

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

A meeting of the University Court was held on 17 February 2014.

Present: Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Deputy Principal Professor SM Black, Mr RS Bowie (Minutes 5, 9-18), Dr WGC Boyd, Ms SC Campbell, Dr DH Crouch, Lord Provost Mr R Duncan, Professor TA Harley, Mr I MacKinnon, Ms B Malone, Professor GJ Mires, Ms CA Potter, Dr AD Reeves, Mr KAC Swinley, Ms M Tasevska, Mr D Taylor and Mr IDM Wright.

In Attendance: University Secretary; Director of Finance; Director of Human Resources; Director of Policy, Governance & Legal Affairs; and Clerk to Court.

Apologies: Mr R Burns, Mr J Elliot, Mr KA Richmond and Ms S Krawczyk.

**41. MINUTES**

**The Court decided:** to approve the minutes of the meeting on 9 December 2013.

**42. MATTERS ARISING****(1) Changes to Statutes and Ordinances**

- The Court decided:**
- (i) to ratify the decisions taken at its meeting on 9 December 2013 to amend Statute 6 (The Secretary), Statute 9 (The Court) and Statute 20 (Graduates' Council) as set out in Appendix 6 of the Court minutes of 9 December 2013, subject to the approval of, and to any further changes required by, the Privy Council;
  - (ii) to ratify the decisions taken at its meeting on 9 December 2013 to amend Ordinance 18 (Election of Members of the Court and Senate), Ordinance 20 (Graduates' Council), Ordinance 39 (Degrees, Diplomas & Certificates), and Ordinance 45 (Election of Member of Court by the Non-Teaching Staff) as set out in Appendix 6 of the Court minutes of 9 December 2013;
  - (iii) to ratify the decision taken at its meeting on 9 December 2013 to approve the creation of a new Ordinance 63 (Chancellor's Assessor) as set out in Appendix 6 of the Court minutes of 9 December 2013;

- (iv) to ratify the decision taken at its meeting on 9 December 2013 to approve the creation of a new Ordinance 64 (Students' Assessor) as set out in Appendix 6 of the Court minutes of 9 December 2013;

#### 43. CHAIRMAN'S REPORT

The Chairman presented his regular report to the Court, outlining his activities since the last meeting. In doing so, he highlighted his election as joint Treasurer for the Committee of University Chairs (CUC) along with an upcoming meeting of the CUC which would focus on pension matters.

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

#### 44. PRINCIPAL'S REPORT

The Court received a report from the Principal (**Appendix 1**). In introducing his report, the Principal highlighted an update on student recruitment figures for entry in 2013/14 which showed that under-recruitment of students from the Rest of the UK (RUK) and taught postgraduate students (TPG) had translated to an overall shortfall of £0.76m and £2.5m respectively relative to the budget. The Court noted that the number of RUK applications and offers had continued to decline for 2014/15 entry and the Principal highlighted measures being taken to increase the conversion rate of offers to matriculations - including elements of the #TestDriveDundee marketing campaign, an improved bursary and scholarship package, investment in staff in Admissions & Student Recruitment and increased contact with applicants. Members noted that the full impact of many of the initiatives being implemented at the University of Dundee would not be known until 2015/16 entry. Court members were keen that recruitment numbers were balanced against the level of income achieved and noted that increases to the intake capacity for 'in-demand' subjects would be considered parallel to the use of bursaries and scholarships. The Court also questioned whether it would be appropriate for the Scottish Funding Council and Scottish Government to review the RUK fee policy given that all except two Scottish Universities had experienced a decline in RUK recruitment since the introduction of the RUK fee. It was clear the policy had had a destabilising effect on the sector.

The Court went on to discuss the importance of the branding of the University in the student recruitment market and were keen to see that progress was made in taking forward marketing activities, as had been previously discussed. The University Secretary confirmed that a University-wide marketing group had been established and that in addition to the launch of the #TestDriveDundee campaign the group was working on a re-launch of the University website and plans were being taken forward to appoint a member of staff to lead the University's marketing activities. Noting the importance of the Dundee University Students' Association (DUSA) in the student experience, the Court was supportive of the suggestion that the President of DUSA be asked to join the group.

The Principal went on to highlight key aspects of the indicative funding letter received from the Scottish Funding Council (SFC) on 24 January 2014. Members noted that, as a result of changes to the funding allocation model from 2012/13, the University had been underfunded for teaching by 1.8% in 2012/13 and 2013/14 rising to 2.1% for

2014/15 when funding was compared to the number of funded places allocated to the University. In real terms this translated to a cut of around £1m per annum on top of the 1% efficiency savings requested by the Scottish Cabinet Secretary for Education & Lifelong Learning in his Letter of Guidance to the SFC. The Principal told the Court that he had raised these concerns with the interim Chief Executive of the SFC and had received assurances that the matter would be taken forward in conjunction with Universities Scotland.

Turning to the issue of outcome agreements with the SFC, the Principal told the Court that agreed baselines for success in relation to outcome agreements were being finalised with the SFC and that the process of developing outcome agreements appeared to be maturing with good alignment between strategic goals and outcome aims.

The Principal went on to highlight the appointment of Professor Alice Brown as the Chair of the SFC and his own re-election as Convener of Universities Scotland. The Court congratulated the Principal on his re-election, noting the benefits to both the University and the sector of his involvement in this respect.

Finally, the Principal confirmed that Professor Chris Whatley was to stand down as the Vice-Principal and Head of the College of Arts & Social Sciences at the end of March 2014 after seven years in the role, and the Court offered their thanks to Professor Whatley for his service during this period. The Court also offered their congratulations to Professor Doreen Cantrell who had been appointed a CBE in the New Year Honours.

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

#### 45. **TRANSFORMATION: DELIVERING THE VISION**

##### (1) Delivering the Vision: Strategy

In introducing the item, the Chair acknowledged the sensitivity of the discussion and reminded members of the respective responsibilities of the Court, the Senate and the Senior Management Team (SMT). The Court agreed that officers should be asked to remain to provide financial and human resources advice as required. The Chair and Principal also reminded members that while the strategic opinion of the Court had been sought in earlier meetings, this had been for the purpose of obtaining informal soundings on the possible direction of travel. They were therefore not to be seen as decisions in relation to the matters now before the Court, except insofar as they represented consent for the SMT to begin to develop ideas and proposals for formal submission to Court in support of the implementation of the University's vision and to address the key financial issues facing the University.

The Principal presented the paper from the SMT, which provided a financial context to the challenge of delivering the University's Vision. It included a graph which modelled best, middle and worst-case projections of the University's financial performance over the three years from 2014/15 onwards based on the outcomes of the SFC indicative Grant Letter for 2014/15 and a number of other known significant financial risks which the University, and in some cases the

sector as a whole, would face within the next three years including: the deficit on the Universities Superannuation Scheme (USS), changes to National Insurance contributions, the potential impact of the outcomes of the Research Excellence Framework on research funding, and the lifting of the student numbers cap in England alongside the increasingly competitive market south of the border. The Court indicated its continued commitment to the University's vision to become Scotland's leading University and members noted that the overarching proposal presented was to reshape the staffing profile to enable the University to realise this vision and to make necessary savings in its cost base to avoid getting into financial difficulties on the basis of the forward financial projections.

In presenting the economic outlook and drivers for change the Principal highlighted the crucial importance within the Vision of valuing staff. In summarising the challenges facing the University, he told the Court that the convergence of external factors and the University's commitment to transformational change made action essential and that the scale of the required improvement in productivity could only be met through a multilateral approach which targeted margin-generating income growth, cost reductions, investment where appropriate and efficiency gains. The Principal reminded the Court of the key events leading to the presentation of the proposal. The paper also highlighted investment priorities and areas for immediate focus and members noted that they were designed to have a direct impact on the ability of the University to secure additional student fee income from unregulated markets and that the quality and effectiveness of any investments would be monitored in terms of the timescales and rate of return.

Turning to the proposed cost reductions, the Principal highlighted the persistently lower levels of academic productivity at the University relative to benchmark institutions. In addition, members heard that there were areas of activity where academic staffing levels were out of balance with the future direction and focus of the individual disciplines and also where there were insufficient staff with the necessary specialisms or expertise in relation to future requirements. The Principal told the Court that detailed work was ongoing in relation to modelling the levels of reductions that might be necessary, and that more precise numbers would be presented to the Court at its meeting on 22 April 2014 when individual project proposals were completed. The Court noted that, at this stage, it was estimated that a reduction of between 80 and 120 posts would be required. The Court noted the variety of mechanisms for reducing academic staffing included turnover, 'natural wastage' (for example retirement), and redeployment but that it was anticipated that severance options, in particular the launch of a Voluntary Severance Scheme, would also be required.

In response to questions regarding the timing of the proposal to launch a Voluntary Severance (VS) scheme the Principal told the Court that three-year projections for the Scottish Funding Council (SFC) would be prepared shortly and these would require the University to highlight what action it would take to address its financial position. It was, he said, important from the perspective of responsible governance for the University to be in a position to outline its planned actions in the face of these projections. The Principal also highlighted the timeframe for consultation on a VS scheme if approved and told the Court that it was also preferable to limit the duration of uncertainty for staff and students in relation to the scheme given recent communications in the press on the matter.

The Principal reminded the Court that the final stages of the previous strategic review project, which would have led to an estimated additional £2m of savings, had been delayed to allow the new strategy and rationale to be developed and finalised before proceeding. Members noted that the University was attempting to take positive steps and intervene early to prevent the need for urgent and less planned actions to be taken at a later date in response to financial challenges.

Noting the impact of adverse publicity and the potential impact on staff morale, members agreed that it would not be in the interests of the University or its staff for decisions relating to the opening of a VS scheme and to the Biomedical and Life Sciences Teaching proposal which would be considered later on the agenda to be delayed at this stage. Members were however keen that further discussions on the level and nature of change across the institution took place only once a more complete package of proposals across the University were available to the Court for its consideration.

Noting the letter from the Dundee branch of the University and College Union (DUCU) tabled at the meeting, members sought confirmation that alternative ways of saving money were being considered, and asked if management had taken up the offer to consult with the campus unions on the matter. The Director of Human Resources confirmed that the University remained committed to discussion with the campus unions, and that regular meetings including Local Joint Committee meetings, collective consultation meetings and ad hoc meetings had taken, and were continuing to take, place. The Principal went on to highlight other possible considerations for financial savings, but was of the view that notwithstanding such other possibilities reductions in academic staff numbers would inevitably be required.

The Court discussed at length the detail of the proposed VS scheme and also the importance of engaging with staff and addressing communications challenges to limit the impact of the process on staff morale. In particular the debate focussed on whether the VS scheme should be targeted and what that meant, with some members expressing concern that targeting the scheme would undermine its voluntary nature. The Principal told the Court that although arrangements for the scheme were still to be agreed with the unions, it was proposed that it would be open to all academic staff but that, as with the previous VS schemes, applications would be considered carefully and if the objectives of the scheme were not met by any individual application then that application would not be approved. It was anticipated that the Scheme would also be made available in relation to individual projects as and when they came forward.

Some members questioned whether the scheme should be open to all staff, but the University Secretary reminded the Court that the Student and Academic Support Service (SASS) Directorates had borne a disproportionately large share of severances and cost reductions under previous schemes and that further reduction in these areas would likely be counterproductive.

The Court was sensitive to the potential impact of staffing reductions in terms of individual staff morale and the reputation of the University and impressed upon officers the need for any process to be carefully managed and for clear, transparent and regular communications with staff to be implemented. The Court noted that the VS scheme proposed was a time-limited enhanced offer. It was hoped that this

would make the scheme attractive and thereby avoid any future need for compulsory redundancy.

The Principal told the Court that he was aware of staff and student concerns on the potential impact on the student experience and academic provision, but that these issues would be addressed within the proposals to Court in April 2014. Members indicated the importance of keeping staff and students informed and of being open and upfront as to areas where efficiencies were sought or reductions were required so academic staff could make informed decisions and unnecessary concerns both for individual members of staff and academic programmes could be avoided. Members were keen that in any areas where staff reductions were sought all measures possible be taken to avoid the need for compulsory redundancies, including assistance with exit routes and support in finding alternative employment. The Director of Human Resources told the Court that the University was fully committed to the terms of its Redundancy Avoidance Agreement & Code of Practice and that redeployment options and other support measures would be implemented wherever possible.

