement on 6 June. With respect to the 150 wider access places that were awarded mid-year (in addition to an increased baseline recruitment target for MD20/MD40 students), application numbers for this group of students has been similar to previous years. As there was not the opportunity to build the additional places into the pre-application marketing strategy the focus has been on the conversion process and the UCAS clearing campaign. The University has purchased additional advertising for the UCAS campaign, has promoted bursaries at the time of making offers, and has arranged additional marketing ranging from newsletters and case studies to visit days geared to improving conversion rates for these students. Further additional sources of applications are also being identified and elements of this responsive approach will be built into future pre-application strategies.

Research Excellence Framework

The preparations for the REF submission remain on target. Priority in the next 2 months will be given to selection of staff to be submitted, based on the clearly agreed quality thresholds across the University (4*/3* for the great majority of outputs); a considerable amount of work has been undertaken in the assessment of staff who might qualify for a reduced number of required outputs, based on circumstances such as early career status, maternity leave or illness. Proposed staff selections are being reviewed by REF coordinating groups, led by senior academics with experience of previous Research Assessment Exercises. Staff will be notified of their proposed inclusion, or otherwise, in the REF submission by 7 June, with a short period allowed for appeals thereafter based only on grounds of process. While it is too early yet to be certain of exact numbers, fewer staff will be returned in REF 2013 than in RAE 2008, but with an expectation that the quality of outputs will be higher. We believe this approach is in line with that being taken by other research intensive institutions. It should be noted that there has in all colleges been successful recruitment, using Strategic Investment Funds, of new staff who will enhance our REF profile.

Additional work for REF comprises of the preparation of case studies that illustrate evidence of the impact of our research and descriptors of the research environment in all of the Units of Assessment to which we plan to submit. Initial work is well in hand with both elements, and internal review of material has identified areas where focussed attention is required over the next six months to bring the submissions to a high quality. While the preparation of impact cases is particularly challenging, as there is no previous experience of what is expected, our REF leads are confident that we have good examples of impact across all areas of the University, and that the main concern which remains is to present these effectively.

I would like to acknowledge here the hard work of the REF support team led by Dr Clive Randall; Mr Ajit Trivedi and Mrs Pam Milne, who have managed the process of evaluating which staff qualify under special circumstances; and all of the academic staff who are working hard to ensure that our submission can be as good as possible.

Dundee and Angus College

Many of you will have seen in the press news of the forthcoming merger of Dundee and Angus Colleges, which it is proposed will take effect from 1 November 2013. You may also be aware that Court member, Christina Potter, the current Principal of Dundee College, has been named as the first Principal of the merged college. I am sure Court members will join me in congratulating her on her appointment to the role.

Professor Pete Downes
Principal & Vice-Chancellor

Senior Management Team Meetings (SMT)

<http://www.dundee.ac.uk/academic/court/com/smt/>

Since the last report to the Senate, the Senior Management Team has met as follows: 13 February 2013, 26 February 2013, 13 March 2013, 27 March 2013, 3 April 2013 (special budget meeting), and 10 April 2013. It has considered a number of issues, including the following:

- Collaboration with the Costeas Geitonas School (Athens)
- 2013/14 Budget
- Operating Plan/Budgeting Timetable
- SFC Funded Initiatives
- Period 6 Management Accounts
- Staff Survey
- REF – update on progress
- RIS Grant Awards Analysis
- University Website
- Estates Issues
- Institute of Surgical Skills Training Options Appraisal
- Food Security Alliance
- Ivory Chair in Applied Mathematics
- Queen’s Anniversary Prize
- Progression rates
- SFC Innovation Centre: Connected Digital Economy
- V&A at Dundee
- Development of the HR/Payroll system
- Human Resources Issues:
 - 2013/14 National Pay Negotiations
 - Consideration of additional payments to staff for working abroad
 - Review of OSAR completion rates
 - Honorary Professorships
 - Athena SWAN
 - Staff Survey

Major Grants and Awards

- **£3.6m from the Wellcome Trust to Professor Paul Wyatt** (Biological Chemistry and Drug Discovery) for 'A Centre of Excellence for Lead Optimisation for Diseases of the Developing World' (Joint funding by Wellcome & Gates).
- **£2.1m from EC FP7 Ideas/European Research Council to Professor Tomo Tanaka** (Gene Regulation and Expression) for 'SELFCC: Chromosome Self-clearing Completes Sister Chromatid Separation'.
- **£1.7m from the Wellcome Trust to Professor Mike Ferguson** (Biological Chemistry and Drug Discovery) for 'High-Throughput Decoding of Virulence Mechanisms in African Trypanosomes' (Senior Investigator Award) (Prof David Horn).
- **£1.7m from the Wellcome Trust to Professor Sir Philip Cohen** (Protein Phosphorylation Unit) for 'research into inflammatory and autoimmune diseases'.
- **£172k from the EPSRC to Dr Wendy Moncur** (School of Computing) for 'Digital Lifespan'.
- **£172k from EC FP7 People/Marie Curie to Ms Elizabeth Kirk** (School of law) for 'The Legal Regime of Shipping and Biodiversity in the Arctic'.
- **£93.7k from the EPSRC to Dr M Ptashnyk** (Mathematics) for 'Multiscale Modelling and Analysis of Mechanical Properties of Plant Cells and Tissues'.
- **£78k from the Wellcome Trust to Dr N Bhattacharya** (History) for 'A Coming of Age Story: A History of the Indian Pharmaceutical Industry, 1905-1966' (Medical History and Humanities Fellowship).
- **£34k from the UK-India Education and Research Initiative (UKIERI) to Dr Peter Mossey** for 'UKIERI Trilateral Partnership UK-US-India'.

People and Prizes

- Professor Sir Philip Cohen received the highest award given by the Medical Research Council, the Millennium Medal, at a ceremony in the House of Commons on Wednesday February 27th. The Millennium Medal is the MRC's most prestigious award, presented every two years to an outstanding scientist who has made a major contribution towards the MRC's mission to improve human health through world class medical research.
- Professor Sue Black, the world renowned forensic anthropologist based at the University of Dundee, was among 100 women named in the 2013 Power List by the BBC Radio 4 programme 'Woman's Hour'.
- Vicki Hanson, Professor of Inclusive Technologies at the University of Dundee, has been named one of 2013's 'Women of Vision' by the US-based Anita Borg Institute.
- 5 Million Questions - 'Reporting the Referendum' event, Friday April 12th - the news story dominating the airwaves, front pages and websites of Scotland until late 2014 is the historic independence referendum. The debate is highly partisan, at times complex and frequently ill tempered. The duty and challenge for our journalists - print, broadcast and increasingly importantly, online - could scarcely be greater and at a time of great turmoil in the media industry. Can interest be generated and sustained and can frequent accusations of bias be overcome to fulfil the vital task of reporting the referendum? Journalist David Torrance chairs a panel of high-profile media makers to look at these issues and more.
- The 2013 election of new Fellows of the Royal Society of Edinburgh has seen the honour bestowed on five of our academics. They are:

Professor Peter Cameron, Director of the Centre for Energy, Petroleum & Mineral Law & Policy
 Vicki Hanson, Professor of Inclusive Technologies (School of Computing)
 Pauline Schaap, Personal Professor of Developmental Signalling (College of Life Sciences)
 Robbie Waugh, Principal Investigator (College of Life Sciences & The James Hutton Institute)
 Paul Wyatt, Professor of Drug Discovery (College of Life Sciences)

- Joanna Montgomery who graduated from the Digital Interaction Design programme at Duncan of Jordanstone College of Art and Design (DJCAD) in 2010 has been named Innovator of the Year in the 2013 everywoman in Technology Awards.
- Professor Michael Ferguson, Professor Peter Davies, and Professor Caroline Wilkinson have been honoured among the Royal Medallists and Prize Winners for 2013 announced by the Royal Society of Edinburgh.

APPENDIX 2

FINANCE & POLICY COMMITTEE
(Minute 68)

A meeting of the Committee was held on 25 March 2013.

Present: Mr R Burns (Convener), Principal Professor CP Downes, Professor RJ Abboud, Mr J Elliot, Mr IA Kennedy (President, Students' Association), Dr J Lowe, Dr AD Reeves, Mr EF Sanderson, Mr IDM Wright.

In Attendance: University Secretary; Director of Finance; Director of Strategic Planning; Director of Policy, Governance & Legal Affairs; Mr A McColgan (Campus Services Practice Manager), and Clerk to Court.

Apologies: Dr H Marriage.

1. MINUTES

Resolved: to approve the minutes of the meeting on 21 January 2013.

2. MATTERS ARISING

(1) Student Progression Rates (Minute 2(1))

The Committee received a paper outlining comparative progression rates for Home, EU, Rest of UK (RUK) and Overseas students by year of study, school, and college. Progression rates were shown relative to a putative combined national (UK) average for all disciplines, and the Committee noted that it would not be possible to judge the impact of the introduction of the RUK student fee on progression rates until the first cohort had completed their first year of study. Following discussion the Committee requested (where possible) additional information in future on: progression relative to averages across Scotland, broken down by subject area; the impact of entrance grade requirements on progression; and progression rates for MD20 and MD40 students.

The Committee discussed the data relating to individual Schools, and commented on the contextual admissions programme developed by the School of Medicine. It was expected that this approach would increase progression through to qualification, and members noted that this was an example of the University using data to develop an academic approach to improving progression.

The Principal informed the Committee that the paper would be considered by the Senior Management Team later in the week, and that as student progression was a Performance Indicator (PI) within the Learning & Teaching strategy, mechanisms for responding to progression rate data would be built into the Strategic Plan.

Resolved: to note the report, and await further analysis.

(2) Money Market Deposits (Minute 6)

The Director of Finance presented a paper which considered whether money market funds would provide a suitable investment opportunity for surplus cash balances. The Director proposed amendments to the Treasury Management policy that would enable investment in money market funds where the fund itself would achieve an AAA rating.

The Director highlighted that unlike the investment options used to date there was no guaranteed return on money market funds, and that for the period reviewed money market funds had not provided a significantly higher return than existing bank deposits. However, the Committee noted the benefits of having the option to diversify the University's investments in the current market.

Resolved: to approve the changes to the Treasury Management Policy as set out in (annex a) to permit investment in money market funds, but subject to the maximum investment being capped at 10% of total deposits.

(3) V&A at Dundee (Minute 7)

The Committee noted that a business plan for the V&A at Dundee project would be presented to the Finance & Policy Committee on 13 May 2013, and thereafter to Court on 10 June 2013.

Resolved: to note the update.

3. **MANAGEMENT ACCOUNTS – PERIOD 7**

The Committee received the accounts for the Period to 28 February 2013. The year-end forecast was for an operating surplus of £1.9m, representing a favourable variance of £1.5m compared with the budget. The Committee noted that the Colleges had worked hard to address the adverse variances reported previously and to claw back any shortfall. The cash position of the University remained strong, with a total of £41.7m of cash on deposit. Capital expenditure was expected to be below budget due to slower than expected spend on some of the larger projects (although delivery on these remained on track).

The Director also provided an update on recruitment to strategic investment posts. In response to questions from members, the Principal told the Committee that the Senior Management Team were to discuss mechanisms and criteria for testing the academic and financial return on these appointments. It was noted that they could be evaluated based on direct, individual returns, or on the total effect of the appointments (through statistics such as the average income per academic member of staff) which would take into account the indirect effect of the appointment on the school, college and University. The Principal also confirmed that the appointments would have a positive impact on the University's submission to the Research Excellence Framework in 2014, but any financial benefit on the SFC Research Excellence Grant would not be felt until 2015/16 at the earliest. However there would likely be returns before then resulting from grant funding awards.

The Director of Finance also presented the findings from the six-month review of the research finance forecasting pilot that was being carried out within the College of Life Sciences. In doing so he concluded that it was not possible to judge at this stage whether the new approach to phasing research contributions had improved the relative accuracy of forecasts, and he told the Committee that further monitoring of both the new and old approaches was planned for the remainder of the year.

Resolved: to note the accounts.

4. **SFC MAIN GRANT LETTER**

The Committee noted that the SFC Main Grant Letter was not expected to be received until 27 March 2013, but that there had been no indication of changes to the indicative main grant funding letter. [*Secretary's Note: funding letter was received on 4 April 2013.*]

Resolved: to note the update and await the delivery of the SFC Main Grant Letter

5. **SUBSIDIARIES & ASSOCIATE COMPANIES**(1) Six Month Accounts

The Committee received half-year results for the following subsidiary and associate companies:

AMCET Ltd
 Dundee University Press Ltd
 Dundee University Project Management Ltd
 Dundee University Utility Supply Company Ltd
 University of Dundee Nursery Ltd
 Dundee University Incubator Ltd

The Committee noted that a report on the review of the long-term future of Dundee University Press Ltd would be presented to the Finance & Policy Committee before the end of the academic year.

Resolved: to note the results.

(2) Dundee Student Villages Ltd (DSV)

The Committee received a routine report on the performance of DSV and its subsidiary, West Park Conference Centre Ltd (WPCC).

DSV

The Director of Finance reported that the performance of DSV continued to be strong, with occupancy rates above those assumed in the financial model. He highlighted that, in the face of strong competition from the private sector, rents had been frozen for returning students and rents for new students had been increased by just 1.5%. This was the first time that rent increases had been set below the 'RPI +1%' formula contained in the financial model. There was some discussion about the effectiveness and sustainability of that model within the current economic conditions.

WPCC

The Director highlighted that although the performance of the WPCC remained below the expected surplus of £200k-£300k contained in the financial model, trading had nonetheless showed signs of improvement: income for the six months to January 2013 was 11% ahead of the same period last year, and just short of the break-even position.

Driven by the increased pressure on DSV's financial model resulting from competition in the student rental market, the Committee considered whether there was any potential for the refinancing of DSV.

- Resolved:**
- (i) to ask the Director of Finance to investigate the feasibility of refinancing options for DSV; and
 - (ii) to otherwise note the report.

6. **ESTATES & BUILDINGS**(1) Estates & Buildings Report

Mr Aidan McColgan (Campus Services Practice Manager) presented the routine Estates & Buildings report to the Committee. In doing so he highlighted that Campus Services was about to conduct a review of its operations by a widely-respected independent consultant - focused on estates structure and operational activities. Service delivery arrangements would be compared against industry best practice, and it was hoped that the review would identify opportunities for process and service improvements.

Mr McColgan also presented an update on current capital projects. The Committee noted that Phase 2 of the Ninewells Library & Teaching Accommodation project was progressing well, with section 1 in full use and section 2 expected to be completed in July 2013. Members of the Committee who had attended the Court tour of Ninewells facilities remarked on the quality of the completed works, and the positive impact that the facilities would have on the student study.

Turning to the Duncan of Jordanstone works, Mr McColgan highlighted the completion of Phase 2 works, and progress with tenders for the completion of Phase 1 which were necessary as a result of the main contractor entering administration. The Committee noted the work package identified for Phase 3 and looked forward to further updates.

In relation to the Centre for Anatomy & Human Identification works, the Committee noted that minor outstanding work was being carried out by sub-contractors employed by the University. Once these works were completed, discussions on the overall financial position of the project would be held with the agent representing the receivers for Brown Construction.

The Committee heard that the contractor for the Centre for Translational & Interdisciplinary Research (CTIR) was making good progress, with completion expected in November 2013. Tenders for the full fit-out of the 2 shell floors, made possible by the award from the UK Research Partnership Investment Fund, had been returned on 21 March and were being evaluated.

Resolved: to note the report.

(2) Policy on Alterations to the Fabric, Systems or Fittings of University Buildings

The Committee received the proposed policy for 'Alterations to Fabric, Systems or Fittings to University Buildings' (annex b). The policy had been developed in response to recommendations following the investigation of an incident occurring in the Sir James Black building in 2012, and had been endorsed by the University Senior Management Team.

The Committee were supportive of the policy, but requested that amendments be made to clarify who would be held responsible for breaches to the policy (for example the budget holder or staff member commissioning the work). They also suggested that financial claw-back could be considered alongside disciplinary measures.

Resolved: to approve the policy subject to amendment to clarify who would be held responsible for breaches to the policy.

7. **CHANGES TO ENDOWMENTS**

The Committee received a paper outlining proposed changes to three endowments to enable expenditure from bequests which had seen little or no expenditure for some years (appendix 3). In each case the changes involved broadening the original terms to ensure that better use could be made of the available funds while retaining the original spirit of the award. The amendments had been proposed following legal consultation.

Resolved: to endorse the resolutions to Court for approval.

Treasury Management Policy

1. Introduction

This document sets out the policies, practices and objectives of the University's treasury management activities, as approved by the Finance and Policy Committee.

The University defines its treasury management activities as:

- The management of the University's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities; and the pursuit of optimum performance consistent with those risks.
- The University regards the successful identification, monitoring and control of risk to be the prime criteria by which the effectiveness of its treasury management activities will be measured. Accordingly, the analysis and reporting of treasury management activities will focus on their risk implications for the University.
- The University acknowledges that effective treasury management will provide support towards the achievement of its business objectives. It is therefore committed to the principles of achieving value for money in treasury management, and to employing suitable comprehensive performance measurement techniques, within the context of effective risk management.

This policy is specific to cash management and therefore excludes the management of the permanent endowment assets which is managed separately by the Endowment Committee which is a sub-committee of Finance and Policy Committee. Any cash balances held by the University in relation to the permanent endowments assets and the capital associated with any expendable endowments will be managed as part of the overall University's cash balance and will therefore be covered by this policy and not the Endowment Committee.

The core principles the University will follow when investing money are:

- to make deposits secure;
- to ensure they have sufficient liquidity for their daily demands;
- to produce the highest return, once the first two considerations have been met.

No treasury management activity is without risk and therefore defining the level of acceptable risk is essential. The treasury policies are designed to minimise the risk of capital loss but cannot eliminate it entirely.

2. Risk Management

The Director of Finance will design, implement and monitor all arrangements for the identification, management and control of treasury management risk, will report at least annually on the adequacy/suitability thereof to the Finance and Policy Committee, and will report to the Finance and Policy Committee, as a matter of urgency, the circumstances of any actual or likely difficulty in achieving the University's objectives in this respect. In respect of each of the following risks, the arrangements which seek to ensure compliance with these objectives are set out in Schedule A.

2.1 Credit risk management

The risk of failure by a counterparty to meet its contractual obligations to the University under an investment, borrowing, capital, project or partnership financing, particularly as a result of the counterparty's diminished creditworthiness, and the resulting detrimental effect on the University's capital or current (revenue) resources.

The University regards a key objective of its treasury management activities to be the security of the principal sums it invests. Accordingly, it will ensure that its counterparty lists and limits reflect a prudent attitude towards organisations with whom funds may be deposited, and will limit its investment activities to the

instruments, methods and techniques listed in Schedule A: 1.1. The list will be reviewed on an ongoing basis by the Director of Finance and at least annually by the Finance and Policy Committee.

The Finance Director will have the power to temporarily remove (and then to reinstate) any counterparty if any current issues should result in doubts over that counterparty's ability to repay funds.

2.2 Liquidity risk management

The risk that cash will not be available when it is needed, that ineffective management of liquidity creates additional unbudgeted costs, and that the University's business objectives will be thereby compromised.

The University will ensure it has adequate though not excessive cash resources, borrowing arrangements, overdraft or standby facilities to enable it at all times to have the level of funds available to it which are necessary for the achievement of its business objectives. Funds available to the University are listed in Schedule A: 1.2.

2.3 Interest rate risk management

The risk that fluctuations in the levels of interest rates create an unexpected or unbudgeted burden on the University's finances, against which the University has failed to protect itself adequately.

The University will manage its exposure to fluctuations in interest rates with a view to containing its interest costs, or securing its interest revenues while maintaining the security of the invested funds. It will achieve this by the prudent use of its approved financing and investment instruments, methods and techniques, primarily to create stability and certainty of costs and revenues but at the same time retaining a sufficient degree of flexibility to take advantage of unexpected, potentially advantageous changes in the level or structure of interest rates.

2.4 Exchange rate risk management

The risk that fluctuations in foreign exchange rates create an unexpected or unbudgeted burden on the University's finances, against which the University has failed to protect itself adequately.

The University will manage its exposure to fluctuations in exchange rates so as to minimise any detrimental impact on its budgeted income/expenditure levels. The University will normally only retain funds in currencies to the extent that payments are due to be made in these currencies. This will be reviewed quarterly and any currency balances surplus to requirement will be transferred into sterling at the best rate achievable at that time. Further details are set out in Schedule A: 1.3.

2.5 Refinancing risk management

The risk that maturing borrowings, capital, project or partnership financings cannot be refinanced on terms that reflect the provisions made by the University for those refinancings, both capital and current (revenue), and/or that the terms are inconsistent with prevailing market conditions at the time.

The University will ensure that its borrowing, private financing and partnership arrangements are negotiated, structured and documented, and the maturity profile of the monies so raised are managed, with a view to obtaining offer terms for renewal or refinancing, if required, which are competitive and as favourable to the University as can reasonably be achieved in the light of the market conditions prevailing at the time.

It will actively manage its relationships with its counterparties in these transactions in such a manner as to secure this objective, and will avoid over reliance on any one source of funding if this might jeopardise achievement of the above.

2.6 Legal and regulatory risk management

The risk that the University itself, or an organisation with which it is dealing in its treasury management activities, fails to act in accordance with its legal powers or regulatory requirements, and that the University suffers losses accordingly.

The University will ensure that all of its treasury management activities comply with its statutory powers and regulatory requirements.

2.7 Fraud, error and corruption, and contingency management

The risk that the University fails to identify the circumstances in which it may be exposed to the risk of loss through fraud, error, corruption or other eventualities in its treasury management dealings, and fails to employ suitable systems and procedures and maintain effective contingency management arrangements to these ends.

The University will ensure that it has identified these circumstances and has taken the appropriate action, including the provision of appropriate and adequate internal controls and insurance cover. These activities will be reviewed on a regular basis as part of the internal audit plan.

2.8 Market risk management

The risk that, through adverse market fluctuations in the value of the principal sums the University borrows and invests, its stated treasury management policies and objects are compromised, against which effects it has failed to protect itself adequately.

The University will seek to ensure that its stated treasury management policies and objectives will not be compromised by adverse market fluctuations in the value of the principal sums it invests, and will accordingly seek to protect itself from the effects of such fluctuations.

2.9 Covenant breach risk

The risk that the University fails to meet terms set by lenders which leads to default of loans and the resulting withdrawal of credit facilities.

The University will monitor its loan covenant compliance on an ongoing basis appropriate to the risk. The Director of Finance will report annually to Finance and Policy on this as part of the annual treasury management report. The University will seek to minimise the security requirements of new debt and maximise the opportunity of the existing debt portfolio

2.10 Inflation risk management

The risk that the University experiences a reduction in the real value of its monetary assets due to increases in the general level of prices for goods and services it consumes on a regular basis

The Director of Finance will monitor the potential impact of inflation and will report annually to the Finance and Policy Committee on the likely impact of inflation and any mitigation strategies that have been followed

3. Decision Making and Analysis

The University will maintain full records of its treasury management decisions, and of the processes and practices applied in reaching those decisions, both for the purposes of learning from the past and for demonstrating that reasonable steps were taken to ensure that all issues relevant to those decisions were taken into account at the time.

4. Approved Instruments, Methods and Techniques

The University will undertake its treasury management activities by employing only those instruments, methods and techniques detailed in Schedule A and within the limits and parameters approved by the Finance and Policy Committee.

5. Organisation and Segregation of Responsibilities

The University considers it essential for the purposes of the effective control and monitoring of its treasury management activities, for the reduction of risk of fraud or error, and for the pursuit of optimum performance, that these activities are structured and managed in a fully integrated manner, and that there is at all times clarity of treasury management responsibilities. The principle on which this will be based is a clear distinction between those charged with setting treasury management policies and those charged with implementing and controlling these policies, particularly with regard to the execution and transmission of funds, the recording and administering of treasury management decisions, and the audit and review of the treasury management function.

The Director of Finance will ensure that there are clear written statements of the responsibilities for each post engaged in treasury management and the arrangements for absence cover. These are set out in Schedule B. The Director of Finance will also ensure there is proper documentation for all deals and transactions, and that procedures exist for the effective transmission of funds.

6. Reporting Requirements and Management Information

The Finance and Policy Committee will as a minimum receive an annual report, covering:

- the strategy and plan to be pursued in the coming year;
- the performance of the treasury management function during the year, including the reasons for and the effects of any changes to the strategy set at the beginning of the year;
- the performance of any external service providers.

Further details are set out in Schedule B.

7. Accounting and Audit Arrangements

The University will account for its treasury management activities in accordance with appropriate accounting practices and standards, and with statutory and regulatory requirements in force for the time being.

The University will ensure that its auditors and any other bodies charged with regulatory review have access to all information and papers supporting the activities of the treasury management function as are necessary for the proper fulfilment of their roles, and that such information and papers demonstrate compliance with external and internal policies and approved practices.

8. Cash and Cash Flow Management

The Director of Finance will have responsibility for the cash management of the University and its subsidiaries as defined under this policy.

The Treasury Manager will prepare a weekly funds report detailing bank balances, deposits and borrowings and provide commentary on significant transactions.

Cash flow projections will be prepared on a regular and timely basis, and the Finance Director will ensure these are adequate for the purposes of monitoring compliance with treasury management practice on liquidity risk management.

9. Investments

The Director of Finance together with the Director of Research and Innovation Services (RIS) will have responsibility for the management of investments in spin-out companies. The Director of Finance and the Director of RIS will report annually to Finance and Policy on the University's interests in spin-out companies, associates and subsidiary companies.

The Director of Finance will have responsibility for the management of all other investments. The investments in Government bonds inherited from the mergers of Duncan of Jordanstone Art College and Northern College will be redeemed as they fall due.

10. Money Laundering

The University is alert to the possibility that it may become the subject of an attempt to involve it in a transaction involving the laundering of money. Accordingly, it will ensure that staff involved in this are properly trained and fully aware of the University's Fraud Prevention Policy.

11. Staff Training and Qualifications

The University recognises the importance of ensuring that all staff involved in the treasury management function are fully equipped to undertake the duties and responsibilities allocated to them. It will, therefore, seek to appoint individuals who are both capable and experienced and will provide training for staff to enable them to acquire and maintain an appropriate level of expertise, knowledge and skills. The Director of

Finance will recommend and implement the necessary arrangements. For approved qualifications and training courses see Schedule D

12. Use of External Service Providers

The University recognises the potential value of employing external providers of treasury management services, in order to acquire access to specialist skills and resources. When it employs such service providers, it will ensure it does so for reasons which will have been submitted to a full evaluation of the costs and benefits. It will also ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review. It will further ensure, where feasible and necessary, that a spread of service providers is used to avoid over reliance on one or a small number of companies. Where services are subject to formal tender or re-tender arrangements, the University's Procurement Policy will always be observed.