Through detailed review of the paper, members proposed a number of clarifications to the wording in relation to the proposed VS scheme, in particular in relation to the matter of pension strain costs.

The Principal thanked the Court for its assistance in agreeing wording to define the scheme and the Court asked the University Secretary to draft a statement on behalf of the Court which captured the outcome of the discussions. Members agreed the wording as follows:

The Court has agreed that there is a need to reshape the University and has approved a proposal that we launch a voluntary severance scheme for academic staff, the details of which will be finalised by the Court after senior management has consulted with the campus unions. In taking its decision to reduce academic staffing levels, Court has agreed that we will do all we can to avoid making compulsory redundancies. Management will therefore continue to consult with the campus unions and staff in accordance with the University's redundancy avoidance procedure and further proposals will come forward to Court in April.

The Court asked that the terms of the VS scheme be circulated to the Court or a sub-group of the Court formed for this purpose following consultation with the campus unions. In response to questions the Principal confirmed that any staffing reductions required beyond the implementation of the VS scheme would be brought to the Court for further debate and approval if Court was so minded.

- The Court decided:**
- (i) to approve the launch of a University-wide Voluntary Severance Scheme for academic staff on the basis set out subject to consultation with campus unions on the terms and conditions of the Scheme, and to ask that these be circulated to the Court for approval once developed;
  - (ii) to convene a sub-group of Court to consult on the development of the terms of the Voluntary Severance Scheme,

- (iii) to ask that a statement be issued to all staff at the earliest possible time to confirm the decision of the Court;
- (iv) to note that any targeting of the Voluntary Severance scheme or reductions in academic staff beyond the individual proposal outlined in minute 45(2) below would be subject to further debate and approval at the next meeting of the Court on 22 April 2014.

*[Secretary's note: Mr Eric Sanderson, Mr Richard Burns, Mr Trevor Harley, Ms Christina Potter, Mr Iain Wright and Mr Iain MacKinnon (President, DUSA) were subsequently approached and agreed to serve on the aforementioned Court Sub-Group].*

## (2) Delivering the Vision: Biomedical and Life Science Teaching

The Court discussed a specific proposal from the Deputy Dean of Medicine and Dean of the School of Life Sciences Learning & Teaching relating to the re-development of the delivery of teaching across the Life Sciences, Medicine and Dental undergraduate programmes. Members noted the proposed changes and rationale, the financial and workload analysis and the potential impact on Teaching & Scholarship (T&S) posts across Life Sciences, Medicine and Dentistry as a result of the proposed implementation of a single management approach to all teaching and scholarship across these areas. Although the majority of members indicated that the paper was sufficiently detailed as it was, some members questioned what level of detail needed to be provided and indicated that reassurance in relation to the due diligence and provenance of proposals would be desirable for future papers.

In response to questions the Deputy Dean of Medicine outlined the process by which the proposal had been developed. The Deputy Dean also confirmed that the proposal was supported by the Deans of the Schools involved and had been reviewed by the College Executive, but that at the time of the meeting the paper had not as yet been considered by the relevant School Boards. Members discussed at length the appropriate route for consultation and heard that the sequence of consultations was applied to avoid prolonged concern for the staff involved and that the appropriate sequence of consultations was being followed. In response to questions the Director of Human Resources told the Court that the issue was a matter for Court consideration due to the potential impact on staff numbers and therefore jobs. For this reason, had the proposal been taken to the School prior to initial consideration by the Court and consultation with the campus unions, it could have been argued that due process, from an employment legislation standpoint, had not been followed.

Members were also keen to ensure that the proposal took into account potential effects across the University. In response to questions the Deputy Dean told the Court that workload models had been reviewed and that the proposal and estimated FTE requirements had been based upon a modern and well-managed curriculum and resulted from changes in the ways in which science teaching was

being delivered. The Court was keen to ensure that the basic analysis had met required standards including review by the appropriate Boards. The Court indicated that it would welcome a short summary from the Deputy Dean outlining the process followed in relation to this proposal. In response to questions regarding the new delivery structure the Deputy Dean confirmed that the paper had aimed to set out the way in which modules were delivered and the teaching capacity required to achieve this and that any inference that those on T&S contracts would be valued less favourably than those on Teaching & Research (T&R) contracts, or that those on T&S contracts would not be allowed to teach 3<sup>rd</sup>/4<sup>th</sup> year materials, was not intended.

The Court noted the recommendation was to create a group of teaching-focused staff across Life Sciences, Medicine and Dentistry and acknowledged that, if implemented, the proposal would mean a reduction in staff would be required in these areas. While mindful of the impact on staff in these areas, the majority of members were supportive of the proposal being taken forward and asked that the VS scheme discussed earlier in the item be made available to this group of staff. Court agreed that a Redundancy Committee in accordance with Statute 16 should not be established at this time, and that if sufficient reductions in academic staffing in the area in question were not achieved through the VS scheme (or other means consistent with the University's redundancy avoidance arrangements) and compulsory redundancies were to be sought, Court would only at that stage discuss whether or not to establish a Redundancy Committee. The Director of Human Resources emphasised again to the Court that all measures possible would be taken to avoid the need for compulsory redundancies and she drew the Court's attention to the University's obligations in relation to consultation with the unions and the terms of its Redundancy Avoidance Agreement & Code of Practice, in particular opportunities for redeployment of academic staff into appropriate roles where there was a skills match.

**The Court decided:** to approve the proposal that the University undertake an organisational change project consistent with the outcomes of the review of Biomedical and Life Sciences teaching as described, with a full organisational change proposal being submitted to the campus unions through the normal collective consultation process, and to approve the use of the voluntary severance scheme in this respect, but to indicate that if staffing reductions were required beyond those achieved through the voluntary scheme (and other redundancy avoidance measures) then the matter would be brought back to the Court for further discussion.

#### 46. FINANCE & POLICY COMMITTEE

The Court received a report of the meeting of the Committee on 27 January 2014 (**Appendix 2**). Members noted that a significant part of the student fee income shortfall highlighted at Court on 9 December 2013 was expected to be recovered through tight budget control within the affected Colleges and mitigated also by other savings within

Directorates and by some one-off income items. The year-end forecast from Period five now stood at an operating deficit of £571k, a negative variance of £659k compared with the budget. In response to questions the Director told the Court that further improvement was unlikely after Period six.

In response to questions relating to the Universities Superannuation Scheme (USS) the Chair told the Court that the reformed Pensions Sub-Group had met for the first time on 27 January 2014 to discuss the USS consultation paper 'Scheme funding within USS: an engagement with Universities UK' and that the consultation had suggested a range of increases which if implemented would lead to an additional cost of £3.7-£6.7m per annum for the University, and which had therefore been factored into the forward financial projections discussed earlier in the agenda. The scale of the deficit for the scheme was valued in March 2013 at £11.5bn.

Members also noted discussions on the application of Rest of UK (RUK) student bursaries and were supportive of a nuanced approach being considered for the future.

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

#### 47. GOVERNANCE & NOMINATIONS COMMITTEE

The Court received a report of the meeting of the Committee on 27 January 2014 (**Appendix 3**). Members noted that the upcoming lay vacancies on Court had been advertised in the Courier, Scotsman, Herald and Sunday Times in December 2013, resulting in 24 applications. The Convener told the Court that interviews had been arranged for six applicants and that these would take place in late February and early March 2014.

The Convener highlighted the formation of a working group to advance arrangements for the quinquennial review of the effectiveness of the Court. Members noted that the Committee had recommended external facilitation be pursued and that a facilitator with good knowledge of the Higher Education (HE) sector had been recommended. The Court agreed with the recommendation that the review focus on the effectiveness of the Court rather than on policies and procedures which had been covered extensively in the previous review.

The Court was reminded that all members were required to complete the University's Equality & Diversity Modules, and that the renewal of membership of Court was subject to completion of these modules. Members asked that completion of the modules by members of Court be reported to the next meeting of Court.

**The Court decided:**

- (i) to request that a report on the completion of Equality & Diversity Modules by members of Court be provided to the next meeting of the Court; and
- (ii) otherwise to approve the report.

#### 48. UNIVERSITY STRATEGY TO 2017: KEY PERFORMANCE INDICATORS

The Court received reports outlining early data on the performance indicators contained within the Research, People, and Estates strategies.

**Court decided:** to defer discussions on the reports until the meeting of Court on 22 April 2014.

#### 49. HUMAN RESOURCES COMMITTEE

The Convener introduced a report of the meeting of the Committee on 28 January 2014 (**Appendix 4**). In doing so, she highlighted discussions of the new probationary procedures for academic staff and the revised Objective Setting and Review (OSaR) guidance and paperwork. The Court noted that the new probationary procedures for academic staff had been reviewed and commented on by the Senior Management Team, the DUCU at the Local Joint Committee meeting, the Human Resources Committee and the Senate.

**Court decided:**

- (i) to approve the revised probationary procedure for academic staff; and
- (ii) to approve the revised OSaR guidance and paperwork.

#### 50. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senate on 5 January 2014 (**Appendix 5**). Members noted the discussions of the Senate on the revised probationary procedure for academic staff and revised Objective Setting and Review (OSaR) guidance and paperwork. Members also noted that Senate had, for its part, approved proposed revisions to Statutes, Ordinances and Regulations as set out in Appendix 6 of the Court minute for the meeting of 9 December 2013.

The Court also noted the Graduation timetable and the timetable for the 2014 Dundee University Students' Association (DUSA) Executive Elections.

**The Court decided:** to note the report

#### 51. RESEARCH GOVERNANCE & POLICY SUB-COMMITTEE

**The Court decided:** to note the report, and await further reports on an annual basis.

#### 52. WELFARE & ETHICAL USE OF ANIMALS COMMITTEE

The Court received a report from the meeting of the Welfare and Ethical Use of Animals Committee (formerly the Ethical Review Committee) on 15 January 2014 (**Appendix 6**). Members noted the findings and recommendations of the 'Independent investigation into Animal Research at Imperial College London'.

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

#### 53. SCHEDULE OF DELEGATION AND DECISION-MAKING POWERS

The Court noted that following discussion with the Research & Development Director of the Tayside Medical Sciences Centre (TASC) and Research and Innovation Services (RIS) a number of minor amendments to the Schedule of Delegation and Decision-Making Powers (**Appendix 7**) had been proposed. Members noted that the proposed

changes related to the operational delegation of aspects of contracts and grants approvals processes that related directly to clinical trials where TASC had specific expertise. Additionally, RIS had developed a streamlined process for the approval of grant applications up to £50k within certain parameters.

**The Court decided:** to approve the proposed changes and note that a review of the Schedule would be undertaken in the near future.

54. **NINEWELLS CANCER CAMPAIGN: UPDATE**

Court received an update from the Chair of the Ninewells Cancer Campaign (NCC), Lady Fiona Fraser. The Court was pleased to note the success of the campaign, with around £1.4m raised to date for the Jacqui Wood Centre. The NCC was continuing to raise funds and it was hoped that the £2m target would be reached by the end of the year. The Court noted that the Jacqui Wood Centre had been officially opened by Professor Sir David Lane on 3 May 2013.

**The Court decided:** to note the report

55. **STAFF**

**The Court decided:** to note that there were no updates on the Statute 16 Grievance proceedings.

56. **MEMBERSHIP OF COURT**

The Court noted that the term of office on Court of Mr Keith Swinley would come to an end on 28 February 2014. Members expressed their thanks to Mr Swinley for his service to the Court, Audit Committee and Pensions Trustees during this time and noted his agreement to continue as lay Chair of the Pension Trustees. Members would have an opportunity to thank him personally and wish him well at the Court supper following the June meeting of the Court.

**The Court decided:** to thank Mr Swinley and wish him well in future endeavours.

**RESERVED BUSINESS**

*[Secretary's note: Members noted the potential conflict of interest for the Principal as a member of the Dundee Design Limited (DDL) board, and the Lord Provost Bob Duncan, as Dundee City Council was a partner in the project. The Lord Provost did not attend for this item of business. The attendance of the Principal was accepted on the basis of his role and responsibilities within the University].*

**Present:** Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Mr RS Bowie, Dr WGC Boyd, Dr DH Crouch, Professor TA Harley, Mr I MacKinnon, Professor GJ Mires, Ms CA Potter, Mr KAC Swinley, and Mr IDM Wright.

**In Attendance:** University Secretary; Director of Finance; Director of Human Resources; Director of Policy, Governance & Legal Affairs; Clerk to Court.

57. **MINUTE 40 OF THE COURT MEETING, 9 DECEMBER 2013**

**The Court decided:** to approve minute 40 of the meeting on 9 December 2013.

58. **RESERVED BUSINESS MATTERS ARISING – V&A AT DUNDEE**

The Court heard that the final agreement with partners was under development and that the University's input had been negotiated within the parameters of the Court's agreement. In response to questions the Principal told the Court that he was satisfied that the contributions of the various partners were proportionate and that the University was not exposed as a likely funder of last resort. The Court noted the significance of the Heritage Lottery Fund award agreement and requested that the final contributions of partners be reported to a future meeting of the Court. The Court reaffirmed its strong support for the project, noting its importance to both the region and the University.

**The Court decided:** to note the update.

## APPENDIX 1

### PRINCIPAL'S REPORT (Minute 44)

#### Finance Matters

Members will recall the financial warnings within my December report to the Court in relation to the impact of under-recruitment within the Rest of UK (RUK) and taught postgraduate (TPG) markets on the break-even budget for 2013/14. From the latest accounts I am pleased to report that we currently expect a significant part of that £1.7m shortfall to be recovered through tight budget control within the affected Colleges, savings within Directorates and some one-off income items, with the updated projection showing an operating deficit of £571k for 2013/14. While we will continue to work to improve this position, I am sure that I do not need to reiterate to the Court the critical importance of generating sufficient margins to enable investments essential in the short term to improve our performance in the unregulated markets and in the longer term to achieve the ambitious goals we have set for the University.

#### Student Recruitment

In my report to the October Court I reported that the taught postgraduate entrant population was expected to increase marginally, but that we, like the rest of the sector, were expecting a decrease in the overseas postgraduate numbers. With the Semester 2 intake now well progressed, I can confirm that although our total entrant postgraduate figure is similar to last year, there has been a 14.5% decrease in overseas taught postgraduate (TPG) numbers. In financial terms this translates to an overall shortfall of £2.5m for the year in the TPG market in addition to the £0.76m resulting from under-recruitment in the RUK market as reported previously to the Court. Both of these markets are extremely competitive, however they are areas that we must address in the immediate term. At the December Court we discussed in some depth the measures we were taking to address the decline in RUK student recruitment figures. With regard to TPG recruitment described here, while the decrease in international applications for 2013 entry appears to have been a sector-wide issue, our new Head of Admissions & Student Recruitment has also indicated that TPG recruitment activity was limited during this cycle due to staffing issues which have now been resolved. For the coming cycle there will be an increased focus on conversion activity by Schools, the international team will be focussing on new markets to improve demand for courses, and we will be asking Schools and Colleges to consider the market competition for their programmes.

The deadline for applications for undergraduate entry in 2014/15 has now passed, and while applications can still be made up until 30 June 2014, with those received after this date going into the clearing process, we can make an initial analysis of the figures. UCAS report an overall 4% increase in applications to UK Universities for 2014/15 entry and we have ourselves seen a 0.7% increase in applications relative to a 0.4% increase in applications to other Scottish Institutions, including further growth in applications for wider access places. Unfortunately internal monitoring indicates a further decrease in the number of RUK applications and offers relative to the same point in the cycle last year, and as such our conversion processes and marketing to those in the clearing process are now of paramount importance in addressing this trend. Our new #testdrivedundee RUK marketing campaign is about to start and, while its main purpose is to target 2015/16 entrants we hope that it may also have a positive impact on conversion for 2014 entry.

Members may be interested to note that the UCAS statistics now indicate a growth in applications to UK universities from students with qualifications equivalent to ABB at A-Level, in particular the BTEC qualification. This is one of several emerging markets which the University will be looking to engage with in the future.

#### SFC Award Letter

In terms of other funding streams, members may be aware that the SFC indicative funding letter for 2014/15 was received on 24 January 2014. The headline figures are in line with the Cabinet Secretary's letter of guidance which was reported to Court on 28 October 2013. However at the time of writing my report the University is seeking

clarification of some items within the funding letter, including differences between the figures quoted for the 2013/14 teaching grant in the 2013/14 indicative funding letter and the latest funding letter.

A key aspect to the funding letter which the Court should be aware of is the impact of changes to the funding allocation model from 2012/13, which saw the introduction of a block funding model (in place of funding being calculated on the basis of the number of funded places) and also changes to subject pricing groups. As a result of the changes, the University was underfunded for teaching to the tune of 1.8% in 2012/13 and 2013/14 rising to 2.1% for the coming year when funding is compared to the number of funded places allocated to the University. In real terms, the changes mean that on top of the 1% efficiency savings requested by the Minister for Education, the University is being underfunded by approximately a further £1m per annum. We feel strongly that this is inappropriate and I will be raising the issue with the Acting Chief Executive of the SFC.

### **Outcome agreement discussion**

Members may recall that when Outcome Agreements were first introduced the University's strategic targets and Key Performance Indicators (KPIs), as approved by the Court, were used as the basis for targets within the agreement, with some small adjustments being made to ensure that our definitions aligned to national measures. Feedback from the SFC on our first report into our achievement of targets (for the 2012/13 agreement) has been positive - with the SFC accepting the progress demonstrated by the University during that period. While the focus of the SFC appears to have been on the additional teaching places, they have accepted outcomes which were in the spirit of the initial agreement, and on the basis of discussions of our progress with the SFC we do not currently expect any financial claw-back beyond that associated with the under-enrolment by 30 in the additional funded places for widening access awarded during the 2013/14 cycle (where we set ourselves a very stretching target). While rightfully our focus has of late been on the issue of poor RUK student recruitment figures, it is important that we maintain the intensity of effort in the recruitment of wider access students to ensure continued success in an area which is not only of great importance to the SFC and an area of growth, but is also at the heart of our own guiding principles and central to our mission and vision.

Equally, it is important that we continue to review the alignment of the outcome agreement targets with our own strategy, and establish clear baselines for the achievement of these targets. We expect to finalise the agreement with the SFC shortly, and in parallel, work has already begun on the 2015/16 agreement.

### **SFC Appointments**

Members may be aware that the SFC appointed a new Chair, Professor Alice Brown, in October 2013, and that following the departure of Mark Batho to Abertay University, a new Chief Executive is currently being sought. We await the outcome of the latter with interest, however in the mean-time I have included as **annex A** a short biography for Professor Brown, which may be of interest to the Court.

### **Universities Scotland Convenership**

Members may recall that in my October report I laid out my plans for my second and final year as Convener of Universities Scotland. Since then, the Universities Scotland Constitution has been amended to allow the Convener to stand for a second term, and after careful consideration of the opportunities and implications that would be presented by serving a second term, and following discussion with the Chair of Court, I decided to stand for re-election. I am pleased therefore to report that within the last week I have been elected unopposed for a further term of two years and I look forward to leading Universities Scotland through the challenges facing the Higher Education Sector in Scotland over the next couple of years.

### **Vice-Principal and Head of the College of Arts & Social Sciences**

Members may recall that Professor Chris Whatley had indicated last year his intention to step down from the position of Vice-Principal & Head of the College of Arts & Social Sciences (CASS) during the current academic year. I am now in a position to confirm that Chris will step down at the end of March 2014. Chris has been the

Head of CASS since its formation seven years ago and I would like to take this opportunity to thank him for all he has done in leading the College, the Employability, Enterprise, and Entrepreneurship agenda, and for his contributions to the Senior Management Team (SMT) during that time.

Staff within the College have been informed of his decision, and the process of seeking his successor has already begun with Perrett Laver engaged as the agency to support us in the search. Members will be aware that the appointment of a Vice-Principal is made by the Court, and as such I am pleased to invite any member of Court who is interested in being involved in the appointing committee to let me know.

Given the likely timeframe for identifying a successor, I have asked Professor Rob Duck, Dean of the School of the Environment and Deputy Head of CASS to assume the role of acting head of College from the beginning of April. Professor Duck has assumed this role previously when Professor Whatley was on sabbatical leave, and I am confident that he will provide effective leadership for the College during the ensuing period.

**Professor Pete Downes**

**6 February 2014**

**Professor Alice Brown, CBE, FRSE, AcSS, FRCP Edin, FRSA, Cipfa (Hon)**

Alice Brown is Emeritus Professor of Politics at the University of Edinburgh. She was previously the University's Head of Department of Politics and a Vice-Principal, as well as Co-Director of its Institute of Governance.

After leaving school aged 15, Professor Brown worked in insurance and then an Edinburgh chartered surveyors firm before returning to full-time study at Edinburgh University, graduating with a first-class honors in economics and politics in 1983.

Professor Brown began her academic career teaching economics at the University of Stirling before returning to Edinburgh and progressing to Vice-Principal at the University and Co-Director of its Institute of Governance. She was appointed as the first Scottish Public Services Ombudsman in 2002 (Crown appointment), a post she held until her retirement in 2009, and was elected as the General Secretary of the Royal Society of Edinburgh in 2011 – standing down from this position on becoming Chair of the SFC.

Professor Brown gained extensive research experience during her academic career and through her appointment on the Economic and Social Research Council. She has published widely on economic and labour market policy, equal opportunities, women and politics, Scottish politics, constitutional change and administrative justice.

Her contributions to public life were recognized in the Queen's Honors list 2010 when she was awarded a CBE and through the award of the title of Emeritus Professor at the University of Edinburgh (2008). She has also received honorary degrees from Glasgow Caledonian University (2012), the University of Edinburgh (2010), Edinburgh Napier University (2009), the University of Stirling (2004); and a Special Recognition Award from the Political Studies Association (2009).

**Senior Management Team Meetings (SMT)**

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

Since the last report to the Court, the Senior Management Team met on 4 December, 18 December (2013), 15 January and 29 January (2014) when the following matters were considered:

**Corporate Issues**

- University Strategy and Sustainability
- UoD IT Strategic Plan
- RIS/Finance Restructuring
- Three year financial projections
- Pay Day Loan Companies: DUSA Campaign
- Environmental Task Group
- Draft Budget Instructions
- FARR Institute
- Creative Fund for Research Exploitation (CURE)

**Academic Management Issues**

- NSS Incentives
- ELIR
- UNESCO City of Design Bid
- Analysis of the REF 2014 submission
- Fulbright Legacy
- Surgical Skills Development
- Consideration of Science Teaching in CMDN and CLS

**Human Resources Issues**

- OSAR Statistics
- Strike Action
- Equality & Diversity
- Promotions Procedures and Criteria
- Health & Safety arrangements in Colleges
- Out-of-Hours Opening
- Athena Swan

### **Vice-Principals' Highlights**

As with my previous report, I have asked the five Vice-Principals to highlight activities and achievements across the University that may be of interest to the Court. The list is not exhaustive and major grant awards and prizes are still contained within later appendices.

#### **Student Partnership Agreement**

In December the Principal and the President of DUSA signed the University's first Student Partnership Agreement. The Partnership Agreement sets out key concepts and principles that define student engagement and representation at the University as well as detailing annual priorities that have been agreed between the University and DUSA, which are aligned with the DUSA manifesto and University operational plans. Further details, including a link to the full agreement, are available at

<http://www.dundee.ac.uk/qf/studentengagement/studentpartnershipagreement/>

#### **Medical School teaching facilities**

The next phase of the upgrade to the teaching facilities at Ninewells Hospital has recently been completed creating an outstanding environment for student teaching, including a fully remodelled large capacity lecture theatre, interactive teaching suites and a new base for the Medical School Administration. The final phase of the Medical School project, to upgrade the remaining two lecture theatres, is planned to continue during 2015, subject to continued success in fundraising for the project.