Where external service providers are appointed with the responsibility for day-to-day treasury matters the University will retain full responsibility for the safeguarding of its funds and setting the treasury strategy.

13. Banking Arrangements

The University recognises the importance of ensuring effective control over its bank accounts. All funds due to the University are deposited in accounts with the University's main bank unless otherwise approved by the Director of Finance. Banking arrangements will be subject to periodic review.

Treasury Management Policy

1. Risk Management

1.1 Credit and Counterparty Lists

The University regards a prime objective of its treasury management activities to be the security of the principal sums it invests. Accordingly, it will ensure that its counterparty lists and limits reflect a prudent attitude towards organisations with whom funds may be deposited

The Director of Finance is responsible for monitoring the credit standing of approved counterparties. Where he/she has reason to believe that a counterparty's credit standing is or may become impaired he/she should apply lower limits than set out in this schedule or cease to use them. Any change to the counterparty list should be advised to the Finance and Policy Committee.

All counterparties must have a minimum short-term rating of F1 from Fitch and A1 from Standard & Poor's. These ratings will be reviewed at least quarterly for institutions in which funds are held and before any new funds are deposited. In addition to credit ratings, relevant information from financial advisors and the media will be taken into consideration.

With the exception of Royal London Cash Management, no deposits should be committed for a period in excess of 12 months.

As the Universities main facility is a rolling credit facility the policy is to minimise this facility whilst maintaining sufficient funds are always available to meet any short term liquidity needs. In the event that there are funds to deposit, the Director of Finance is authorised to deposit surplus funds of the institution with any of the organisations listed below to ensure achievement of the best net returns available.

The approved counterparty list is as follows:

<u>Counterparties</u>	<u>Limits</u>		<u>Account Type</u>	<u>Time Period</u>
University's main bankers – Royal Bank of Scotland	£20 m	50%	Special interest bearing account	Overnight
			Fixed term deposits	Up to 12 months
			AAA rated money market funds*	
University's main bankers – Barclays	£20 m	50%	Fixed term deposits	Up to 12 months
			AAA rated money market funds*	
Royal London Cash Management	£15 m	30%	Certificates of deposit & interest bearing bank accounts	Up to 2 years
Lloyds Banking Group (including Bank of Scotland)	£15 m	30%	Fixed term deposits	Up to 12 months
			AAA rated money market funds*	
Santander UK plc	£15.0m	30%	Fixed term deposits	Up to 12 months
			AAA rated money market funds*	

* Total investments in money market funds should not exceed 10% of the total amount of cash and deposits

Royal London Cash Management (RLCM)

RLCM are permitted to invest in deposits and certificates of deposit with banks and building societies on an approved Credit List with a maximum limit of £1 million in any one name. RLCM may also invest an unlimited amount in UK Treasury Bills. The Credit List includes UK and non-UK Banks which must have a minimum Standard & Poor's short-term credit rating of A1. RLCM are permitted to invest up to £2 million for periods of up to 2 years; in practice, the majority of deposits are for 3 months.

RLCM acts as agent for the University. The Portfolio of investments is the property of the University and HSBC Bank acts as Custodian of the Portfolio holding all instruments or documents of title on behalf of the University. All cash transactions between the University and RLCM are credited or debited to Royal London Cash Management Client Trust Settlement Account with HSBC Bank on a same day basis. RLCM are not liable for any fraud or insolvency of the Custodian (HSBC) or our own Bankers therefore there is a low risk in respect of monies transferred to and from the Client Trust Settlement Account.

The University maintains a detailed list of RLCM transactions which is summarised for the Director of Finance as part of the weekly funds report.

The limits set out above may be amended only with approval of the University's Finance and Policy Committee.

1.2 Liquidity

The University maintains an effective cash and cash flow forecasting and monitoring system which identifies the extent to which the University is exposed to the effects of potential cash flow variations and shortfalls on a daily basis.

The University currently has access to the following borrowing facilities.

Notice Period	Source	Funding Type	Facility Limit	Interest Rate	Review Date
2-Day Access	Barclays plc	Revolving Credit Facility	£34 million	Libor + 1.25%	Mar 2016
2-Day Access	Royal Bank of Scotland	TMRC Credit Facility	£8.5 million	Libor + 0.27%	Jun 2014

As the Universities main facility is a rolling credit facility the policy is to minimise this facility whilst maintaining sufficient funds are always available to meet any short term liquidity needs. This is need is met through holding funds within the current/overnight account with the University's main banker (Royal Bank of Scotland) and through the following Instant Access deposit facility.

Notice Period	Source	Funding Type	Minimum Total Deposit Level	Facility Limit
Instant Access	Royal London Cash Management	Certificates of Deposit	£1 million	Maximum deposits held: £15 million

1.3 Exchange Rate Exposure Policy

The University's policy is to minimise exposure to exchange rate fluctuations. The University aims to conduct all transactions in GBP as its base currency and the currency which reflects the vast majority of its costs base. There will however be exceptions, such as EU research contracts, whereby the University will need to conduct transactions in other currencies.

The University does not operate any currency hedging arrangements. This is primarily due to the nature of many of these contracts that makes it difficult to predict the amount and timing of receipts

with the necessary level of certainty. The University does maintain Euro and US Dollar accounts and where possible these will be used to match payments and receipts.

The main currency risk is within the area of research and commercial research contracts. The University has in place a policy (Schedule C) to monitor such contracts on an ongoing basis and thereby aim to minimise any adverse currency exposure.

Currency receipts, other than Euros and US Dollars, are converted into sterling upon receipt. Deposits of Euros and US Dollars are retained where appropriate to cover anticipated currency payments. The balances on these bank accounts are reviewed on a quarterly basis and any currency in excess of £500k plus known commitments is then translated into GBP.

The Director of Finance is authorised to buy and sell currencies with any of the organisations listed below.

<u>Institution</u>	<u>Limits</u>
University's Bankers	\$10 million Euro 5 million
Other UK Clearing Banks and approved counterparties (see 1.1)	\$5 million Euro 3 million
Financial Brokers (Registered by the FSA)	\$5 million Euro 3 million

The limits set out above may be amended only with approval of the Finance and Policy Committee.

1.4 Refinancing

In the event that the University need to either renew existing borrowing facilities or obtain new facilities, the Director of Finance will report to the Finance and Policy Committee to explain the basis of any such requirement. Once approved in principle the Director of Finance, along with the University's financial advisors, will conduct an appropriate process with potential funders to secure the best terms for the University. Any arrangements are subject to final review and approval by the Finance and Policy Committee as defined in the Schedule of Delegation.

Treasury Management Policy

Administration

1. Tendering

The Director of Finance will review regularly the quality and cost of banking services and if deemed necessary will seek Finance and Policy Committee's approval for a tender exercise in respect of these services.

The tender process will be that normally followed by the University, contained within its Financial Regulations and Procurement Policy. The Finance and Policy Committee is responsible for the appointment of the service provider on the recommendation of the Director of Finance.

2. Performance Measurement

Cash deposits will be reported at each month end showing amount, counterparty, period and interest rate. The report will also include interest rates offered by other approved banks.

3. Organisation and Segregation of Responsibilities

3.1 Finance and Policy Committee

- To agree to University's borrowing strategy.
- Approval of and consideration of amendments to the University's treasury management policy and practices.
- To review borrowing requirement and approve borrowing facilities.
- To receive and review the annual treasury report and any interim reports as deemed necessary.

The Director of Finance will provide an annual treasury report which will cover the following:

- Commentary on treasury operations for the year.
- Cash flow compared with budget and commentary on variances.
- Annual financial strategy for the next financial year.
- Proposed amendments to the treasury management policy statement.
- Matters in respect of which the treasury management policy statement has not been complied with.
- Analysis of currently outstanding loans, deposits and investments by instrument, counterparty, maturity and interest rollover period.

3.2 Director of Finance

The Director of Finance is authorised, subject to the provisions of the policy statement, to:

- Recommend the treasury management policy and practices for approval, reviewing the same regularly and monitoring compliance.
- Receive and review management information reports and to provide at least annually a treasury report to Finance and Policy Committee.
- Review the performance of the treasury management function and promote best value reviews.
- Ensure the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function.
- Recommend the appointment of external service providers.
- Approve the deposit of surplus funds with counterparties other than overnight with the University's main bankers or Royal London Cash Management.
- Ensure the revolving credit facilities are operated within the limits agreed by the Finance and Policy Committee.
- Operate foreign bank accounts to the extent that they are necessary to facilitate the operational activities of the University.

3.3 Financial Controller

The Financial Controller will:

- Receive and review weekly fund reports.
- Manage treasury management resources and skills, and the effective division of responsibilities within the treasury management function.
- Supervise treasury management staff.
- Identify and recommend opportunities for improved practices.
- Authorise the execution of transactions in accordance with loan covenants and University payment policy procedures.
- Provide cover for the Treasury Manager.

3.4 Treasury Manager

The Treasury Manager will:

- Execute transactions.
- Adhere to agreed policies and practices on a day-to-day basis.
- Maintain relationships with third parties and external service providers.
- Prepare and maintain systems documentation relating to the treasury function.
- Monitor cash flows on a daily basis.
- Submit management information reports to the Director of Finance as required.
- Prepare weekly fund reports

Treasury Management Policy

The Treatment of Currencies in Research Projects.

A number of research projects within the university are funded in foreign currencies – mainly Euros, but also US dollars and other currencies. These can be either grants or contracts.

EU funded grants are received in advance of any work being done. When the cash is received it does not belong to the University but is effectively held in trust until the work is completed and a claim made. On receiving the cash the University has an asset (cash) and an equal liability (deferred income), both denominated in EUR. There is therefore no exchange exposure.

Periodic claims are made to the EU as work is carried out. The claims are submitted in EUR converting GBP costs into EUR at the official exchange rate ruling at the date of the claim. At that point EUR equal to the value of the claim are sold for GBP and an equal amount of deferred income is released to the income and expenditure account. All these transactions take place at the same rate and there is no exchange exposure. Any remaining EUR cash held for the grant is offset by an equal and opposite balance of deferred income.

In order to give PIs improved information, RCFO will produce budgets in sterling on the basis of the exchange rate prevailing at the date RCFO sets up a code for the project.

In order to make sure that PIs have up-to-date information about the remaining budget, budgets will be recalculated regularly to take into account movements in the exchange rate. This will be done at the then prevailing rate of exchange when either of the following happens:

- Invoice or grant claim prepared by RCFO
- Remittance received from funder

RCFO will also recalculate the budget at other times to make sure that it is restated at least once a quarter. The PI and his/her administrator(s) will be informed of any budget recalculations and will be responsible for staying within the recalculated budgets. Clearly currency movements are outwith the control of the PI or the University but, as the grant/contract is currency limited, we must remain within the total currency allowed. This will also ensure that claims are maximised in the event of positive movements.

There will be a recalculation at the point the final claim/invoice is prepared. The PI will be required to resolve any problems with over/under spends up to the sterling value of the final claim/invoice. It is recognised that the settlement of the final claim/invoice for some of these projects (especially European Commission funded projects) can be very late. So long as the project is within budget at the point the final claim/invoice is prepared, any subsequent exchange rate movement up until the date the final payment is received will be dealt with centrally.

The above will also apply to fixed price contracts which are priced at or above FEC. Where a fixed price has been set **below** FEC, the default position is that any positive currency movement will be used to off-set the FEC shortfall.

Where the PI is being asked to stay within a lower budget as a result of adverse movements, the overall principles should be the same as those relating to management of pay inflation constraints:

- Where possible, savings should be made from direct cost items to offset the reduced budget, for example staffing gaps during the period of the grant or an under-spend on non-pay budgets.
- If it is not possible to avoid exceeding the recalculated budget, then the College / School should review its other income sources to see if it possible to make up this shortfall elsewhere.
- If this is not possible, then the over-spend would need to taken into the income and expenditure account of the College / School.

Approved qualifications

Association of Corporate Treasurers

The following qualifications are ideal but not mandatory

Certificate in International Treasury Management
AMCT Diploma in Treasury
MCT Advanced Diploma

Staff involved in day to day treasury matters should attend the following training:

BUFDG Cash and Treasury Management

Next review date

March 2013

Version control

Version number	Date	
2.01	26 March 2012	Review by A Hewett and changes arising from internal audit review dated 21 November 2011
3.00	26 March 2012	Approved by Finance Committee
3.10	25 March 2013	Use of AAA rated money market funds added to investment options – Finance and Policy Committee 25 March 2013 Addition of Santander to approved list of institutions – Finance and Policy Committee 21 January 2013

ALTERATIONS TO FABRIC, SYSTEMS OR FITTINGS TO UNIVERSITY BUILDINGS

There have been incidents where departments have either installed their own equipment or made alterations to the fabric of buildings without involving Campus Services that could have had unexpected and potentially hazardous outcomes. It is the responsibility of Campus Services to ensure compliance with the numerous statutory regulations, building control, fire authority, insurance provisions, etc that apply to the University under a variety of law and regulations.

Maintaining high qualities of design within the University and accurate records of our facilities are also relevant. It follows that work on the Estate that is not performed by or under Campus Services management may place all concerned at risk.

For the purpose of this document alterations and renovations are defined as any work that modifies the building fabric or services. This includes adding, replacing or removing doors, walls or windows, altering or penetrating walls or ceilings, adding on to or dividing existing space or working on any building utility systems including electrical, plumbing, ventilation, fire alarms, security and fume hoods.

No alterations should be made to the fabric, systems or fittings of any University building without the express written consent of Campus Services. Where Campus Services staff are making or approving alterations then a comprehensive risk assessment will be carried out and documented prior to the work being undertaken or approved.

Campus Services will provide advice on how best to develop a project or alteration from initial inception stages through to completion and will ensure that the alteration complies with statutory legislation such as planning law, building regulations, CDM regulations, control of asbestos, general health and safety etc. In addition to these legal requirements the University needs to ensure that its procurement policy is followed.

Work on University buildings may not be undertaken by School, College or Directorate staff, students or volunteers without prior written approval from Campus Services. The purpose for having advanced written permission is to ensure that the project / alteration has been properly reviewed for statutory compliance, is not in breach of health and safety regulations and has been properly risk-assessed, authorised, documented and recorded.

All contractors' services must be arranged through Campus Services regardless of the funding source for the work. Typically projects costing less than £25k will be completed as a minor project and projects over £25k will be managed through the Capital Projects team.

It is important that Campus Services are involved to ensure proper procurement processes are followed and that appropriate levels of health and safety are observed as well as co-ordination of the building systems.

Undertaking any works of this kind without the prior consent of Campus Services is unacceptable and likely to be regarded as a disciplinary matter.

All work that modifies, alters or expands any University utility systems (both distribution systems and internal building systems) may only be performed by Campus Services employees or by contractors under their supervision. This requirement is applicable to steam, hot water heating, central air conditioning, electrical, water, sewer, gas, chilled water, compressed air and vacuum. Exceptions may be granted on a case by case basis depending on the scope of the change but only with the written delegated approval of Campus Services.

APPENDIX 3

AUDIT COMMITTEE (Minute 70)

A meeting of the Committee was held on 5 March 2013.

Present: Dr H Marriage (Convener), Mr JE Barnett, Mr KA Richmond, Mr I Stewart.

In Attendance: Mr R Burns; University Secretary; Director of Finance; Director of Policy, Governance & Legal Affairs; Mr A Shaw (KPMG); Ms L Paterson (PricewaterhouseCoopers); Planning Officer (Minute 5(1)) and Clerk to Court.

Apologies: Emeritus Professor A Burchell, Mr KAC Swinley.

1. MINUTES

Resolved: to approve the minutes of the meeting on 26 November 2012 subject to minor amendment.

2. MATTERS ARISING

Whistle-blowing (Minute 8)

The Committee noted that the anonymous Public Interest Disclosure reported at the last meeting had since been investigated and that the University Secretary was satisfied that no further action was required and that the matter should now be regarded as closed.

Resolved: to note the update.

3. INTERNAL AUDITORS

(1) Student Numbers

The Committee received a report assessing the management processes to provide accurate and appropriate student number forecasts in compliance with funding body and regulated requirements. The auditors reported that, based on the scope of the review, the University had effective processes and controls to forecast and monitor student numbers to mitigate the financial and compliance risks associated with inaccurate forecasting. Two recommendations were made, both of which were evaluated as low risk. The recommendations related to the evaluation of conversion data for higher risk forecasts and the ongoing review of the forecasting process. The Committee noted changes observed in conversion rate trends resulting from the introduction of the Rest of UK (RUK) fee, and the penalties for over-recruitment were also discussed. In terms of institutional resilience in this area, the Committee also noted that while the planning office comprised a small unit, there was no single point of failure.

Resolved: to note the report.

(2) Control Risk Self-Assessment

The auditors presented the report of the Finance Office's Control Risk Self-Assessment (CRSA) review. The review was last completed by the University in 2010/11 and looked to provide assurance over key financial systems through the consideration of the appropriateness of the design of controls as well as how efficiently and effectively the controls operated.

The CRSA review had involved the completion of a questionnaire, followed by sampling of controls. The Committee noted that IT Security and Business Continuity were included in the questionnaire for the first time in 2012-13, and that when these topics were removed from the overall calculations, the scores were comparable to those in the 2010-11 review.

The auditors made five recommendations (two moderate and three low risk), with the moderate risk recommendations relating to the verification of fixed assets and the review of ledger reconciliations. The Committee noted that a new process for the management of the verification of fixed assets was being developed for implementation by July 2014, and that improvements to the

current system would be implemented in the interim period. In response to questions from the Committee the external auditors confirmed that they would consider this area when preparing the Financial Statements for 2012-13, but that they were not concerned that a material misstatement might arise. The Committee also noted that the signatories list for procurement would be updated as part of the implementation of Procurement to Pay (P2P) and PECOS.

- Resolved:**
- (i) to suggest that the new process for the verification of fixed assets be outlined to the Committee when completed; and
 - (ii) otherwise, to note the report.

(3) Business Continuity Planning

The Committee received a report assessing whether the University's Business Continuity Plans (BCPs) were effective, up to date and in line with good practice. The review focused on: the assessment of exposure to internal and external threats, the creation or procurement of assets to provide effective prevention and recovery measures, and the ability to continually provide core services should an identified threat materialise.

In presenting the report, the auditors highlighted that the Institutional BCP was almost complete and would be presented to the Audit Committee for approval shortly, and that the ICS Disaster Recovery Plan (DRP) was scheduled for completion by July 2013. The auditors commented that the BCP met their expectations based on good practice identified across the sector as well as the core requirements of BS ISO 22301 (the international standard for business continuity management systems).

A number of areas of good practice were highlighted by the auditors along with four moderate and one low risk recommendations. The moderate risk recommendations related to the potential for staff turnover to impact upon the completion of BCPs, the communication of business continuity arrangements, ensuring BCP good practice across the University, and the testing of business plans. Members highlighted the need for individuals to engage with BCP training to ensure effective implementation. In response to questions on the approach to BCP and Health & Safety training, the Committee noted that the University's Organisational & Professional Development (OPD) unit had introduced a targeted approach to the promotion of training which, coupled with an increased dialogue with Deans and Directors, was showing signs of better engagement with staff training provision. The Committee suggested that training in these key areas should be mandatory and coupled to Objective Setting and Review (OSaR) processes.

Committee members asked when recommendations relating to the monitoring of access to buildings would be implemented. The University Secretary confirmed that the Director of Campus Services was working on this issue, but that building access, and therefore arrangements for responding to incidents was likely to vary between buildings. Members noted that where it was feasible to monitor access to many buildings (for example via swipe card access), a policy on the use of personal location data to ensure safe working would be required before implementation would be possible.

- Resolved:**
- (i) to ask that draft scenarios for BCP training be shared with the Committee;
 - (ii) to ask that recommendations and policies relating to the monitoring of building access be presented to the Committee when completed; and
 - (iii) otherwise, to note the report.

(4) Status Report

The Committee received a report on the progress of work to date and the plans for work during the remainder of the academic session. Mr Shaw confirmed that KPMG were on target to meet the planned schedule of work, but that the internal audit on payroll had been delayed due to circumstances beyond management's control, and would now take place in June/July 2013.

The Committee was reassured to note that the range and number of risk recommendations made by the internal auditors was in line with sector norms.

- Resolved:** to note the report.

4. HEALTH & SAFETY SUB-COMMITTEE

The Committee received a report of the meeting of the Sub-Committee on 4 September 2012. Members noted the discussions relating to staff and students working overseas in areas where the Foreign & Commonwealth Office (FCO) had advised against travel and asked officers to confirm that the University was taking into account the health and safety risks before approval was granted, and to outline the processes for approval.

Returning to the issue of engagement with training, the Committee noted that the reported level of engagement with Health & Safety Training was low, and reiterated the suggestion that Health & Safety Training should be linked to the OSaR process and made mandatory for identified staff.

- Resolved:**
- (i) to ask that the Head of Safety Services provide a report on issues and processes for staff and students working overseas; and
 - (ii) to ask for further clarification of the insurance cover for staff travel to areas where the FCO advised against travel; and
 - (iii) otherwise, for its part, to note the report.

5. APPROACH TO COSTING (TRAC) RETURN

The Committee reviewed the University's TRAC return for 2011/12, which had been submitted at the end of January 2013. The Convener, at that time, had confirmed compliance with the TRAC statement of requirements, and the Committee was invited to endorse the view that the compliance requirements had been met.

The Director of Finance outlined the ways in which the data would be used internally to help identify areas for further investigation in relation to academic and financial performance, as well as changes planned for future data collections to improve data accuracy. The internal auditors told the Committee that several Higher Education Institutions (HEIs) had asked them to perform internal audits on the integrity of TRAC data before the Convener signed off the return. Noting that he would step down as Convener of the Audit Committee on 1 August 2013, the Convener suggested that his successor may find an internal audit relating to TRAC data useful once the new system was in place.

- Resolved:** to record the Committee's satisfaction that the return had been prepared in accordance with the TRAC Statement of Requirements.

6. LEGAL MATTERS

The Committee received a routine report detailing the current legal cases involving the University, including updates since the last meeting of the Committee.

- Resolved:** to note the report, and to ask that an estimate of financial risk be included for all items in future reports.

7. FOLLOW-UP TO INTERNAL AUDIT RECOMMENDATIONS

The Committee received a report from the Policy Officer (Corporate Governance) outlining the status of recommendations made previously by the internal auditors. The Committee noted the processes in place for recommendations being confirmed as completed, assigned as redundant, and for target implementation dates being extended, and were reassured to see progress being made in the implementation of recommendations.

- Resolved:** to note the report.

APPENDIX 4

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 72(1))

A meeting of the Committee was held on 18 February 2013.

Present: Mr EF Sanderson (Convener), Principal Professor CP Downes, Professor RJ Abboud, Emeritus Professor A Burchell, Professor T Harley, Dr J Lowe, Mr IDM Wright.

In Attendance: University Secretary; Director of Policy, Governance & Legal Affairs; Policy Officer (Corporate Governance).

Apologies: Mr R Burns and Ms J McGovern.

1. MINUTES

Resolved: to consider the minutes of 10 December 2012 at the next meeting of the Committee on 13 May 2013.

2. MATTERS ARISING

Resolved: to consider matters arising from the meeting of 10 December 2012 at the next meeting of the Committee on 13 May 2013.

3. APPLICATIONS FOR LAY COURT MEMBERSHIP

The Committee considered a report by the panel established to interview candidates shortlisted for lay Court membership. The panel had met on two occasions, and had interviewed five of the six candidates shortlisted. Unfortunately adverse weather conditions had prevented one candidate and one member of the panel (Emeritus Professor Burchell) from attending the second day of interviews. The Committee noted that the panel had unanimously recommended one candidate for appointment as a lay Court member, and that a second candidate had been recommended for appointment as a lay member of the Audit Committee in the first instance. A third candidate had been considered by some on the panel to be a strong applicant following interview, but the Committee noted that not all members of the panel had been present at this interview. The Committee decided that the final candidate who had been unable to attend should be interviewed before deciding upon further appointments.

The Committee went on to discuss the four applications that it had previously decided to consider further if the initial round of interviews proved to be unsuccessful. Members decided not to interview these candidates at this time, but to retain their applications on file for future consideration in relation to future vacancies.

Resolved:

- (i) to recommend to Court that it appoint Mr Denis Taylor as lay a member in terms of Statute 9(1)(l) for the period 1 August 2013 to 31 July 2017;
- (ii) to recommend the appointment of Ms Sandra Morrison-Low as a lay member of the Audit Committee (see minute 6);
- (iii) to inform two interviewees and four candidates who had not been interviewed that their applications would not be taken further on this occasion; and
- (iv) to postpone a decision on the appointment of further candidates until the remaining interview had been completed.

4. CHANCELLOR'S ASSESSOR

The Principal informed the Committee that the Chancellor had asked that the Committee recommend to him for his consideration a successor to Dr Janet Lowe (who would demit office on 31 July 2013) as Chancellor's Assessor. The role of Chancellor's Assessor had taken on the mantle of senior independent Court member, and the Committee therefore indicated a preference that the role be filled by an experienced member of the Court. The Committee unanimously agreed that Mr Richard Burns (Convener

of the Finance & Policy Committee) should be recommended for appointment as Chancellor's Assessor for the remaining year of his term of office on the Court.

- Resolved:**
- (i) to recommend to the Chancellor that Mr Richard Burns be appointed as Chancellor's Assessor in terms of Statute 9(1)(d) for the period 1 August 2013 to 31 July 2014; and
 - (ii) to recommend that discussions be held during 2013/14 to identify a successor to Mr Burns who would demit office on 31 July 2014.

[Secretary's note: The Chancellor has approved the appointment of Mr Burns as Chancellor's Assessor.]

5. REAPPOINTMENT OF LAY MEMBERS OF COURT

The Committee noted that the terms of office of four Court members eligible for reappointment would come to an end within the next 18 months. The Committee highlighted the need to ensure that due process was followed in considering the reappointment of these members. Members agreed that the reappointments should be considered at the October 2013 meeting of the Governance & Nominations Committee, and that the Chair of Court should speak with these members prior to this meeting to ascertain their interest in continuing in the role. It was also agreed that a member's attendance at meetings, contributions to other activities such as grievance & investigation panels, and engagement with Court business should be factors considered in the reappointment process.

Resolved: to review all upcoming reappointments at the meeting of the Committee in October 2013.

6. LAY MEMBER OF AUDIT COMMITTEE

The Committee was of the opinion that it would be useful to continue with the practice of appointing two lay Audit Committee members, and recommended that Ms Sandra Morrison-Low be approached in relation to the position that would arise following the end of the term of office of Mr John Barnett in August 2013 (minute 3 above refers).