#### **Scottish Improvement Science Collaboration Centre**

Professor Mary Renfrew from the School of Nursing has been outstandingly successful in leading an application to a consortium of funders (Scottish Funding Council, Chief Scientist's Office, NHS Education for Scotland and the Health Foundation) to secure a £3.8 million award to create a Scottish Improvement Science Collaboration Centre based in Dundee. This will be a joint initiative between the University of Dundee and NHS Tayside, and involves collaboration among a wide range of partners across Scotland. This is an outstanding achievement, and places Dundee at the heart of leading healthcare improvement and quality implementation in Scotland, across the UK and internationally. The collaboration, in turn, will form a centrepiece of the Academic Health Sciences Network that represents a new relationship between the University and NHS Tayside to deliver greater synergy across education, research, quality improvement in healthcare and healthcare delivery. This network is being jointly led by Professor Jill Belch (School of Medicine) and Professor Dilip Nathwani (NHS Tayside), and has been supported by pump priming funds from the Scottish Government.

#### **Higher Education Academy's Students as Partners in Curriculum Change programme**

The University has been successful with an application to participate in the Higher Education Academy's Students as Partners in Curriculum Change programme. The project entitled 'Sustainable Peer Led Teaching and Digital Professionalism' will be led by Natalie Lafferty, Director of Technology in Learning in the College of Medicine, Dentistry and Nursing. There are 2 medical students on the project team and as the work develops students from across the College and also the Law School will become involved in co-creating peer-led inter-professional learning activities.

#### **Learning and Teaching Symposium**

The College of Medicine, Dentistry and Nursing held its first Learning and Teaching Symposium on 20-21 January 2014 at the Crieff Hydro. The first day involved workshops bringing together staff in each School, and concluded with a keynote address by the University's Vice-Principal for Learning and Teaching, Karl Leydecker, on 'Enhancing Learning and Teaching Reputation and Practice'. The second day consisted of presentations by nominees for the College's 2014 teaching prizes, followed by a series of 'How to...' practical workshops. The event concluded with keynote address by Professor Jason Leitch, Clinical Director, the Quality Unit, Scottish Government. Such was the success of the Symposium, which was attended by over 150 people, that it is to become an annual event.

#### **Tayside and Fife Articulation Hub**

Thanks to the efforts of Dr Carey Normand, Head of Learning and Teaching for the College of Arts and Social Sciences, The University has secured £102,596 from the Tayside and Fife Articulation Hub to appoint a Transitions Officer for 2 years to help students with all aspects of articulation from Colleges to the University. The post-holder will play a key role in ensuring that we meet our University PI and Outcome Agreement commitments in relation to the number of students articulating into the University from Colleges.

**CAHID**

The work of the Centre for Anatomy and Human Identification (CAHID) and its staff have been instrumental in the Dunleavy murder case <http://news.stv.tv/east-central/260738-facial-reconstruction-led-police-to-philomena-dunleavys-killer/>, while Professor Sue Black was part of the DeSilva Commission that reported on the evidence of torture and mass executions in Syria. Four out of the six nationally accredited forensic anthropologists in the UK are now in Dundee.

**International Collaborations**

Early stage discussions are taking place within CASE about the possibility of developing a Confucius Institute with a focus on the creative industries in partnership with East China University of Science & Technology (ECUST) in Shanghai. The development of a joint degree with Wuhan University in China in Civil Engineering, and the development of new partnerships in Engineering, based in Dundee, in collaboration with leading Universities in Iraq and Kurdistan are the latest examples of our increasing international presence.

**Professional Collaboration and Engagement in the School of Law**

The School of Law is to offer students experience of one of the fastest growing and most important sectors of the economy thanks to a new partnership with one of Scotland's most eminent law firms. Teaming up with MacRoberts, who recently established an office in Dundee, the School of Law is offering students the opportunity to study a Renewable Energy elective as part of the Diploma in Professional Legal Practice programme.

**Renewable Energy, Macro Micro Studio**

In December 2013 Dundee MSPs Shona Robison and Joe Fitzpatrick visited the city's Botanic Garden to view progress on the UK's first 'off-grid' building powered entirely by renewable energy. The Macro Micro Studio was designed and built by a team of architecture, physics and engineering students and staff from the University of Dundee. The building, situated on the grounds of the University's Botanic Garden, utilises ultra-low-energy construction practices to conserve heat with integrated and controlled technologies for generating, storing and exporting power. The technology being integrated into the building exceeds current best practice for high-performance buildings in Europe, and aims to bring solutions for a new generation of such buildings into the mainstream of design.

**Dundee Researcher Discovers the last Glacier in Scotland**

Geographer Dr Martin Kirkbride has discovered that a glacier was still in place in Scotland within the last 400 years, some 11,000 years more recently than previously thought. This has attracted a lot of media attention and interest among various mountaineering and hillwalking groups.

More information on the achievements of staff and students within the Colleges can be found at:

- College Art, Science & Engineering: <http://www.dundee.ac.uk/case/>
- College Arts & Social Sciences: <http://www.dundee.ac.uk/cass/news/>
- College of Life Sciences: <http://www.lifesci.dundee.ac.uk/news/2013/>
- College of Medicine, Dentistry & Nursing: <http://www.cmdn.dundee.ac.uk/main-news>

The University's press releases can be found at <http://www.dundee.ac.uk/pressoffice/> and members can subscribe to the RSS feed from <http://feeds.feedburner.com/dundeeuniversity?format=xml>

**Major Grants and Awards**

The following represent a selection of the grants and awards that have been awarded by funders in open competition since my last report. The awards have been selected to celebrate both the achievements of the staff involved, and the breadth of their success.

**£520,754 from the EC FP7 Cooperation to Professor A Melzer (Division of Imaging & Technology)** for FUTURA (Joint with Sant'Anna School of Advanced Studies, Image Guided Therapy SA, Camelot Biomedical Systems SRL, S.M. Scienza Machinale and IBSmm Engineering, Czech Republic )

**£648,650 from the EC FP7 Health to Professor A Melzer (Division of Imaging & Technology)** for TRANS-FUSIMO - Clinical Translation of Patient-Specific Planning and Conduction of FUS Treatment in Moving Organs

**£445,555 to Dr KG Wilcox (Electronic Engineering & Physics) from the Engineering and Physical Sciences Research Council** for Tuneable Gigahertz Mode Spaced Frequency Combs (Fellowship)

**£399,904 to Professor F Sargent (Molecular Microbiology) from the Biotechnology and Biological Sciences Research Council**

for Metal-Hydrido Intermediates in Enzymes: Atomic Level Mechanistic Insight and Technological Applications of Hydrogenases (Joint with University of Oxford)

**£344,437 to Dr J Arthur (Cell Signalling and Immunology) from the Medical Research Council** for Role of Mef2D in Inflammation

**£325,784 to Dr PGA Pedrioli (MRC Protein Phosphorylation & Ubiquitylation Unit) from the Biotechnology and Biological Sciences Research Council** for Study of Differential tRNA Post-Transcriptional Modifications as a Mechanism to Control Proteome Composition

**£235,000 to Professor F M Sullivan (Division of Population Health Sciences) from the Chief Scientist Office** for SHARE (Joint with University of Edinburgh)

**£165,953 to Dr M MacDonald (Electronic Engineering & Physics) from the Engineering and Physical Sciences Research Council** for Scale Up of Optical Fractionation for Bio-Processing (Joint with Herriot Watt University)

**£144,477 to Dr B W Tatler (Psychology) from the Leverhulme Trust** for Learning and Representing 3D Environments from Multiple 2D Dynamic Views (Joint with Abertay University) (Research Project Grant)

**£136,508 to Professor B H Smith (Division of Population Health Sciences) from the Chief Scientist Office** for Use and Misuse of Opioid Prescribing Across Scotland - Rates, Quality, Variations and Explanations (Joint with University of Edinburgh, University of Aberdeen, University of Glasgow and NHS Fife)

## People and Prizes

**Professor Doreen Cantrell**, Vice-Principal and Head of the College of Life Sciences at the University of Dundee, was awarded a **CBE** in the 2014 New Year Honours.

**Dr Christopher Connolly**, a Reader in the Division of Neuroscience at the School of Medicine who has significantly enhanced our knowledge of the threats faced by the world's bee populations has won the University of Dundee's **Stephen Fry Award** for Excellence in Public Engagement with Research 2014.

The record-breaking 2013 Degree Show at Duncan of Jordanstone College of Art and Design (DJCAD) was named **Best Educational Event** at the UK Event Awards ceremony. This is the second time in three years that the DJCAD Degree Show has won the title of UK's Best Education Event.

**Dr Miratul Muqit**, Wellcome Trust Senior Research Fellow in the College of Life Sciences, has been awarded the prestigious 2013 **Linacre Medal** and Prize Lecture of the Royal College of Physicians.

**Professor Clare Halpin** has been appointed one of 21 new Royal Society Wolfson Research Merit Award holders. The prestigious award provides five-year's support for outstanding scientists to help them continue their ground-breaking work.

**Maria Maclennan**, a PhD student from Duncan of Jordanstone College of Art and Design (DJCAD), who has previously worked with Interpol to help identify victims of mass disasters by their jewellery, has won a prestigious six-month placement to be spent with the internationally renowned College of Policing.

**Pawel Grzyb**, a graduate of the Duncan of Jordanstone College of Art & Design (DJCAD) graduate has won the prize for Best Undergraduate Factual film at the Royal Television Society Scotland's Student Television Awards.

The University will be represented in the Royal Society of Edinburgh's schedule of events for 2014 as follows:

- **Professor Peter Davies FRSE** will deliver the Lord Kelvin Prize Lecture, *Troubled Waters – Big Waves Beneath the Sea Surface*, on 3rd March;
- **Professor Geoffrey Gadd FRSE** will deliver the James Black Prize Lecture, *Metals, Minerals and Microbes – Geomicrobiology and Biomediation*, on June 2nd;
- **Professor Sue Black FRSE** and **Professor Kirsty Gunn** will be speaking at *In Memoriam*, a full day RSE workshop, supported by the University, on 8 March.

## APPENDIX 2

### FINANCE & POLICY COMMITTEE (Minute 46)

A meeting of the Committee was held on 27 January 2014.

Present: Mr R Burns (Convener), Principal Professor CP Downes, Professor RJ Abboud, Deputy Principal Professor SM Black, Mr R Bowie, Mr I MacKinnon (President, Students' Association), Mr KA Richmond, MR EF Sanderson, Mr IDM Wright.

In Attendance: Mr J Elliot; Vice-Principal Professor K Leydecker; University Secretary; Director of Finance; Director of Campus Services; Director of Policy, Governance & Legal Affairs; Secretary to the College of Life Sciences (Minute 12); and Clerk to Court.

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting of 11 November 2013.

#### 2. MATTERS ARISING

(1) Update on Student Recruitment (Minute 2(1))

Members noted that data relating to Rest of UK (RUK) student recruitment figures across Scotland for the current and past four years had been commissioned from UCAS to enable completion of RUK market analysis. The data was expected to be available from the end of January 2014.

**Resolved:** to request that the analysis be circulated once available.

#### 3. MANAGEMENT ACCOUNTS PERIOD 5

The Committee received the accounts for the Period to 31 December 2013. The Director told the Committee that he expected a significant part of the shortfall in student fees from the start of the year to be recovered through tight budget control within the affected Colleges, and mitigated also by other savings within Directorates and by some one-off income items. The year-end forecast now stood at an operating deficit of £571k, a negative variance of £659k compared with the budget. The cash position of the University remained strong with short term investments and cash totalling £47.9m, an increase of £7.7m since the start of the year. Capital expenditure remained in line with the budget, and the Euro balance continued to rise reflecting the increasing number of EU grants won by the University.

The Committee noted that the £8.5m RBS facility would be repaid in January, four months early, as the rate available on deposit had fallen below the cost of borrowing. In response to questions the Director confirmed that the loan had been aggressively financed and that the rates had been closely monitored.

**Resolved:** (i) to ask that the total project cost for capital projects be indicated in future reports to enable strategic review of capital expenditure; and

(ii) otherwise, to note the accounts.

#### 4. CREDIT RATING – ROYAL BANK OF SCOTLAND

The Director of Finance told the Committee that the most recent review of ratings had shown that the Royal Bank of Scotland (RBS) had been downgraded to A2 by Standard & Poor's, although the Fitch rating remained at F1. This was, he said, in breach of the University's Treasury Management Policy which stated that *'All counterparties must have a minimum short-term rating of F1 from Fitch and A1 from Standard & Poor's'*. Following discussion, the Committee agreed that, as RBS was the University's main relationship bank, any change to another bank would cause significant disruption in the short-term, and that therefore RBS should remain as the University's main bank for day-to-day banking. However, it decided that the overall exposure to the bank should be managed down, and that its credit rating should be regularly monitored with any further deterioration being reported immediately to the Committee.

In discussing ways in which the exposure could be limited, the Director suggested increasing the counterparty limit with Santander from £20m to £25m to take advantage of the favourable return on

deposits. Members asked the Director to prepare a paper for the next meeting outlining the benefits and risks of this approach.

**Resolved:** to approve the continued use of RBS for day-to-day banking and ask the Director of Finance to prepare a paper considering the opportunities and risks associated with increasing the counterparty limit with Santander.

#### 5. SCOTTISH FUNDING COUNCIL (SFC) FUNDING UPDATE

The Director of Finance told the Committee that the indicative grant letter from the SFC had finally been received on 24 January 2014, but that at the time of the meeting the University was seeking clarification on some items within it. In response to questions the Director confirmed that the SFC would claw back funding relating to the 30 additional wider access places (of 150 awarded) not filled in 2013/14, but that a further 150 places had been awarded for 2014/15. Members highlighted the need to maintain the intensity of effort in the recruitment of wider access students, but also to ensure that the recruitment of RUK students from remained high on the agenda.

**Resolved:** to ask the Director to circulate a summary of the letter once the clarifications had been received.

#### 6. BUDGET SETTING

A paper outlining preparations for the 2014/15 budget was presented. The delay in receiving the SFC funding letter had meant that budget instructions to Colleges, Schools and Directorates had likewise been delayed, however members noted there was no expectation that this would have an impact on the preparation of a draft budget for discussion at the meeting of the Finance & Policy Committee on 12 May 2014 and subsequently at Court on 9 June 2014. The Committee noted that the budget would be prepared alongside three-year operating plans to ensure that the three-year financial forecasts were consistent with the budget.

The Director told the Committee that no significant changes were expected to the external financial environment for 2014/15, but drew members' attention to the potential for significant changes in 2015/16 and 2016/17 as a result of possible cuts to public expenditure, increased pension costs and higher National Insurance contributions.

**Resolved:** to note the report.

#### 7. BURSARY & SCHOLARSHIP PACKAGES

The Vice-Principal for Learning & Teaching introduced a paper outlining the new package of Rest of UK (RUK) student scholarships that had been launched for the 2014/15 intake. The revised package had been developed in response to poor RUK student recruitment figures for 2013/14 entry, and formed part of the overall approach to 2014/15 entry. Two new scholarships were being made available to RUK students recruited into non-controlled subjects: a 'Discover Dundee' £2,000 scholarship payable to all RUK students in their first year, and an 'Academic Excellence' scholarship of £3,000 per year for four years to RUK students with grades ABB or above at A-Level (or equivalent). Members noted that given increased competition in England for students with good grades, there remained a possibility that RUK numbers would further decline in the September 2014 intake.

The paper included a sensitivity analysis, and members noted that the scheme would reach breakeven point if around 20 additional RUK students were recruited (or 28 students if the proportion of ABB students rose by 10% as a result of the packages). Members also noted that the means-tested bursary (£1,000 p.a. for households with income less than £42,000; £3,000 for households with income less than £20,000) for all subjects would remain in place and would be payable in addition to the new scholarship packages if applicable. Members questioned the merits of the scholarships being payable in all non-controlled subject areas (especially Law, where recruitment was stronger), but noted the benefits of supporting the growth of flagship recruitment areas with high entry tariff areas.

In response to questions the Vice-Principal told the Committee that the University needed to market its courses and packages more competitively. He also told the committee that typical and minimum grades had been introduced for each course to both encourage students to consider applying to the University by broadening the pool of potential applicants, and to provide staff with a suitable range for offers in the hope of improving conversion rates. Through discussion, members noted that the new Head of

Admissions & Student Recruitment was preparing a report for the Student Recruitment Committee on the University's future strategy for entry grade tariffs.

In response to questions the Vice-Principal highlighted the correlation between National Student Survey (NSS) scores and student recruitment figures in the following cycle, and in doing so he drew members' attention to activities designed to better understand and improve the core student experience.

Turning to overseas recruitment matters, the Committee noted that only 70 overseas students had been recruited for UG entry in 2013/14 and members agreed with the Vice-Principal that a strategic approach to overseas packages was required. Members also highlighted the importance of taught and research postgraduate programmes, both in terms of income and visibility of the University.

Members noted the significant additional investment being made in a new marketing campaign, #testdrivedundee, for RUK entry in 2015/16. It was hoped that this campaign might also have some positive effect on conversion in the current cycle for 2014/15 entry. In response to questions the University Secretary confirmed that due to the devolved approach to marketing it was difficult to be precise about the current total expenditure on marketing activities across the University, but advised that a Marketing Working Group had recently been established to bring together those with marketing roles across Colleges and managers in Admissions & Student recruitment. In addition, it was anticipated that a leadership role in marketing at the University level within External Relations would shortly be advertised.

Members were keen to see all aspects of the University's recruitment policy brought together. In particular, members highlighted the need to develop policies which would enable the University to be more strategic in its approach. The Vice-Principal confirmed that the Student Recruitment Committee, new Head of Admissions & Student Recruitment and recently appointed Head of International Student Recruitment were to develop a three-year strategy for student recruitment and members suggested this may be a suitable topic for the September 2014 Court Retreat.

**Resolved:** to note the report and await further papers later in the year.

## 8. ESTATES & BUILDINGS REPORT

The Director of Campus Services introduced his regular report to the Committee. In doing so he updated members on the implementation of the proposed changes to the Campus Services organisational structure. Members noted that staff of Campus Services and campus unions had been informed of the proposed changes and that a change management group would be established to oversee progress.

The Director also updated the Committee on progress against the capital programme including: the Ninewells Library and Teaching Accommodation project, the Centre for Interdisciplinary Research (CTIR), the programme of works relating to the Duncan of Jordanstone College of Art, and the installation of a 4<sup>th</sup> Combined Heat and Power (CHP) generator.

Discussions focussed on the delay to completion of the CTIR building due to water ingress to the curtain walling, and a pipework failure which had led to water entering the building through the risers. Although the financial cost of these incidents would be covered by the contractor's insurance, members noted that there would be a minimum delay of 3 weeks, and potentially a further 6 week delay depending on the assessment of damage. The Director told the Committee that the situation was being carefully monitored; however the Committee noted the knock-on effect of the delay to the start of works on the JBC refurbishment.

The Committee was pleased to note that the Phase 2 works on the Ninewells Library and Teaching Accommodation project were almost complete, and that the Phase 3 designs were progressing well, although it was noted that funding for this phase was not yet fully in place.

Turning to the projects 'in dispute', members noted that further discussions had taken place with the administrators for Brown Construction and that the University was taking legal advice. Noting that two major capital projects had ended with the contractors entering liquidation, members discussed the financial checks and assessments carried out during the tendering process, noting that despite appropriate due diligence having been completed the current economic climate was such that even long-standing companies could get into financial difficulty in short order.

Members also expressed an interest in the use of data from the recently installed energy meters. Initial data had been collated and the Director told the Committee that Campus Services was looking to work with users and the University's Carbon Management Board to find more efficient energy solutions.

**Resolved:** to note the report.

#### 9. DUNDEE STUDENT VILLAGES

The Director of Finance presented a report which considered the financial model behind Dundee Student Villages (DSV) Ltd. Members noted that DSV rents remained higher than competitors despite the Board agreeing to increase rents by only 1% rather than by RPI +1% as assumed by the model. It was hoped that this would militate against DSV accommodation becoming unattractive to students in the context of the local market. Nonetheless, stress-testing of the model had confirmed that if rent increases were below RPI + 1% for any sustained period this would have an impact on DSV's capacity to remain within the terms of its borrowing covenants.

The Director told the Committee that the issues would be further explored when the DSV Board and representatives from Lloyds Banking Group met on 24 February 2014, at which alternative options would be explored further. The Committee discussed the merits of a range of approaches and asked that the Director prepare a paper outlining the range of options following the DSV Board meeting.

Members also noted changes to accounting rules (FRS 102) which would come into effect for the year ended 31 July 2016 and which would likely require DSV to be treated as a subsidiary company rather than an associate company, meaning that its overall assets and liabilities would need to be reflected in the University's balance sheet.

In discussing the best solutions for the University, and for DSV, the Committee recognised that the Director of Finance and University Secretary may be conflicted in terms of their duties as both members of the DSV Board and senior managers of the University.

**Resolved:** (i) to ask the Director of Finance to circulate benchmarking data to be committee; and  
(ii) to note the report and await a paper detailing options.

#### 10. ENDOWMENTS SUB-COMMITTEE

The Committee received a report of the Sub-Committee's meeting on 9 December. The Convener highlighted the adjustments made to investment benchmarks.

**Resolved:** to note the report.

#### 11. PENSIONS SUB-GROUP

The Committee noted that the first meeting of the Pensions Sub-Group would take place immediately following the meeting of the Finance & Policy Committee with the following membership: Mr EF Sanderson (Convener), Mr R Burns, Mr J Elliot, Mr IDM Wright, and Mr R Bowie, with the University Secretary, Director of Finance and Director of Human Resources in attendance.

**Resolved:** to note the update and await recommendations from the sub-group.

#### 12. CREATIVE FUND FOR RESEARCH EXPLOITATION (CURE)

*[At the start of the item Mr Andrew Richmond declared an interest as the Non-executive Director of Frontier IP Group. The Convener invited Mr Richmond to remain during discussion of the item but he did not participate in the debate.]*

The Committee received a paper from the Secretary to the College of Life Sciences and the Director of Finance outlining an innovative model for the exploitation of commercial opportunities in drug discovery at the University of Dundee. Under the proposal the University would, in collaboration with Frontier IP Group, support the development of a pipeline of pre-clinical drug candidates, building on the expertise within the existing Drug Discovery Unit (DDU). Members noted that the proposal had been developed in partnership with Frontier IP Group, and that this collaboration was seen as essential in attracting investors

and funding for the project. Investor days were planned for April 2014, with initial investments expected by early summer 2014.

The Principal told the Committee that the aim of the proposal was to support the translation of world leading research into new therapeutic interventions via the establishment of a drug discovery fund. Members noted that the fund would support the further development of the outputs of early stage drug discovery projects that identify small molecules with the potential to be developed into novel therapeutics to meet medical needs. He told the Committee that the intellectual property (IP) for these de-risked projects would then be licensed or sold, with part of the income to the University from the sale being reinvested in the scheme. The approach had been designed to make drug development more attractive to companies in the areas targeted by the fund.

The College Secretary highlighted the synergy between the proposal and the University's transformation agenda and went on to outline the financial model, operational and governance arrangements, as well as the risks involved.

In response to questions the College Secretary and Director of Finance confirmed that the projected costs had been explored, and that they were satisfied with the proposed financial arrangements. Through discussion, the Committee noted that the level and type of funding described within the proposal would not be available via traditional routes, but that if successful then in return for the transfer of IP ownership to CURE the University would receive £20m direct funding to support DDU activities, 20% of downstream economic returns achieved through the licensing or sale of assets, an estimated £4m overhead contribution, clear examples of research impact which were attractive to research funders, strengthened collaborations with industry, and enhanced reputation.