Resolved: to ask the University Secretary to speak with Ms Sandra Morrison-Low with regard to her co-option onto the Audit Committee as a lay member in line with the terms of reference for the Audit Committee.

[Secretary's note: Ms Morrison-Low accepted the offer to join the Audit Committee as a lay member with effect from 1 August 2013.]

7. ETHICAL REVIEW COMMITTEE

Emeritus Professor Ann Burchell told the Committee that since her appointment as the Convener of the Ethical Review Committee at the meeting of Court on 22 October 2012 she had been leading a review of effectiveness of the Committee. She expected to present her recommendations to the Court before the end of the academic year. However, in the meantime she asked the Committee to identify a member of Court to serve on this Committee to replace Professor Julie Taylor following her resignation from Court in October 2012.

Resolved: to recommend that Professor Trevor Harley and Ms Sheila Krawczyk join the Ethical Review Committee.

[Secretary's note: Professor Harley and Ms Krawczyk accepted the offer to join the Ethical Review Committee with immediate effect].

8. RECTORAL ELECTION

The Committee noted that, as the only nominee, Dr Brian Cox CBE had been duly re-elected as Rector of the University for a second term of office of three years to February 2016. Members noted that the President of the Dundee University Student's Association (DUSA) would update the Court at its meeting later that day with regard to the ongoing process to identify a successor for Mr Mike Arnott as Rector's Assessor, who having served on Court for 6 years, would demit office once that successor had been identified.

Resolved: to congratulate the Rector on his reappointment, and to await further news on the appointment of a successor to Mr Arnott as Rector's Assessor.

9. **THE SCOTTISH CODE OF GOOD HE GOVERNANCE**

In his capacity as a member of the working group for the development of a Scottish Code of Good HE Governance, the Chair of Court provided the Committee with an update on the development of the Code. The Committee noted that it was hoped that a draft Code would be produced by the end of February, and would be published for consultation toward the end of March 2013. The Chair informed the Committee that the secretariat for the working group had reported that their meetings with members of the University of Dundee Court had been valuable. He also said that in his view the University largely conformed with the great majority of the likely requirements of the proposed code. The Committee highlighted the need for the published Code to be maintained and updated, and suggested that this should be planned into the release of the Code. Through discussion members indicated that the Committee of Scottish Chairs may be the most suitable group to maintain the Code once it was released.

Resolved: to await further discussion on the Scottish Code of Good HE Governance in due course.

10. **REMUNERATION COMMITTEE – SENIOR OFFICERS REPORT**

The Committee reviewed the Remuneration Committee's Senior Officers report prior to its submission to Court later that day, and recommended that in future years appropriate data on pensions should be included within the report. Following discussion, the Committee recommended that officers not be present during discussion of the report at Court, with the exception of the Clerk to Court.

Resolved: to note the report

APPENDIX 5

GOVERNANCE & NOMINATIONS COMMITTEE
(Minute 72(1))

A meeting of the Committee was held on 25 March 2013.

Present: Mr EF Sanderson (Convener), Principal Professor CP Downes, Professor RJ Abboud, Mr R Burns, Ms J McGovern, Dr J Lowe, Mr IDM Wright.

In Attendance: University Secretary; Director of Policy, Governance & Legal Affairs; Policy Officer (Corporate Governance).

Apologies: Emeritus Professor A Burchell and Professor T Harley.

1. MINUTES

Resolved: to approve the minutes of the meetings of 10 December 2012 and 18 February 2013.

2. MATTERS ARISING

(1) University of Dundee Superannuation Scheme (UODSS; Minute 8 1 October 2012)

Resolved: to note the resignation of the University Secretary as a UODSS Trustee, and to endorse the appointment of the Director of Policy, Governance & Legal Affairs as a UODSS Trustee, as approved by the Trustees at their meeting on 22 January 2013.

(2) Applications for Lay Court Membership (Minute 3)

The Committee noted that the University Secretary had provided feedback to all interviewees on their applications.

Resolved: (i) to note that Mr Denis Taylor had accepted the invitation to become a lay member of Court, effective from 1 August 2013, for a period of 4 years in the first instance in terms of Statute 9(1)(l); and

(ii) to note that Ms Sandra Morrison-Low had accepted the invitation to become a lay member of the Audit Committee, effective from 1 August 2013, for a period of 4 years in the first instance in accordance with the terms of reference for the Audit Committee.

(3) Scottish Code of Good Higher Education Governance (Minute 9)

The Chair of Court updated Committee members on the development of the Scottish Code of Good Higher Education (HE) Governance. The steering group responsible for the development of the Code had met the previous week to discuss final revisions, and the Code was to be considered for endorsement by the Scottish Chairs of University Courts at their meeting on the 8 April 2013.

The Chair advised that a six-week consultation phase was planned for the Code, and that this time-frame was linked to the consultation on the Scottish Government's Post-16 Education (Scotland) Bill. He told the Committee that while there were areas of the proposed Code which may prove to be controversial, the steering group were unanimously supportive of the content of the Code, and that the evidence collated in the consultation phase would be published alongside the Code in support of its recommendations.

The Committee commented that the creation of the Code presented an opportunity for the Scottish HE sector to be progressive and to lead the way in HE governance.

Resolved: to discuss the Code and its implications for governance at the University at the next meeting of Court on 22 April 2013.

3. ELECTION OF THE CHAIR OF COURT

Resolved: to note the re-election of Mr Eric Sanderson as the Chair of Court for a second term of three years to 1 August 2016 in terms of Statute 9(3), and to congratulate him on his re-appointment.

4. RECTOR'S ASSESSOR

Resolved: to note that Ms Bernadette Malone had been appointed as the Rector's Assessor for a period of three years from 26 February 2013 in terms of Statute 9(1)(c) and Statute 9(2)(f).

5. CHANCELLOR'S ASSESSOR

Resolved: to note that, endorsing the suggestion from the Committee, the Chancellor had nominated Mr Richard Burns to serve as Chancellor's Assessor in accordance with Statute 9(1) from the end of the term of office of Dr Janet Lowe (31 August 2013) until 31 August 2014, that being the maximum end date of Mr Burns' term of office on the Court in accordance with Statute 9(2)(h).

6. ELECTIONS TO COURT

Resolved: (i) to note that the term of office of Professor Sue Black as a member elected to Court by the Academic Council would expire on 31 July 2013. The Academic Council election to Court to fill the vacancy would take place on 1 May 2013 and Professor Black was eligible for re-election; and

(ii) to note that the terms of office of Dr Angela Roger and Professor Trevor Harley as members elected to Court by the Senate would expire on 31 July 2013. The Senate election to Court would likely take place on 6 May 2013 and, provided they continued to be members of Senate, both Professor Harley and Dr Roger were eligible for re-election.

7. APPLICATIONS FOR LAY COURT MEMBERSHIP

The Committee considered the application of Mr Ronald Bowie for lay membership of Court. Mr Bowie had met with three members of the interview panel earlier in the year, and the Chair of Court had subsequently met with Mr Bowie to discuss his application. The Committee noted Mr Bowie's broad experience, interest in the University and the City of Dundee and his knowledge of the sector. It was also noted that Mr Bowie's skills and experience complemented that of the current members of Court.

Resolved: unanimously to recommend to Court that it appoint Mr Ronald Bowie as lay a member in terms of Statute 9(1)(l) for the period 1 August 2013 to 31 July 2017 in the first instance.

8. CONVENERSHIP OF COMMITTEES OF COURT

The Committee noted that the position of Convener on both the Audit Committee and Human Resources Committee would become vacant on 31 July 2013 when the current Conveners reached the end of their maximum term of office on Court, and that furthermore, the Convener of the Finance & Policy Committee and Remuneration Committee would demit office on 31 July 2014. The Committee discussed how these positions might be filled, and recommended that the Chair of Court speak with potential candidates before the next meeting of the Committee, at which time both the membership and the convenership of all Committees of Court would be discussed in the usual way.

Resolved: to review the convenership of committees of Court at the next meeting on 13 May 2013.

9. DUNDEE UNIVERSITY STUDENTS' ASSOCIATION ELECTION

The Committee noted that Mr Iain MacKinnon had been elected as the new President of DUSA with effect from 1 August 2013. It was also noted that there would be a by-election for the remaining post of independent student member on Court, after the previous nominee withdrew before the poll took place. It was hoped that an election would be held within the next few weeks.

APPENDIX 6

COMMUNICATION FROM THE SENATUS ACADEMICUS (Minute 76)

1. PRINCIPAL'S REPORT

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

In his introduction to the report the Principal reflected on the University's financial position and noted a good solid performance recently but with a realisation that the next couple of years would be very tight with uncertainty about the timing and detail of the next spending review, a potential erosion of SFC resources and growing costs associated with pay and other inflationary pressures. The Principal noted that the University would need to make the most of opportunities to increase income through unregulated and Rest of UK (RUK) fees.

On the items in the appendix to the report, attention was drawn, in particular to the recent appointment of Christina Potter, a member of the University Court, as Principal of the merged Dundee/Angus College. The Principal noted that the College would continue to be a key local partner especially in efforts to develop articulation and wider access arrangements.

The Principal also highlighted the recent election of Professor Peter Cameron, Professor Vikki Hanson, Professor Pauline Schapp, Dr Robbie Waugh and Dr Paul Wyatt to Fellowships of the Royal Society of Edinburgh.

The Principal also asked Senate to note the recent announcement of Royal Society of Edinburgh awards to Professor Michael Ferguson (Royal Medal), Professor Peter Davies (Lord Kelvin Medal) and Professor Caroline Wilkinson (Public Engagement Senior Prize).

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

2. UNIVERSITY COURT

The Senatus received a communication from the meeting of 18 February 2013. The Secretary asked Senate to note the re-election of Mr Eric Sanderson as Chair of Court for a further three-year term of office.

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

3. ACADEMIC YEAR WORKING GROUP

The Senatus heard a presentation and received a report from Professor Davey as Convener of the Academic Year Working Group.

Professor Davey explained that the Working Group had been asked to examine the current structure of the academic year, identify pressure points or problems and after consultation, to make recommendations for changes where necessary.

Senate heard that a consultative survey had been carried out and that the results had been clear but unexpected. Respondents were not in favour of moving either the start of the year or the position of Semester One examinations, even though the timings of both had previously been understood to be problematic.

Professor Davey explained to Senate that the survey results had instead pointed to the timing of the summer resit diet as the principal concern for staff and students – leading to the development of the proposal to move the resit examinations from August to the start of July.

Senators were asked to note that: External Examiners had been consulted (on the advice of Senate) and had approved of the proposed change; two-thirds of student respondents had favoured the move; the new timing of resits would allow for student progress matters to be settled before the start of the next academic year; and that although implementation would involve change it could be achieved through local management and to take appropriate account of staff working patterns and practices.

Professor Davey concluded his presentation by commending the efforts of the Working Group and recommending the Final Report and Proposals to Senate for formal endorsement.

Members of Senate, after due debate, recognised the absolute need for resit examinations and the potential problems involved in any move – including financial consequences, although it was recognised that financial impact analysis was outwith the remit of the Working Group.

Some members of Senate outlined objections to the proposals based on concerns for the impact on staff working patterns and the family-friendly policies of the University.

Members of the Working group acknowledged that some of the consequences of the proposal would have to be mitigated, in a fair and flexible way, by changes to the duties expected of staff in some aspects of the examination process during the summer months. Senate was asked to note Section 47 of the report that set out some ways that this mitigation might be achieved.

The Senatus decided: to endorse the proposals to Court subject to appropriate measures being developed under Section 47 of the report.

4. WIDENING ACCESS OUTCOME AGREEMENT

The Senatus received a report from Dr Hughes as Convener of the Widening Access Working Group. The Working Group had co-ordinated activity needed to help the University meet challenging in-year targets on the recruitment and retention of disadvantaged students under widening access elements of the SFC Outcome Agreement.

Senate heard that current efforts were focused on conversion from applicant to student with marketing, bursary support and more flexible entry requirements agreed at a senior level and implemented through the efforts of School and ASRS staff. Dr Hughes reported that this effort will need to be continued through to Clearing in order to meet targets.

Dr Hughes also asked Senate to note that there would be a need to continue to develop effective retention strategies in order to meet the University's obligations under the Agreement. The Principal explained to Senate that efforts to improve access to higher education for people from disadvantaged backgrounds were entirely in line with the mission and values of the University as expressed through the concept of transforming lives.

The Principal reflected that although the timing of the current initiative, part way through the admissions process, had not been helpful the institution would have to do all it could to widen access and he commended the efforts of the Working Group and admissions staff.

The Senatus decided: to note the report.

5. HEA RECOGNISING EXCELLENCE IN TEACHING PROJECT

The Senatus received a presentation from Ms Aitken on behalf of the Recognising Excellence in Teaching Project Team.

Senate members heard that Professor Coates, on behalf of the project team, has proposed participation in the HEA Change Academy initiative on recognising excellence in teaching and the team were now seeking support from colleagues, students, the unions and senior staff.

Members of Senate were asked to note that the project would be UK-wide and run in partnership with other institutions. The main focus would be on:

- challenging research dominated institutional cultures
- defining and implementing promotion criteria for teaching staff
- collecting student-focused data to act as an evidence base for action
- developing the accreditation of professional development for teaching staff
- disseminating best practice and project outcomes at a national level

The Principal restated his commitment to acknowledging and celebrating the contribution of teaching staff and argued that a holistic approach needed to be taken – so that recruitment and career planning, and not just promotion, were also informed by the recognition of excellence.