Members noted that the University's maximum financial exposure would amount to £62.5k, and that under the proposal 50% of the overhead would be reinvested to support sustainability. In response to questions the College Secretary confirmed that the level of overhead within the proposal was suitably calculated, and that if the project was successful then returns would be reinvested, but that if the licensing process did not yield benefits then new projects would not be started.

The sums associated with the proposal were below those requiring approval from the Committee under the schedule of delegation, but it had nevertheless been brought to the Committee due to the novel nature of the arrangement and to benefit from the external experience of members. Members indicated their strong support for the proposal and suggested that further clarification of some of the figures presented would be useful.

- Resolved:**
- (i) to ask the College Secretary and Director of Finance to circulate clarification of the figures presented; and
  - (ii) otherwise, to indicate their support for the innovative approach described.

### APPENDIX 3

#### GOVERNANCE & NOMINATIONS COMMITTEE (Minute 47)

A meeting of the Committee was held on 27 January 2014.

Present: Mr EF Sanderson (Convener), Principal Professor CP Downes, Professor RJ Abboud, Mr WGC Boyd, Dr DH Crouch, Mr R Burns, Ms M Tasevska, Mr IDM Wright.

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

Apologies: Ms B Malone.

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting of 11 November 2013.

#### 2. MATTERS ARISING

##### 1. Audit Committee Membership (Minute 3(2))

Noting that those eligible to serve on the Audit Committee were already heavily committed in supporting other Committees of the Court the Committee proposed to revisit the matter once the recruitment process for new lay members of Court was completed. The Convener told the Committee that he had spoken with the Convener of the Audit Committee and he had been content with this approach.

**Resolved:** to reconsider the matter once the lay Court recruitment process was completed.

##### 2. Succession Planning (Minute 4(2))

The University Secretary updated members on his discussions with the Chancellor regarding the formalisation of the role of Chancellor's Assessor as the Senior Independent Member of Court. The Committee was pleased to note that the Chancellor had indicated his support for the proposed changes.

**Resolved:** to note the update.

##### 3. Changes to Statutes and Ordinances: Graduates' Council (Minute 5(1))

The Committee noted that the Graduates' Council Business Committee had supported the proposed changes to Statutes 6,9, and 20, Ordinances 20 and 39, and Graduates' Council regulations, subject to the replacement of 'graduates appointed by the Graduates' Association' with 'Graduates' Association Member of Court' as reported to the Court on 9 December 2013.

**Resolved:** to note the update.

#### 3. APPLICATIONS FOR LAY COURT MEMBERSHIP

The Committee considered a paper which outlined the process for considering applications along with the selection criteria and interview questions used previously. The Committee approved their use for this round of appointments and reviewed the skill sets and backgrounds desirable for new members.

In respect of the vacancies arising on Court between 28 February 2014 and 31 July 2014 (replacements for Mr Keith Swinley and Mr Richard Burns), the Committee noted that 24 applications had been received in response to an advertisement placed in the Sunday Times, Courier, Scotsman and Herald on 14 December 2013. Of these 24 applications, 13 had originated from advertisement in the Sunday Times, two from the Courier, one from each of the Scotsman and Herald, and six from unknown sources. Members noted that one applicant was ineligible for appointment as the individual was a current student at the University.

The Committee considered each of the other 23 eligible applications in detail against the selection criteria, resulting in the identification of six candidates that the Committee felt should be interviewed. Interviews for these six candidates would be organised for February 2014, with an interview panel comprising elected, lay and student members of Court. The Committee also noted a further two candidates whom it would consider further should the outcome of the initial round of interviews not be successful.

- Resolved:**
- (i) to ask that interviews be arranged for the six shortlisted candidates; and
  - (ii) to confirm the composition of the interview panel as follows: Mr EF Sanderson, Mr R Burns, Miss M Tasevska and Dr DH Crouch.

*[Secretary's Note: Membership of the panel, following discussion with the Convener was later agreed as follows, as a result of diary conflicts: Mr EF Sanderson, Mr R Burns, Miss M Tasevska and Professor R Abboud.]*

#### 4. SUCCESSION PLANNING

The Convener reminded the Committee of succession planning issues that would arise before the end of the academic year including for the positions of: Chancellor's Assessor, Convener of Finance & Policy Committee, Convener of the Endowments Sub-Committee and Convener of the Audit Committee. In doing so he asked members to consider potential candidates for these positions in time for the next meeting of the Committee.

- Resolved:** to note the reminder.

#### 5. QUINQUENNIAL REVIEW OF COURT EFFECTIVENESS

The Director of Policy, Governance & Legal Affairs introduced a paper outlining options for the quinquennial review of Court effectiveness which was due during 2014. In doing so he highlighted the Scottish Code of Good HE Governance recommendation that the review be externally facilitated and he went on to outline a number of options for the review based on his analysis of sector-wide practice.

Members discussed options for external facilitation, including engaging the internal auditors, an individual with experience of the sector such as those listed by the Leadership Foundation for Higher Education, or board effectiveness specialists/head hunters with experience of reviewing board effectiveness. The Committee indicated a preference that the process include an internal element alongside external facilitation rather than solely external review to ensure that the review remained a matter for the Court and focussed on core issues in order to maximise the potential benefits arising. Members told the Director that they felt procedural aspects had been extensively covered by the previous review and that it would be beneficial if the upcoming exercise focussed on the effectiveness of the Court itself rather than revisiting the procedures and governance tools.

In considering options for external facilitation, members were keen that the facilitator had a good knowledge of the HE sector and understanding of the University Court environment, but also had the ability to bring an external perspective to the review and identify options which were not necessarily common within the sector.

Members also considered two questionnaires for possible use during the review, one based upon the questionnaire used previously, and the other adapted from the Leadership Foundation Governance Review materials. Members suggested that a hybrid of the two questionnaires might be used.

Noting the relatively short time-frame for completion members approved the proposal that a small steering group be set up to advance the arrangements, identify an external facilitator and work with him/her during the process.

- Resolved:**
- (i) to approve the membership of the quinquennial review steering group as follows: Mr Iain Wright (Convener), Mr Andrew Richmond (lay member), Dr Alison Reeves (elected member), Mr Iain MacKinnon (student member);
  - (ii) to ask that the group review options for external facilitation and finalise the questionnaire; and

- (iii) to propose that the group work closely with an external facilitator to guide the review process, and present their initial findings at the Court Retreat in September 2014.

## APPENDIX 4

### HUMAN RESOURCES COMMITTEE (Minute 49)

A meeting of the Committee was held on 28 January 2014.

Present: Mrs C Potter (Convenor), Dr W Boyd, Ms S Campbell, , Mrs S Krawczyk, Professor T Harley, Professor K Leydecker, Professor G Mires, Dr A Reeves, Mr D Taylor

In Attendance: University Secretary, Director of Human Resources & Organisational Development, Director of Finance, Deputy Director of Human Resources & Organisational Development, OPD Planning and Programmes Manager and OPD Researcher Developer and Projects Officer (for Item 8)

#### 1. MINUTES

The minutes of the meeting of 24 September 2013 were approved. Members asked that officers ensure that decisions and action points were appropriately highlighted in minutes to facilitate the process of ensuring they had been implemented or completed.

#### 2. MATTERS ARISING

##### 2.1 HR Payroll system

The Director of Human Resources advised that the leadership of the HR/Payroll project had transferred to the recently appointed Director of IT who was reviewing the way forward.

##### 2.2 Statute 16 Policies

The University Secretary advised that the University's proposals in relation to Statute 16 had been submitted to the Scottish Government in early November 2013. Initial feedback had confirmed that the proposals were acceptable from a Scottish Government policy perspective but that backlogs in its Legal Department had delayed a formal response to the University. The University Secretary indicated his intention to escalate the matter if a response was not received by the end of January 2014.

Resolved: to approach the Scottish Government to ascertain Statute 16 progress.

#### 3. UNIVERSITY VISION AND STRATEGY

The Director of Human Resources apprised the Committee of the second round of roadshows led by the Principal which had been completed during January. All staff had been invited and the roadshows had been generally very well received, although one member reported that some staff had expressed to him a view that there had been a lack of clarity and as to the purpose of the roadshow and that concerns about future plans had not been addressed. The University Secretary stated that further briefings would be undertaken with Professional Services staff in Colleges.

#### 4. HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT

##### (1) HR Operational Plan

The Director of Human Resources introduced the Operational Plan which reported on achievements over the previous year and set out objectives for the forthcoming 3 years. Members felt the document was very clear and well-presented, but wished to be reminded of the objectives for the previous year so that a direct comparison of achievement against objectives could be made. They further commented that the Director should consider whether the level of resource available to HR was appropriate in the context of organisational demand, noting that to some extent this was also influenced by the extent to which prioritisation was afforded to those objectives essential to achieve the People KPIs. Members also noted the importance of ensuring that Organisational and Professional Development worked closely with Academic Development on training in support of promotion and OSaR, in addition to probation.

Resolved: (i) to amend the Plan in the light of the Committee's discussion

- (ii) to circulate the HR Operational Plan 2013/14 to members of the Committee.

(2) Organisational Change

The Director of Human Resources advised the Committee that, although at an early stage, UoD IT and Campus Services planned to undertake major change programmes to realign resources and ensure they were best placed to meet the University's future needs.

(3) New Probationary Process (Annex A)

The Director of Human Resources introduced a new draft Probationary Procedure for academic staff, indicating that the current Procedure was out of date and no longer fit for purpose. The new Procedure had been developed with the incoming Vice-Principal for Learning & Teaching and sought in particular to make responsibilities for overseeing and implementing the process more explicit, to ensure sufficient time was allocated for participation in the PgCert in THE and to send a clear signal that Learning & Teaching was valued. Consultation with SMT, the academic community and partnership working with DUCU had resulted in the procedure having been approved by all of these bodies.

In the course of discussion members raised a number of issues including: (a) the fact that it would be helpful in future for the Committee to be able to contribute to the development of new policies at an early stage; (b) that the standards in relation to research might be considered too high for certain disciplines and inclusion of reference to the (externally-defined) 3\* threshold might lead to the Procedure becoming dated; (c) that a covering paper would have been helpful in understanding the background to the procedure; (d) the need to ensure that the role of mentor was properly supported and promoted; and (e) a need to emphasise that overall teaching and administration duties should be lighter for probationers than those who had completed probation. It was also suggested that a summary document was required which emphasised the positive and supportive nature of the process.

A member highlighted the academic imperative for the introduction of a new Probationary Procedure and hoped that there would not be a significant delay in implementation. Another confirmed that the procedure was much better than the present one.

Members asked that their comments be circulated along with the procedure when it was considered by Senate at its meeting on 5 February 2014, so the Senate was aware of their views and able to comment on the issues concerned before the Procedure was submitted to Court for approval.

- Resolved:
- (i) to present future policies and procedures at the development stage to enable the Committee to have early input;
  - (ii) to provide cover papers to such documents in future so that the Committee was aware of the context associated with their development.
  - (iii) to convey the Committee's views to Senate for its consideration prior to the Procedure being brought forward to Court for approval.

(4) OSaR (Annex B)

The Director of Human Resources drew the Committee's attention to the completion rates for OSaR, which had been circulated to the meeting and which had improved greatly over the previous years. Members also approved the revised OSaR guidance and paperwork, which had been amended in the light of feedback from the previous meeting.

- Resolved: to approve the OSaR procedure.

(5) Staff Survey

The Director of Human Resources explained that she had written to Deans and Directors to ascertain the actions that were being taken in Schools and Directorates following receipt of the Staff Survey results. It was reported that there was a great deal of activity ongoing to address the issues raised and that a summary of all the actions would be collated and published to the University community shortly.