Some members of Senate expressed a view that any intention to recognise and reward excellence in teaching presupposes that (i) there is a credible metric to enable recognition and (ii) criteria such as national or international reputation could be applied to teaching in the same way that they could to research. Both of these issues would need to be tested.

On the issue of promotion, some members observed that the Committees involved needed to be provided with a stronger policy direction to help avoid any perceived bias towards achievements in research.

The Principal agreed that while existing criteria used in HERA, for example, did allow for the identification of teaching contribution it was clear that the somewhat nebulous nature of the criteria acted as a potential barrier to recognition and reward.

The Principal argued that teaching, research and impact should all be taken into account with equal status in academic staff grading and promotion decisions. The Principal also indicated that staff, especially in their early careers, should be given the opportunity to develop their skills and interests in both teaching and research and they should be supported in career planning so that clear trajectories are agreed in a way that makes the best use of individual talents and ensures that teaching is informed by research in all parts of the University.

Student representatives expressed a view that, from the undergraduate perspective, the quality of the academic experience is equated with the quality of teaching. It was argued that the high level of participation in the student-led teaching awards demonstrated how important this was to students during their time at the University.

Some members of Senate argued that the very different skills needed for research and teaching could lead to a focus on a single half of their activities to the detriment of the other half. Other members agreed that the split between teaching and research was inevitable given that the recognition of excellence in research was dependent on external evaluation, in contrast to the largely internal and student-led recognition of teaching excellence.

Senate agreed that the proposed Recognising Excellence in Teaching project should be encouraged and supported in order to assist the University to move the debate on, from a focus on definitions and criteria, to a focus on how best to implement policies that enabled excellence in teaching to be duly recognised and rewarded.

The Senatus decided:

- (i) to thank Ms Aitken for her presentation and
- (ii) to recommend that the University participate in the HEA Project.

6. HIGHER DEGREE AWARDS IN JULY 2013

The Senatus considered a request from the Deputy Principal (Research Governance) to authorise the Principal and Vice-Principals to award higher degrees in June and July 2013 on behalf of the Senatus and on the recommendation of the competent Examination Committee, so that the award dates fall within the REF census period.

The Senatus decided: to authorise the Principal and Vice-Principals to grant higher degrees, on behalf of the Senatus, in June and July 2013.

7. INTERNATIONALISATION COMMITTEE

The Senatus received a report from the Internationalisation Committee meeting of 6 February 2013. The Deputy Principal (Internationalisation) introduced the report and attention was drawn, in particular to the work undertaken by the Committee (i) to develop an implementation plan in response to strategic priorities; (ii) to reorganise the operation of the international office; and (iii) to assist in strategic developments by leading a successful cross-college mission to Brazil.

The Senatus decided: to approve the report.

8. **RESEARCH COMMITTEE**

The Senatus received a report from the Research Committee meeting of 7 March 2013.

The Deputy Principal (Research Governance) introduced the report and asked Senate to note that (i) preparations for REF2014 were proceeding on schedule and (ii) that RCUK had published revisions to their guidance on Open Access in relation to the results of funded research.

Members of Senate noted that RCUK and HEFCE were seeking discipline-specific responses to on-going consultations on open access and RCUK funded research.

In response to a question, the Deputy Principal confirmed that the internal REF Unit of Assessment Panels were now compliant with the University's Policy on mandatory Equality and Diversity Training for panel members.

The Senatus decided: to approve the report.

9. **LEARNING AND TEACHING COMMITTEE**

The Senatus received a report from the Learning & Teaching Committee meeting of 11 March 2013.

The Deputy Principal (Learning & Teaching) introduced the report and highlighted the work of Committee members in supporting SFC Outcome Agreement projects to develop articulation agreements with FE Colleges and to increase the number of students from disadvantaged backgrounds under the widening access initiative.

On the preparations for ELIR, the Deputy Principal reported that progress was on track and asked Senate to note the intention to use the recent DUSA/LLC Assessment & Feedback Project as a case study to demonstrate the University's collaborative approach to quality enhancement of its learning and teaching.

The Senatus decided: to approve the report.

10. **ORDINANCE 39 4(2)**

The Senatus considered changes to Ordinance 39 4(2) proposed to clarify the terms of external examiner appointments.

The Senatus decided: to endorse to Court that the following text replace in full the current paragraph 4(2) of Ordinance 39:

"External examiners shall be appointed for specified time-limited periods and shall not be considered for re-appointment unless a specified period of time has elapsed since the end of the previous appointment, both periods to be defined in regulations approved by the Senatus."

11. **HONORARY APPOINTMENTS - SENIOR MANAGEMENT TEAM**

The Senatus decided: to endorse to Court the following nominations:

New Honorary Professorial Appointments

Ian Finlay, College of Medicine, Dentistry and Nursing

Renewal of Honorary Professorial Appointments

Graham Leese, College of Medicine, Dentistry and Nursing

Birgit Lane, College of Medicine, Dentistry and Nursing

David Lane, College of Medicine, Dentistry and Nursing

Francis Anthony Carey, College of Medicine, Dentistry and Nursing

12. **DUSA ELECTIONS 2013**

The Senatus decided: to note the results of the DUSA Elections March 2013 as follows:

PRESIDENT: Iain MacKinnon
DEPUTY PRESIDENT: Jade Rea
VP (STUDENT ACTIVITIES): Douglas Schreiber
VP (COMMUNICATIONS & CAMPAIGNS): Zuchaela Smylie
VP (ENGAGEMENT): Stefan Tomov
VP (STUDENT WELFARE): Katie Jowett
HONORARY SECRETARY: Timothy Hustler-Wraight
INDEPENDENT COURT MEMBER – By-Election to be held

13. **PROFESSOR EMERITUS**

The Senatus decided: to endorse to Court the following nomination:

Professor John Dewhurst

14. **ELECTION BY SENATE TO UNIVERSITY COURT**

The Senatus decided: to note the arrangements for the election of members of Senate to the University Court.

15. **DRAFT ACADEMIC CALENDAR**

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

ACADEMIC CALENDAR 2013-14

August 2013

5	Mon		Resit examinations begin
16	Fri		Last day of resit examinations
19	Mon	C	Finance and Policy Committee 2pm
21	Wed		Information Management Committee 11am
23	Fri		Last day for announcement of results Last day for issue of Termination letters

September 2013

2	Mon		Welcome Week	Wk 0
			Last day for lodging appeals	
3	Tues	C	Health and Safety Sub-C 10am	
5	Thurs		Last day for School Committee Termination meetings	
6	Fri		Last day for Matriculation	
		C	Court Retreat	
9	Mon		First issue of Termination of Studies (Appeals) Committee agenda	Wk1
			Semester 1 begins	
10	Tues	S	Postgraduate Affairs Taught Sub-Committee 10am	
		S	Postgraduate Affairs Research Sub-Committee 2pm	
11	Wed	S	Termination of Studies (Appeals) Committee 9.15am	
12	Thurs	C	University/Unison/Unite Joint Committee 10am	
16	Mon	S	Quality Forum Sub-Committee 10am	Wk 2
		C	Human Resources Committee 2pm	
17	Tues	C	Audit Committee 2pm	
			University Opening Service 5.15pm	
19	Thur	S	Research Committee 1pm	
		S	E-Learning Sub-Committee 2pm	
20	Fri	C	University/UCU Joint Committee 10am	
23	Mon	S	Senate Business Committee 11am	Wk 3
			College Board of Art, Science and Engineering 3pm	
24	Tues		College Board of Life Sciences 3.30pm	
			College Board of Arts & Social Sciences 4pm	

25	Wed		College Board of Medicine, Dentistry & Nursing 4pm	
26	Thurs	S	Learning and Teaching Committee 10am	
27	Fri		Senior Staff Workshop 9am	
30	Mon	C	Governance and Nominations Committee 10am	
		C	Finance and Policy Committee 2pm	

October 2013

2	Wed		Personal Chairs Committee 2pm	
4	Fri		Information Management Committee 11am	
7	Mon		Dundee Autumn Holiday	Wk 5
9	Wed	S	Senate 2pm	
14	Mon			Wk 6
15	Tues	S	Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures 10am	
16	Wed	C	Ethical Review Committee 2pm	
21	Mon			Wk 7
23	Wed	S	Postgraduate Affairs Taught Sub-Committee 10am	
		S	Postgraduate Affairs Research Sub-Committee 2pm	
24	Thurs	S	Employability, Enterprise and Entrepreneur Committee 10am	
28	Mon	C	Endowments Sub-Committee 10am	Wk 8
		S	Quality Forum Sub-Committee 10am	
		C	Court 2pm	
29	Tues	C	Risk Management Monitoring Group 10am	
			Academic Council Standing Committee 1pm	

November 2013

1	Fri	S	Senate Business Committee 11am	
4	Mon		College Board of Art, Science and Engineering 3pm	Wk 9
5	Tues	S	Honorary Degrees Committee 10am	
			College Board of Arts & Social Sciences 4pm	
6	Wed		College Board of Medicine, Dentistry & Nursing 4pm	
7	Thurs	S	Research Committee 1pm	
		S	E-Learning Sub-Committee 2pm	
11	Mon	C	Finance and Policy Committee 2pm	Wk 10
12	Tues	S	Learning and Teaching Committee 10am	

			College Board of Life Sciences 3.30pm	
14	Thurs		Information Management Committee 11am	
15	Fri		Senior Staff Workshop 9am	
18	Mon	C	Remuneration Committee 10am	Wk 11
			Academic Council 1pm	
19	Tues	C	Human Resources Committee 2pm	
			Graduation ?	
20	Wed		Graduation ?	
21	Thurs		<i>edr</i> 5 Year Celebrations	
			Graduation ?	
22	Fri		<i>edr</i> 5 Year Celebrations	
			Graduation ?	
25	Mon	C	Audit Committee 2pm	Wk 12
27	Wed	S	Senate 2pm	
29	Fri		Complaints Session Workshop 10am	

December 2013

2	Mon		Semester 1 examinations begin	Wk 13
3	Tues		Personal Chairs Committee 2pm	
7	Sat		Graduates' Council Business Committee 10.30am	
8	Sun		University Carol Service 5pm	
9	Mon	C	Court 2pm	Wk 14
13	Fri	S	Research Governance and Policy Sub-Committee 2pm	
			Semester 1 examinations end	
			End of Semester 1	
19	Thurs		Information Management Committee 11am	
24	Tues		University closed after business until start of business on Monday 6 January 2014	
25	Wed		Christmas Day	

January 2014

6	Mon		Start of business	
			Welcome Week – January Intake	

9	Thurs	Discovery Day (provisional)	
		C University/Unison/Unite Joint Committee 10am	
10	Fri	Discovery Day (provisional)	
13	Mon	Start of Semester 2	Wk 15
		C University/UCU Joint Committee 10am	
14	Tues	S Senate Business Committee 10am	
15	Wed	C Health and Safety Sub-C 2pm	
		C Ethical Review Committee 2pm	
16	Thurs	S Research Committee 1pm	
20	Mon	College Board of Art, Science and Engineering 3pm	Wk 16
21	Tues	College Board of Life Sciences 3.30pm	
		College Board of Arts & Social Sciences 4pm	
22	Wed	College Board of Medicine, Dentistry & Nursing 4pm	
23	Thurs	S Employability, Enterprise and Entrepreneur Committee 10am	
27	Mon	Academic Council Standing Committee 1pm	Wk 17
		C Finance and Policy Committee 2pm	
28	Tues	C Human Resources Committee 2pm	

February 2014

3	Mon		Wk 18
5	Wed	S Senate 2pm	
6	Thurs	Information Management Committee 11am	
10	Mon		Wk 19
11	Tues	Quality Forum Sub-Committee 10am	
13	Thurs	S Research Governance & Policy Sub-Committee 2pm	
17	Mon	C Court 2pm	Wk 20
20	Thurs	S E-Learning Sub-Committee 2pm	
24	Mon	S Postgraduate Affairs Taught Sub-Committee 10am	Wk 21
		S Postgraduate Affairs Research Sub-Committee 2pm	
28	Fri	Senior Staff Workshop 9am	

March 2014

3	Mon	Academic Council 1pm	Wk 22
4	Tues	C Audit Committee 2pm	

5	Wed	S	Senate Business Committee 2pm	
6	Thurs	S	Research Committee 1pm	
10	Mon	S	Learning and Teaching Committee 10am	Wk 23
			College Board of Art, Science and Engineering 3pm	
11	Tues		College Board of Life Sciences 3.30pm	
			College Board of Arts & Social Sciences 4pm	
12	Wed		College Board of Medicine, Dentistry & Nursing 4pm	
17	Mon			Wk 24
18	Tues		Academic Council Standing Committee 1pm	
20	Thurs		Information Management Committee 11am	
24	Mon	C	Governance and Nominations Committee 10am	Wk 25
		C	Finance and Policy Committee 2pm	
26	Wed	S	Senate 2pm	

April 2014

7	Mon		Dundee Holiday	
16	Wed	C	Ethical Review Committee 2pm	
18	Fri		Good Friday	
20	Sun		Easter Sunday	
21	Mon		Examinations begin	Wk 26
22	Tues	C	Court 2pm	
23	Wed	S	Research Governance & Policy Sub-Committee 2pm	
24	Thurs		Information Management Committee 11am	
25	Fri		Complaints Session Workshop 10am	
28	Mon		Quality Forum Sub-Committee 10am	Wk 27
29	Tues	S	Postgraduate Affairs Taught Sub-Committee 10am	
		S	Postgraduate Affairs Research Sub-Committee 2pm	
30	Wed	C	Risk Management Monitoring Group 10am	