(6) Pay Negotiations (2013/14)/Industrial Action

The Director of Human Resources reported that there had been 2 hour strikes by DUCU on 23 and 28 January and that there would be a further such strike on 10 February. In addition, notification had recently been received of a full day strike, supported by all campus unions, on 6 February. The Director advised that the impact on the University to date had not been significant, with no discernible effect on core activities.

A question was raised about the University deducting a full day's pay for 2 hours industrial action. The Director of Human Resources responded that the University had maintained its long-standing position of not accepting partial performance, which was consistent with UCEA guidance and legal advice, and in line with the stance taken by around half the institutions in Scotland and the UK.

(7) Living Wage

The Director of Human Resources explained that the University had been approached for a second year by UNISON to request that it become an accredited employer for the Living Wage. It was confirmed that last year, while not becoming an accredited employer, the University had implemented the Living Wage but had not committed to continuing to do so, not least because it would affect the differentials in salary for staff in Grades 2 and 3. The University's preference to date had been for this matter to be resolved as part of the national process rather than through local negotiation.

The Committee requested that the Director of Human Resources determine the approach being taken by other Scottish institutions to help inform the University's future position.

Resolved: to request information from other Scottish Universities.

(8) Organisational and Professional Development

The Planning and Programmes Manager, introduced the report from OPD. She highlighted that the breadth and scope of the OPD programme continued to expand and that in the current year an additional 35 workshops had been added to respond to identified training needs. The emphasis in the design of the programme was to ensure that it was relevant and aligned to institutional needs, with a significant amount of work being planned in respect of Organisation Development and the support of areas undergoing organisational change. The Researcher Development and Projects Officer updated members on her work in moving forward the Researcher Development agenda and the links that this had with the principles of the Concordat (to support the career development of researchers) and the HR for Excellence in Research. Initial steps to progress this agenda had included: the creation of a Researcher Development website to promote and showcase existing opportunities, resources and wider impacting initiatives; presentations at the University Research Committee and other meetings at School and College level and developing a formal Researcher Development Policy that aligned with the University Strategy. It was highlighted that the University was promoting development opportunities such as the Aurora Leadership programme, which supported the Athena Swan agenda.

There was some general discussion around the process by which training needs were identified at the University and of the importance of anticipating future needs and skills requirements, for example in relation to new forms of delivery such as e-learning and blended learning. The Committee indicated that it would be helpful to have some statistics relating to requests for training and development made through the OSaR process to establish if demand was being met and to measure performance.

Resolved: (i) to provide statistics relating to training requests made through OSaR and on the uptake of training provided.

(ii) to commend OPD on the programme and the provision of a range of interesting and relevant development opportunities for staff and postgraduate researchers.

(9) Mediation/edr

The Committee received the report from the Director of Legal Affairs and commented on the valuable work being done by the University's Mediation Service.

Resolved: to note the position.

## 5. CONCORDAT/HR BADGE FOR EXCELLENCE IN RESEARCH

The Committee noted that the University had retained the HR Excellence in Research Award and congratulated all involved, particularly Gillian Jones, HR Officer, College of Life Sciences. Members noted the range of activities in this area and that the University was hosting a sector-wide HR Excellence in Research event on 12 February 2014, suggesting that consideration should be given to the promotional opportunities afforded by the event.

Resolved: to explore promotional opportunities afforded by these events.

## 6. ATHENA SWAN

The Director of Human Resources confirmed that the outcome of the University's re-application for the Athena Swan Bronze Award would be known in February and that the University was supporting the sector-wide Aurora programme for women.

## 7. HEALTH AND SAFETY SUB-COMMITTEE

The Committee considered the minutes of the meeting of the Sub-Committee. Members expressed some concern that the covering report from the Head of Safety Services highlighted issues that had occurred without always providing an account of the way the University had responded to the issue or the actions that had been taken to learn lessons and ensure that the risk of any recurrence was reduced. The University Secretary drew attention to the seriousness with which such matters were taken within the University and to the fact that the minutes themselves provided further information in relation to them. He reassured members that management action was taken in relation to incidents and near-misses in consultation with the Head of Safety Services and that the Sub-Committee subsequently discussed such key incidents in some detail. He undertook to ensure that future minutes and, especially, covering reports reflected this approach rather better than was currently the case.

The University Secretary undertook to provide further information to a staff member of the Committee in relation to a specific incident in the College of Life Sciences.

The Committee agreed that it would be appropriate to invite the Head of Safety Services to its next meeting.

- Resolved:
- (i) to request that the Director of Human Resources discuss the nature of future reports and minutes with the Head of Safety Services.
  - (ii) to note that the University Secretary would provide further information to a staff member in relation to an incident in the College of Life Sciences.
  - (iii) to request the attendance of the Head of Safety Services at the next HR Committee meeting.

## 8. LOCAL JOINT COMMITTEES

The Director of Human Resources apologised for the minutes not being available and confirmed they would be presented to the next meeting of the Committee.

## 9. ANNUAL REVIEW, HERA GRADING REVIEWS AND AWARED OF CONTRIBUTION RELATED POINTS

The Committee noted the statistics and narrative, requesting that in future a more detailed analysis of the data should be presented.

Resolved: to provide analysis of data in respect of HR reports for the Committee.

**ANNUAL REVIEW PROCEDURE FOR PROBATIONARY LECTURERS  
(TEACHING & SCHOLARSHIP) AND (TEACHING AND RESEARCH)**

The University's Annual Review Procedure for Probationary Lecturers is informed by our core value: valuing people. It ensures that probationers are properly supported during their first years of academic life and will benefit from training, development and mentoring opportunities that will help them make the transition to becoming an established and productive member of the University.

1. Scope
  2. Purpose of Probation
  3. Duration of Probation
  4. Reduced Periods of Probation
  5. Extended Periods of Probation
  6. Management's Roles and Responsibilities
  7. Duties during Probationary Period
  8. Mentoring
  9. The Objective-setting and Review Plan for Probationary Lecturers
  10. Evaluation of Probationers
  11. Exceptional Performance during Probation
  12. Shortfall in Performance during Probation
  13. The Annual Review Pre-hearing prior to the College Staff Annual Review Committee
  14. Final Annual Probationary Report
  15. The College Staff Annual Review Committee
  16. The Annual Review Post-hearing
  17. Cases of Dismissal and Potential Dismissal
  18. Notice
  19. Appeals against Non-confirmation of Appointment/Dismissal
  20. Documentation
  21. Annual Timetable of Events
  22. Quality and Consistency
  23. Policy Review
- Appendix 1 – Documentation (forms)  
 Appendix 2 - Criteria for Completion of Academic Probation  
 Appendix 3 - Timetable of the Probationary Period  
 Appendix 4 - Annual Timetable of Events Flowchart  
 Appendix 5 – Summary Document

**1. Scope**

- 1.1 The Annual Review Procedure for Probationary Lecturers will apply to newly appointed Lecturers in both Teaching & Scholarship and Teaching and Research.
- 1.2 The Procedure will apply to newly appointed Lecturers irrespective of whether their contracts of employment are permanent, fixed-term, full- or part-time.
- 1.3 The probationary period will apply throughout the entire term of the contract where the contract of employment is of shorter duration than the probationary period.

**2. Purpose of Probation**

- 2.1 The three year academic probationary period aims to ensure probationary objectives are tailored to suit individual needs and disciplinary norms, around the overarching expectation of excellence in teaching and research. Newly appointed academic staff will be equipped with the knowledge, understanding, skills and attributes necessary to be a fully functioning and contributing academic on confirmation of appointment.
- 2.2 The purpose of the Annual Review Procedure for Probationary Lecturers is to provide support and development opportunities for the new Lecturer to enable them to demonstrate, over the probationary period, their ability to undertake the full range of duties and responsibilities of the role to which they have been appointed within the School in which they are employed.

### **3. Duration of Probation**

- 3.1 The period of probation is three years in all Schools.
- 3.2 The three year probationary period will apply in all cases except as detailed in 4. and 5. below.
- 3.3 The three year probationary period will commence when the initial year's objectives have been agreed and approved by the Dean and Vice-Principal and Head of College (no later than 2 months after appointment). Each year the Academic Line Manager will notify Human Resources the date on which the probationer's objectives have been agreed.
- 3.4 Probation may be extended by the College Staff Annual Review Committee or the Annual Review Post-hearing Committee by a maximum of one year. Typically, the probationary period will not extend beyond a maximum of 4 years, unless in exceptional circumstances.

### **4. Reduced Periods of Probation**

- 4.1 The normal period of probation for newly appointed lecturers will be three years; a shorter period of probation can, exceptionally, be agreed by the Vice-Principal and Head of College and confirmed by the Director of Human Resources.
- 4.2 Where a newly appointed Lecturer has completed probation at another UK University or equivalent international institution, they may submit evidence to this effect to their Dean of School who, in conjunction with the Vice-Principal and Head of College and Vice-Principal (Learning & Teaching), will consider whether to grant complete or partial reduction to the probationary period. This must be confirmed by the Director of Human Resources.
- 4.3 In order to assist the decision-making process the probationer may be asked to produce further evidence, or for permission for the Dean to approach their previous institution, to obtain further information to input into the decision.

### **5. Extended Periods of Probation**

- 5.1 In circumstances where there has been absence such as maternity/adoption or long-term sick leave the probationary period may be extended by 1 year where this is considered appropriate to ensuring that the probationer is not disadvantaged by the circumstances.
- 5.2 In all cases where the probationer has not met the criteria for confirmation of appointment the College Staff Annual Review Committee should consider the extension of probation by one year to allow further time for the probationer to meet the criteria, particularly where there are mitigating circumstances.
- 5.3 Where a member of staff is employed on a part-time basis a probationary period of greater duration may be specified on appointment, or subsequently, to ensure the part-time member of staff benefits from the full range of probationary support.
- 5.4 The decision for extended periods of probation will be made by the College Staff Annual Review Committee or the Annual Review Post-hearing Committee.

### **6. Management's Roles and Responsibilities**

- 6.1 For the purposes of this procedure, the academic line manager is defined as the person appointed by the Dean to manage the probationary process. The academic line manager should be agreed by the Appointing Committee and detailed on the New Appointment Authorisation Form (whether or not there is formal line management responsibility).
- 6.2 The probationer's academic line manager will be responsible for:
- inducting the probationer, including setting initial objectives and the training and development plan (FORMS 1 and 2) and having these approved by the Dean for onward transmission to the Vice-Principal and Head of College for comment/final approval.
  - acting as their line manager
  - providing academic and management support

- arranging three interim meetings per year with the probationer and documenting them (FORM 3)
- setting objectives for the probationer on an incremental basis each year over the probationary period (FORM 1) in accordance with the College's expectations to ensure the essential aspects of work are identified. This approach will afford the probationer the best possible opportunity of demonstrating their abilities in these necessary areas with the aim of ultimately having their appointment confirmed. Objectives which extend over several years should be recorded under 'Other Objectives'. The objectives must be approved by the Dean and transmitted to the Vice-Principal and Head of College for comment/final approval.
- identifying appropriate training and development for the probationer on an ongoing basis (FORM 2). The training and development plan must be approved by the Dean and transmitted to the Vice-Principal and Head of College for comment/final approval.
- monitoring the probationer's duties.
- fulfilling the Annual Review process in respect of the probationer in terms of actions and documentation.
- making a recommendation as to whether, or not, the probationer's appointment should be confirmed in the 3<sup>rd</sup>/final year of probation (FORM 4).

In circumstances where the Dean would normally undertake the role of academic line manager he/she will nominate a senior academic colleague to act in the capacity of academic line manager to the probationer, fulfilling the role as described.