May 2014

1	Thurs	S	Employability, Enterprise and Entrepreneur Committee 10am	
2	Fri	C	University/UCU Joint Committee 10am	
5	Mon		Academic Council 1pm	Wk 28
			Dundee Holiday	

6	Tues	S	Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures 10am	
		C	University/Unison/Unite Joint Committee 10am	
		C	Health and Safety Sub-C 2pm	
7	Wed		Personal Chairs Committee 2pm	
8	Thurs	S	Research Committee 1pm	
		S	E-Learning Sub-Committee 2pm	
9	Fri		Senior Staff Workshop 9am	
12	Mon	C	Governance and Nominations Committee 10am	Wk 29
		C	Finance and Policy Committee 2pm	
			College Board of Art, Science and Engineering 3pm	
13	Tues	S	Learning and Teaching Committee 10am	
			College Board of Life Sciences 3.30pm	
			College Board of Arts & Social Sciences 4pm	
14	Wed	S	Senate Business Committee 10am	
			College Board of Medicine, Dentistry & Nursing 4pm	
17	Sat		Graduates' Council Business Committee 10.30am	
19	Mon	C	Human Resources Committee 2pm	Wk 30
21	Wed	C	Endowments Sub-Committee 10am	
		C	Audit Committee 2pm	
23	Fri		Semester 2 examinations end	
			End of Semester 2	
26	Mon		Dundee Holiday	
28	Wed	S	Senate 2pm	
<u>June 2014</u>				
5	Thurs		Information Management Committee 11am	
9	Mon	C	Court 3pm	
17	Tues		Graduation Ceremonies	
18	Wed		Graduation Ceremonies	
19	Thurs		Graduation Ceremonies	
20	Fri		Graduation Ceremonies	

July 2014

2	Wed		Personal Chairs Committee 2pm
10	Thurs		Information Management Committee 11am
16	Wed	C	Ethical Review Committee 2pm
			VLE Maintenance Week (16-23 July inclusive)

August 2014

4	Mon		Resit examinations begin
15	Fri		Last day of resit examinations
18	Mon	C	Finance and Policy Committee 2pm
21	Thurs		Information Management Committee 11am

September 2014

8	Mon		Semester 1 Welcome Week	Wk 0
12	Fri	C	Court Retreat	
15	Mon		Semester 1 Teaching begins	Wk 1

C = Court Committee
S = Senate Committee

Updated 31 May 2013

APPENDIX 7

RECORDS MANAGEMENT POLICY (Minute 78)

1. Introduction

- 1.1 The University Records Management Policy supports the effective running of the institution and governs the management of all records produced or acquired by the institution and its employees in the course of the University's business, in all media. The records of the University of Dundee are recognised as critical to the institution as they provide evidence of business transactions and activities, are vital to all current and future operations and form the institution's corporate memory. The records of the University of Dundee will be managed in a systematic manner, in compliance with relevant legislation and regulations, and in furtherance of effective corporate governance and accountability.

2. Legislative and regulatory framework

- 2.1 This policy is produced with reference to ISO/BS 15489-1 *Records Management*.
- 2.2 This policy is based on the outline policy contained in the Fe & HE Sector *Model Action Plan for developing Records Management ARRANGEMENTS compliant with the Code of Practice on Records Management under Section 61 of the Freedom of Information (Scotland) ACT 2002*, December 2003.
- 2.3 Ensuring the proper management of records is part of the University's commitment to safeguard personal data in compliance with the principles of the Data Protection Act 1998.

3. Audience

- 3.1 This policy is for the attention of all staff employed by the University of Dundee. All records that University staff create or maintain in the course of University business are official records of the University of Dundee, regardless of media.

4. Purpose

- 4.1 This document provides the policy framework for the effective management of the records of the University of Dundee. It provides the framework through which the effective management of the records can be achieved. It provides information to employees of the University of Dundee regarding their recordkeeping responsibilities.

5. Scope of this policy

- 5.1 This policy applies to all records created, received or maintained by employees of the University of Dundee in the course of their duties. Records created in the course of research are subject to the contractual recordkeeping requirements of that research, whether internally or externally funded.
- 5.2 Records are defined as recorded information, in any form and regardless of media, created or received by the University of Dundee in the transaction of business or conduct of affairs and retained as evidence of such activities.
- 5.3 Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including processes for capturing and maintaining the evidence of, and information about, business transactions and activities in the form of records.
- 5.4 Records with particular evidential, informational and/or historical value may be transferred to the custody of the University Archivist at the end of their operational life.

6. Responsibilities

- 6.1 The University of Dundee recognises its corporate responsibility to maintain its records and recordkeeping systems in accordance with the legal and regulatory environment. Overall responsibility for this policy lies with the University Secretary. In practice responsibility for good recordkeeping is devolved to senior managers.

- 6.2 The University Archivist and Head of Archive, Records Management and Museum Services is responsible for the development of good records management practice and promoting compliance with this policy to ensure the efficient, appropriate and timely retrieval of information. In practice the responsibility for the drafting of guidance is devolved to the University's Records Manager & Information Compliance Officer.
- 6.3 Individual employees must ensure that the records for which they are responsible are accurate, and are maintained and disposed of appropriately. Senior managers and line managers are responsible for ensuring that their staff understand their recordkeeping responsibilities. In any situation where recordkeeping responsibilities or requirements are unclear, advice must be sought from the Records Manager & Information Compliance Officer.

7. Relationship with existing policies

7.1 This policy is informed by:

- The University's Strategic Vision (see <http://www.dundee.ac.uk/principalsoffice/strategy/> and <http://www.dundee.ac.uk/transform/>).

7.2 It is related to:

- Policies and guidance on recordkeeping and compliance with information legislation (see <http://www.dundee.ac.uk/recordsmanagement/>)

7.3 Compliance with this policy facilitates compliance with information legislation such as the Freedom of Information (Scotland) Act 2002 and the Data Protection Act 1998.

8. Guidance

8.1 Guidance for staff on addressing the issues raised by this policy is available from the Records Manager & Information Compliance Officer, Archive, Records Management and Museum Services, Tower Building, University of Dundee, DD1 4HN and from <http://www.dundee.ac.uk/recordsmanagemet/>.

APPENDIX 8

**MUSEUM COLLECTIONS ACQUISITION AND DISPOSAL POLICY
(Minute 79)**

Submitted for approval by the University Court on 22 April 2013
To be reviewed on or before 1 September 2017

1. Mission Statement

1.1 Museum Services is responsible for the documentation, conservation, interpretation and accessibility of the University of Dundee's Museum Collections for the benefit of its staff and students, as well as the general public and researchers further afield. In so doing it aims to improve the cultural life of the University and increase awareness of its history and achievements.

2. Existing collections, including the subjects or themes for collecting

2.1 Please note: throughout this policy, the term 'University of Dundee' (normally abridged hereafter as 'the University') is taken to include the University's predecessor institutions (University College, Dundee and Queen's College, Dundee) and affiliated institutions such as Duncan of Jordanstone College of Art & Design, Dundee College of Education, etc.).

2.2 The University has been collecting works of art, teaching specimens and other museum artefacts since it first opened as University College, Dundee in 1883, but only since 1994 have these been run as a public museum service cared for by a professional Curator within Museum Services, now part of Archive, Records Management & Museum Services, with the University Court as the museum's governing body. The University first achieved Registered status for its collections in 1996, and Accreditation in 2008. This new Acquisition & Disposal Policy has been designed to fit the requirements for a Collections Development Policy demanded by the new Accreditation Standard produced in 2011.

2.3 The main subjects of the University's museum collections are as follows:

- a) Artefacts or specimens used in teaching or research at the University;
- b) Artefacts or artworks that have been part of the corporate, academic or social life of the University, or that were used or created by current or former staff or students;
- c) Artefacts or specimens gifted or bequeathed to the University specifically because of their historic or artistic significance;
- d) Artefacts or artworks specially commissioned by the University, or purchased in order to enhance the cultural life of staff, students and visitors.

2.4 The distinct collections at present are as follows:

Alan Woods Bequest: A large collection of contemporary British art (mostly 1980s and 1990s) bequeathed by former Duncan of Jordanstone College lecturer Alan Woods in 2000, including works by Art College staff and students.

Anatomy Collection: Wax models, teaching charts and instruments, mostly late 19th and early 20th century. Although the University also has an Anatomy Museum containing human anatomical specimens, this is a teaching collection not under the responsibility of Museum Services.

Architecture Collection: Artefacts from the School of Architecture (currently just one item, a 19th-century medal)

Archive Collections: Artefacts relating to documentary collections held by the University Archives, principally the Torrance Collection (ethnographic items from Palestine, mostly late 19th and early 20th century) and artworks and objects relating to the Glasite Church (mostly 19th century).

Biochemistry Collection: Scientific instruments and teaching equipment, mostly mid 20th century.

Biological Sciences Collection: Scientific instruments and teaching equipment, mostly mid 20th century.

Centre for Artists' Books: A large collection of artists' books (mostly British, late 20th and early 21st century) held in the Visual Research Centre and curated by Duncan of Jordanstone College of Art & Design.

Chaplaincy Collection: Various items of silver and sculpture, mostly mid 20th century.

Chemistry Collection: Scientific instruments and teaching equipment, mostly early to mid 20th century.

Civil Engineering Collection: Scientific instruments and teaching equipment, mostly mid 20th century.

Comics Art Collection: Original comics artwork (mostly Scottish, 20th century) collected as a research resource for the School of Humanities' Centre for Comics Studies.

Computing Collection: Teaching equipment, mostly late 20th century.

D'Arcy Thompson Zoology Museum: Large collection of zoological specimens, most of which were acquired by Prof D'Arcy Thompson in the 1880s and 1890s. Also teaching charts and models.

D'Arcy Thompson Zoology Museum Art Collection: Artworks (mostly early 21st century) inspired by the collections in the Zoology Museum and by the life and career of D'Arcy Thompson.

Design Chair Collection: Classic designs from the 19th and 20th centuries.

Dental School Collections: Dental instruments, a significant collection of comparative anatomy (animal teeth and jawbones) and various paintings and sculptures, mostly mid 20th century. Partly owned by NHS Tayside.

Duncan of Jordanstone College Collection: A large collection of artworks by students, usually acquired at the annual Degree Shows from 1955 onwards. Mostly paintings and drawings but also printmaking, photography, sculpture, video art, textiles, ceramics, jewellery and silver. Also artworks by College staff and some presentation items.

Dundee College Collection: A small collection of scientific instruments and teaching equipment used at Dundee College, mostly late 20th century.

Education Collection: Art and artefacts belonging to the former Dundee College of Education, including significant pieces of late 20th-century Scottish art.

Electrical & Electronic Engineering Collection: Scientific instruments and teaching equipment, mostly late 19th and early 20th century.

English Collection: A small collection of artworks created by staff from English, 2000s.

Fine Art Collections: The University's main fine art collection of paintings, drawings and prints, mostly Scottish from the 17th century onwards.

Geography Collection: Teaching and research equipment, mostly mid 20th century.

Herbarium Collection: A large collection of botanical specimens, mostly comprising the Flora of Angus, 19th and 20th century. Also scientific instruments and teaching charts.

Joseph Lee Collection: A large collection of drawings by the Dundee artist and First World War poet, originally presented by his family to Duncan of Jordanstone College.

Law Collection: Various artworks (19th century prints) and presentation items (late 20th century).

Maggie's Centre Collection: A collection of artworks (19th century up to contemporary) looked after by Museum Services on behalf of the Maggie Keswick Jencks Cancer Caring Centres Trust.

Mathematics Collection: Teaching models and other equipment, mostly early 20th century.

Mechanical Engineering Collection: Scientific instruments and sectioned aeroplane and car engines, mostly mid 20th century.

Media Services Collection: Items of audio-visual equipment used in teaching, mostly late 20th century.

Needlework Development Scheme Collection: Embroidery pieces from around the world collected by the NDS 1934-61.

Nicoll Collection: A substantial collection of 19th and 20th-century British art gifted by James Nicoll in 1951.

Physics Collection: Scientific instruments and teaching equipment, mostly late 19th and 20th century.

Physiology Collection: Scientific instruments and teaching equipment, mostly late 19th and 20th century.

Presentation Collection: Miscellaneous collection of items gifted to the University by other institutions, mostly late 20th century.

Psychology Collection: Scientific instruments and teaching equipment, mostly late 19th and 20th century.

Scottish Arts Council Bequest: A large collection of Scottish 20th-century printmaking gifted from the SAC collection in 1997.

Silver Collection: The University's presentation silver, including the Mace (presented in 1911) and other ceremonial items, mostly mid 20th century.

Tayside Medical History Museum: Medical instruments, pharmaceutical items and other objects relating to the history of healthcare in Tayside from 19th century onwards, including artworks owned by the hospitals and/or inspired by the medical collection. The collection is jointly owned by the University and NHS Tayside.

University Collection: Miscellaneous items relating to general University life, including student and staff gowns and medals, mostly 20th century.

Visual Research Centre Collection: Artworks created by artists-in-residence and researchers at the VRC, 2000s.

3 Themes and priorities for future collecting

- 3.1 Museum Services will continue to add to the University's museum collections in order to represent the history of its teaching and research, as well as aspects of its corporate and cultural life (see 2.2 above). Of the collections listed in 2.3, only the following are (by their historical nature) unlikely to be subject to further collecting in the future:

Alan Woods Bequest, D'Arcy Thompson Zoology Collection, Herbarium Collection, Joseph Lee Collection, Nicoll Collection, Scottish Arts Council Bequest

The others are likely to develop as new material becomes available. It is also anticipated that new teaching and research areas will develop at the University, which may lead to the creation of new museum collections.

- 3.2 The Duncan of Jordanstone College Collection will continue to be added to each year by purchase from the annual Degree Show. At present this is only possible through funding from Fine Art, but it is hoped to encourage other parts of the Art College to acquire work as well, thus making the collection more representative of the College as a whole. The Art College will also continue to acquire (and commission) works for the Centre for Artists' Books.
- 3.3 The main Fine Art collection will also continue to develop through the acquisition of works of Scottish art, with an emphasis on painting, drawing and printmaking, and on artists associated with Dundee. The aim is not just to acquire works that have an aesthetic value for display around the campus but also to increase the research value of the collection by making it as representative as possible (given budgetary restrictions) of the history of fine art in Scotland.
- 3.4 The Comics Art Collection will continue to be developed in collaboration with researchers in the School of Humanities, with much of the funding expected to come from the latter's budget.
- 3.5 If resources allow, the Design Chair collection will also be developed to ensure its continuing use as a teaching resource for the Schools of Design and Architecture.

- 3.6 There is unlikely to be further active collecting of natural history specimens for the Herbarium and Zoology Museum, unless historical specimens can be found that were part of the University's original teaching collections, or that relate to their principal creators, most notably Patrick Geddes and D'Arcy Thompson. However we will actively continue to acquire works of art inspired by these collections, particularly the Zoology Museum through a project funded by the Art Fund's Renew Scheme in 2012-13.
- 3.7 As the collections aim to represent the history of the University and related institutions, most date from the 1880s up to the present day. Future collecting is likely to be mostly from the recent past, as current teaching equipment becomes obsolete. Future acquisitions for the art collections are likely to focus on contemporary work, but notable gaps in the historic collections will be filled as resources allow.
- 3.8 The geographical area to which most of the collections relate can be defined as the premises of the University of Dundee and its related institutions, though many items were originally acquired from much further afield – the Zoology Museum, Design Chairs and Needlework Development Scheme particularly being intended as international collections.
- 3.9 The main Fine Art collection includes works by English and European artists, but mostly comprises Scottish art, and Scotland will continue to be the focus for future collecting, with an emphasis on Dundee artists. However the Zoology Museum Art Collection will look further afield to demonstrate the national (and international) reach of D'Arcy Thompson's influence.
- 3.10 The Comics Art Collection will have a particular focus on Dundee's significant history in comics production but will also broaden out to other significant comics creators in the UK and beyond, mostly from the mid-20th century onwards.
- 3.11 The Tayside Medical History Museum aims to represent the history of medicine throughout the Tayside region, though the emphasis remains on Dundee.

4 Themes and priorities for rationalisation and disposal

- 4.1 The University Court accepts the principle that there is a strong presumption against the disposal of any items in the museum collections. Such actions would only be considered where the items in question represent unnecessary duplication, are in such poor physical condition as to be of no value for research or display purposes, or fall clearly outwith the stated collecting areas of this policy.
- 4.2 During the term of this policy, only the collections of the Tayside Medical History Museum are likely to be considered for possible rationalisation, due to a significant number of duplicate items having been accessioned with no accompanying data.

5 Limitations on collecting

- 5.1 Museum Services recognises its responsibility, in acquiring additions to the University's museum collections, to ensure that care of the collections, documentation arrangements and use of the collections will meet the requirements of the Accreditation Standard. It will take into account limitations on collecting imposed by such factors as staffing, storage and care of collection arrangements.
- 5.2 To help advise the Curator in this regard, heads of departments/units will be required to nominate an appropriate member of staff to be the honorary curator of any substantial collection(s) held in those departments/units and to assist with the documentation, accommodation and care of these collections.
- 5.3 Proposals for acquisitions must have regard to
- (a) the state of the objects to be acquired;
 - (b) the availability of adequate accommodation, staff and facilities for conservation;
 - (c) the relevance of the objects to the subject areas listed above;
 - (d) the desirability of avoiding duplication of similar objects already held in local museums (see 6.1 below);
 - (e) the availability of valid title to the objects (see 9.1 below).

- 5.4 Where the acquisition of any item would result in significant financial implications in respect of storage, conservation or display, the matter will be referred to the University Court for decision.
- 5.5 Items offered to the University as gifts or bequests will not normally be accepted if they are subject to any restrictive covenant or special conditions, such as that they must be displayed in a particular way. In exceptional circumstances, if the Curator or other University staff feel that the item(s) in question are of over-riding importance, the University Court may be asked to approve the acquisition of a specific item to which conditions are attached. A general exception to this rule will be deemed to exist in respect of restrictive covenants or conditions intended only to assure the permanent protection of the item concerned in the University's museum collections, such as restrictions placed upon any legal powers of disposal that the University Court may have; under such circumstances, it may be reasonably recommended that the University Court accept the gift or bequest in question.

6 Collecting policies of other museums

- 6.1 Museum Services will take account of the collecting policies of other museums and other organisations collecting in the same or related areas or subject fields. It will consult with these organisations where conflicts of interest may arise or to define areas of specialisms, in order to avoid unnecessary duplication and waste of resources.
- 6.2 Specific reference is made to the following museums, whose collecting areas may overlap: The McManus: Dundee's Art Gallery & Museum and Broughty Castle Museum (run by Leisure & Culture Dundee on behalf of Dundee City Council), Verdant Works and Discovery Point (run by Dundee Heritage Trust) and the University of St Andrews Museum Collections.

7 Policy review procedure

- 7.1 The Acquisition and Disposal Policy will be published and reviewed from time to time, at least once every five years. The date when the policy is next due for review is noted above.
- 7.2 Museums Galleries Scotland (or its successor body) will be notified of any changes to the Acquisition and Disposal Policy, and the implications of any such changes for the future of existing collections.

8 Acquisitions not covered by the policy

- 8.1 Acquisitions outside the current stated policy will only be made in very exceptional circumstances, and then only after proper consideration by the University Court, having regard to the interests of other museums.

9 Acquisition procedures

- 9.1 Museum Services will exercise due diligence and make every effort not to acquire, whether by purchase, gift, bequest or exchange, any object or specimen unless the University Court or the Curator is satisfied that valid title to the item in question can be acquired.
- 9.2 In particular, Museum Services will not acquire any object or specimen unless it is satisfied that the object or specimen has not been acquired in, or exported from, its country of origin (or any intermediate country in which it may have been legally owned) in violation of that country's laws. (For the purposes of this paragraph 'country of origin' includes the United Kingdom).
- 9.3 In accordance with the provisions of the UNESCO 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, which the UK ratified with effect from November 1 2002, Museum Services will reject any items that have been illicitly traded. The University Court will be guided by the national guidance on the responsible acquisition of cultural property issued by the UK Government's Department for Culture, Media and Sport in 2005.
- 9.4 So far as biological and geological material is concerned, Museum Services will not acquire by any direct or indirect means any specimen that has been collected, sold or otherwise transferred in contravention of any national or international wildlife protection or natural history conservation law or treaty of the United Kingdom or any other country, except with the express consent of an appropriate outside authority.

- 9.5 Museum Services will not acquire archaeological antiquities (including excavated ceramics) in any case where the University Court or the Curator has any suspicion that the circumstances of their recovery involved a failure to follow the appropriate legal procedures.
- 9.6 In Scotland, under the laws of *bona vacantia*, including Treasure Trove, the Crown has title to all ownerless objects including antiquities. Scottish archaeological material cannot therefore be legally acquired by means other than by other than allocation to Museum Services by the Crown. Where the Crown chooses to forego its title to a portable antiquity, the Curator acting on behalf of the University Court can establish that valid title to the item in question has been acquired by ensuring that a certificate of 'No Claim' has been issued on behalf of the Crown.
- 9.7 Any exceptions to the above clauses 9.1-9.6 will only be because Museum Services is either:
- acting as an externally approved repository of last resort for material of local (UK) origin; or
 - acquiring an item of minor importance that lacks secure ownership history but in the best judgement of experts in the field concerned has not been illicitly traded; or
 - acting with the permission of authorities with the requisite jurisdiction in the country of origin; or
 - in possession of reliable documentary evidence that the item was exported from its country of origin before 1970.
- In these cases Museum Services will be open and transparent in the way it makes decisions and will act only with the express consent of an appropriate outside authority.
- 9.8 As Museum Services holds human remains in its collections, it will follow the guidelines in the 'Guidance for the Care of Human Remains in Scottish Museums' issued by Museums Galleries Scotland in 2008. In the anticipation of the possible acquisition of anatomical specimens dating from 1988 onwards, Museum Services is on the list of exempted museums linked to the Human Tissue (Scotland) Act 2006.

10 Spoliation

- 10.1 Museum Services will use the statement of principles 'Spoliation of Works of Art during the Nazi, Holocaust and World War II period', issued for non-national museums in 1999 by the Museums and Galleries Commission.

11 The Repatriation and Restitution of objects and human remains

- 11.1 The University Court, acting on the advice of the Curator, may take a decision to return human remains, objects or specimens to a country or people of origin. Museum Services will take such decisions on a case by case basis, within its legal position and taking into account all ethical implications and available guidance. This means that the procedures described in 12.1-12.4, 12.7 and 12.17 below will be followed but the remaining procedures are not appropriate.

12 Disposal procedures

Disposal preliminaries

- 12.1 The University Court will ensure that the disposal process is carried out openly and with transparency.
- 12.2 By definition, Museum Services has a long-term purpose and holds its collections in trust for society in relation to its stated objectives. As noted in 4.1 above, the University Court accepts the principle that there is a strong presumption against the disposal of any items in the University's museum collections, and that sound curatorial reasons for disposal must be established before consideration is given to any such disposal.
- 12.3 In the first instance, Museum Services will confirm that it is legally free to dispose of an item and agreements on disposal made with donors will be taken into account.
- 12.4 If disposal of a museum object is being considered, Museum Services will establish if it was acquired with the aid of an external funding organisation. In such cases, any conditions attached to the original

grant will be followed. This may include repayment of the original grant and a proportion of the proceeds if the item is disposed of by sale.

Motivation for disposal and method of disposal

- 12.5 When disposal is motivated by curatorial reasons the procedures outlined in paragraphs 12.7-12.17 will be followed and the method of disposal may be by gift, exchange or (if no other public museum will accept the material in question by this method) sale.
- 12.6 Museum Services and the University Court will not undertake disposal motivated principally by financial reasons.

The disposal decision-making process

- 12.7 Regardless of motivation, the decision to dispose of material from the collections will be taken by the University Court only after full consideration of the reasons for disposal. Other factors including the public benefit, the implications for the University's museum collections and collections held by museums and other organisations collecting the same material or in related fields will be considered. External advice will be obtained and the views of stakeholders such as donors, researchers, local and source communities and others served by Museum Services will also be sought.

Responsibility for disposal decision-making

- 12.8 A decision to dispose of a specimen or object, whether by gift, exchange, sale or destruction (in the case of an item too badly damaged or deteriorated to be of any use for the purposes of the collections or for reasons of health and safety), will be the responsibility of the University Court acting on the advice of the Curator, and not of the Curator acting alone.

Use of proceeds of sale

- 12.9 Any monies received by the University Court from the disposal of items will be applied for the benefit of the collections. This normally means the purchase of further acquisitions. In exceptional cases, improvements relating to the care of collections in order to meet or exceed Accreditation requirements relating to the risk of damage to and deterioration of the collections may be justifiable. Any monies received in compensation for the damage, loss or destruction of items will be applied in the same way. Advice on those cases where the monies are intended to be used for the care of collections will be sought from Museums Galleries Scotland.
- 12.10 The proceeds of a sale will be ring-fenced so it can be demonstrated that they are spent in a manner compatible with the requirements of the Accreditation standard.

Disposal by gift or sale

- 12.11 Once a decision to dispose of material in the collection has been taken, priority will be given to retaining it within the public domain, unless it is to be destroyed. It will therefore be offered in the first instance, by gift or exchange, directly to other Accredited Museums likely to be interested in its acquisition.
- 12.12 If the material is not acquired by any Accredited Museums to which it was offered directly, then the museum community at large will be advised of the intention to dispose of the material, normally through an announcement in the Museums Association's Museums Journal, and in other professional journals where appropriate.
- 12.13 The announcement will indicate the number and nature of specimens or objects involved, and the basis on which the material will be transferred to another institution. Preference will be given to expressions of interest from other Accredited Museums. A period of at least two months will be allowed for an interest in acquiring the material to be expressed. At the end of this period, if no expressions of interest have been received, Museum Services may consider disposing of the material to other interested individuals and organisations giving priority to organisations in the public domain.

Disposal by exchange

- 12.14 Museum Services will only offer material by exchange to other Accredited museums. The University Court will ensure that issues relating to accountability and impartiality are carefully considered to avoid undue influence on its decision-making process.

- 12.15 In cases where the University Court wishes for sound curatorial reasons to exchange material directly with other Accredited museums, the procedures in paragraphs 12.1-12.4 and 12.7-12.8 will be followed as will the procedures in paragraph 12.16-12.17.
- 12.16 If the exchange is proposed to be made with a specific Accredited museum, other Accredited museums which collect in the same or related areas will be directly notified of the proposal and their comments will be requested.

Documenting disposal

- 12.17 Full records will be kept of all decisions on disposals and the items involved and proper arrangements made for the preservation and/or transfer, as appropriate, of the documentation relating to the items concerned, including photographic records where practicable in accordance with SPECTRUM Procedure on deaccession and disposal.