6.3 The University will provide training for Academic Line Managers.

6.4 The probationer's Dean will be responsible for:

- conveying the University and School strategies and the Transformation agenda to the probationer
- ensuring that the probationer's objectives are set in line with the Criteria for Completion of Academic Probation (Appendix 2), and provided to the probationer at the outset of the probationary period.
- approving the probationer's objectives and training and development plans each year
- transmitting the approved objectives and training and development plan to the Vice-Principal and Head of College for comment/final approval and ensuring its return is received as quickly as possible
- conveying the decision of Vice-Principal and Head of College to the probationer's academic line manager expeditiously so that the probationer can commence undertaking their objectives and training and development plan as soon as possible
- revising the process of objective-setting and/or training and development plan if these elicit comment from the Vice-Principal and Head of College
- ensuring the probationer has been properly inducted and has undertaken equality and diversity training early in their induction period
- ensuring a mentor is allocated to the probationer
- ensuring that the probationer's allocation of duties is suitably reduced to accommodate their training and development activities
- ensuring that the probationer is actively involved in Module 1 (Facilitating Learning) of the Postgraduate Certificate in Teaching in Higher Education (Pg CertTHE) or the first module of the medical equivalent: the postgraduate Certificate in Medical Education.
- ensuring that the probationary process is undertaken rigorously
- ensuring that the probationary documentation is completed
- chairing Annual Review Pre-hearings and producing recommendations
- providing detailed information to the College Staff Annual Review Committee on the School's probationers.

6.5 The probationer's Vice-Principal and Head of College will be responsible for:

- contributing to and keeping under review the University's Criteria for Completion of Academic Probation (Appendix 2) which will be implemented by Deans.
- providing guidance to their Deans and academic line manager regarding the types of objectives that the probationer should be set.
- approving finally the probationer's objectives and training and development plan at induction, in each subsequent year of probation and where changes occur, to ensure the objectives are aligned with the University's Criteria for Completion of Academic Probation (Appendix 2) and meet the quality and standard required.

## 7. Duties during Probationary Period

- 7.1 The overall duties of probationers must, in all cases, be determined with care to ensure that the objectives agreed are achievable. The Dean will be responsible for determining the duties which will be monitored by the probationer's academic line manager.
- 7.2 The period of probation must afford the probationer an opportunity to gain experience and competence in teaching, research (if relevant) and administration. No one responsibility should be allowed to dominate and, thereby, put at risk the probationer's opportunity to gain adequate experience of other responsibilities. Schools must take responsibility for affording probationary staff whose role includes research the opportunity for research development to take place. Accordingly, overall teaching and administration duties for probationers must be lighter than for academic staff that have completed probation.
- 7.3 It is assumed that there will be an incremental increase in the overall duties throughout the period of probation so that in the final year of probation it is possible to assess a probationer's ability to meet the requirements of an established member of staff, both in terms of volume and responsibilities.
- 7.4 For probationary staff undertaking Module 1 (Facilitating Learning) Pg CertTHE or medical equivalent there must be a reduction in the teaching and assessment load to accommodate this. This is normally a reduction of 20% in the year in which the module is taken. The reduction is allowed for one year only.

## 8. Mentoring

- 8.1 On appointment, the probationary Lecturer will be allocated a mentor by the Dean.
- 8.2 The mentor will be a member of staff who is considered by the Dean as an appropriate and supportive colleague to the new lecturer.
- 8.3 The mentor will be familiar with the operation of the School and more generally with the way in which the School, College and University operates.
- 8.4 The role is separate from the probationer's academic line manager's role and exists to facilitate, support and act as a resource to assist the probationer to fulfil their potential over the probationary period.
- 8.5 The mentor will arrange three meetings per year with the probationary Lecturer to discuss any issues the probationer wishes to raise and to provide advice (FORM 5). The mentor will also be available on an ad-hoc basis to provide advice as requested by the probationary Lecturer.
- 8.6 Outside the three annual meetings with their mentor, the probationary Lecturer is responsible for making use of the mentor resource as they consider necessary to assist their progress through probation.
- 8.7 At any stage during probation where the probationer believes they are not receiving adequate or appropriate support from their mentor, they are encouraged to raise the matter with their academic line manager. The academic line manager will discuss the matter with the Dean and a decision will be made that is in the best interest of the probationer.
- 8.8 The mentor will produce an annual report (FORM 5) from their perspective as mentor, about the probationer. This will contribute to the probationary Lecturer's progress report for the College Staff Annual Review Committee.
- 8.9 When reviewing the probationer's annual progress report the College Staff Annual Review Committee will give consideration to whether the same mentor should continue to provide support or whether it would be beneficial for the probationary lecturer to have a different mentor during the remainder of their probationary period. If the mentor is to be changed, the Dean will arrange.
- 8.10 The role of the mentor is to:
- provide general induction support
  - provide a source of help and advice on all aspects of the professional role, including teaching, research, where relevant, and administration
  - support the translation of skills, theories and ideas from the Module 1 (Facilitating Learning), Pg CertTHE or medical equivalent, into subject-based application

- provide constructive feedback on teaching/research activities
- to help in identifying professional development and training
- to be a 'critical friend' outside the management framework.

8.11 The University will provide training for mentors.

## 9. The Objective-setting and Review Plan for Probationary Lecturers

9.1 The probationer's academic line manager will set up the meetings to discuss and document an objective-setting and review plan for the probationer. This will commence as part of the induction process for newly appointed Lecturers.

9.2 Although the development of the probationer's objectives is a joint commitment, setting the necessary objectives in a clear, comprehensive and unambiguous manner, which cover the aspects of performance that the probationer must evidence successfully, is the responsibility of the probationer's academic line manager in the first instance: to be approved by the Dean and then finally approved by the Vice-Principal and Head of College (see section 6).

9.3 The importance of precise, accurate, well thought-out, mutually understood and planned objectives is emphasised. Over the three/four years of probation the objectives should be developed incrementally to ensure all the evidence that the probationer needs to demonstrate is capable of being verified through the achievement of their objectives. The objective-setting and review plan should include objectives that will allow the probationer to display their progress and abilities in the key areas of their role: e.g. teaching; scholarship; research; contribution to their School and the University; their training and development and any other relevant objectives.

9.4 The achievement of these objectives by the probationer will demonstrate that successful progress is being made at the relevant stage of probation (i.e. years 1, 2, 3 and/or final year) which normally should lead to confirmation of appointment.

9.5 The objective-setting and review plan will be set each year during the probationary period and will be revised during the course of the year if circumstances change, in order that it is maintained as a current representation of the probationer's objectives. Objectives must not be changed unilaterally but through a process of discussion. When change occurs the probationer and the probationer's academic line manager, will meet to discuss the changes required to keep the objectives current. These will require to be approved by the Dean and Vice-Principal and Head of College (see section 6).

9.6 The objectives set for the probationer will be the criteria against which their progress in probation will be assessed for that year and reported to the College Staff Annual Review Committee.

9.7 The probationer must use the objective-setting plan as a live document against which they will self-assess their progress during the course of the year, allowing the probationer to decide if and when they require any additional support and to seek it from the appropriate source.

9.8 The probationer should have a training and development plan in order that they may acquire new, or build on existing skills in support of successful completion of probation.

- The University's Equality and Diversity e-learning module must be completed during the probationer's induction.
- Progress with achieving Module 1 (Facilitating Learning), Pg CertTHE or medical equivalent, must be demonstrated from the first year of probation unless exemption is approved.
  - For an exemption to be considered, Deans should make application to the Assistant Director, Educational Development who will make a recommendation to the Vice-Principal, Learning & Teaching who has the final decision on the exemption or whether any alternative conditions should apply.

9.9 The objectives set must be appropriate to the probationary Lecturer's stage of development within the probationary process.

9.10 The objective-setting and review plan will state the objectives to be achieved during the review period, including evaluation objectives (see section 10).

- 9.11 The probationer's academic line manager will arrange three interim meetings per year with the probationary Lecturer to discuss any issues the probationer wishes to raise and to provide advice. They will also be available on an ad-hoc basis to provide advice and support as requested by the probationary Lecturer.
- 9.12 During the probationary period the probationer must demonstrate commitment to:
- working towards their objectives on their first and subsequent objective-setting and review plans with the support of their School management and mentor (FORM 1)
  - engaging with professional development and training opportunities, particularly those arranged via their training and development plan and including the completion of Module 1 (Facilitating Learning), PG CertTHE or medical equivalent (FORM 2).
  - undertaking and completing the University's Equality and Diversity e-learning modules
  - reviewing their objective-setting and review plan and training and development plan regularly in order to track and self assess their progress
  - highlighting any concerns they have about their progress to their academic line manager and Dean so that early supportive measures can be put in place
  - engaging with the self-review process (FORM 6).
- 9.13 In the event of agreement not being reached on objectives and/or training and development, the Vice-Principal and Head of College will, in consultation with the Dean and HR, set objectives and/or a training and development plan which is appropriate for the probationary Lecturer's stage of development within the probationary process and commensurate with the Criteria for Completion of Academic Promotion.
- 9.14 The probationer's objectives and training and development plan will be agreed in accordance with section 6 within 2 months of the probationer's appointment.
- 9.15 See Appendix 3 for the Timetable of the Probationary Period.
- 9.16 The relevant process for staff on academic probation is the Annual Review Procedure for Probationary Lecturers so they will be exempt from the University's Objective-setting and Review (OSaR) process for the duration of their probation.

## 10. Evaluation of Probationers

- 10.1 A process of periodic evaluation will occur during the entire probationary period to ensure the probationer's progress is tracked and that any matters that require addressing by management occurs as early as possible in order to give the probationer the best possible opportunity of achieving confirmation of appointment.
- 10.2 During each year of probation, evaluations appropriate to the stage of the probationer's development should be included in the probationer's annual objectives e.g. observed teaching.
- 10.3 Adequate time should be given to the probationer to prepare for such evaluations.
- 10.4 Where the evaluation takes the form of a seminar, presentation or similar activity, an invited audience approved by the Dean and Vice-Principal and Head of College may attend. Where constructive feedback is gathered this should be conveyed to the probationer by the Dean, academic line manager or nominee.
- 10.5 Evaluations should take into consideration the evidence provided by Module 1 (Facilitating Learning), Pg CertTHE or medical equivalent and the probationer will be expected to share the material with their academic line manager as part of the evaluation process.
- 10.6 Evaluations will offer formative feedback to probationers and the various evaluations throughout probation will be assessed as a whole, without any one being the factor which decides whether or not the appointment is confirmed.
- 10.7 The document: Criteria for Completion of Academic Probation is attached (Appendix 2).
- 10.8 Where a probationer has a period of ill-health or disability during their probationary period, appropriate reasonable adjustments will be made. In certain circumstances this may include a reduction in volume of output which is normally expected but, where this is the case, the probationer will, nevertheless, be

expected to meet the the quality criteria stated in the Criteria for Completion of Academic Probation. This principle will also apply to any probationer who has has a period of absence due to maternity leave.

#### **11. Exceptional Performance during Probation**

11.1 In exceptional circumstances, and based on a probationer's performance since appointment, the Dean may make a formal case to the College Staff Annual Review Committee for shortening the duration of an individual's probation. The College Staff Annual Review Committee may recommend early confirmation of appointment. The final decision will be made by the relevant Vice-Principal and Head of College in conjunction with the Director of Human Resources and based on the evidence of exceptional performance that meets the requirements of probation which has been submitted to the College Staff Annual Review Committee.

11.2 Similar requirements for evaluation of the probationer will apply for probationers for whom early confirmation of appointment is recommended to the College Staff Annual Review Committee.

#### **12. Shortfall in Performance during Probation**

12.1 Where performance and progress falls below the required standard during the probationary period, in that objectives are not being met to the expected standard, the matter should be raised with the probationer immediately the shortcomings are identified. Also, unambiguous written warnings should be given to the probationer by the Dean as early as possible and as frequently as warranted. This is to ensure that no misunderstandings exist about management concerns relating to the probationer's performance, their progress and the consequences this may have on whether, or not, their appointment is confirmed.

12.2 Where there is a shortfall in performance interim objectives and a training and development plan to address the shortfall must be set by the academic line manager, to be approved by the Dean and finally approved by the Vice-Principal and Head of College (as per 6.1, 6.3 and 6.4).

12.3 Where the shortcomings are sufficiently serious potentially to jeopardise the probationer's confirmation of appointment, the probationer should be issued with a warning of this, in a written format, at any stage of probation, a copy of which should be appended to the Annual Probationary Review Progress Report.

12.4 In the event that consideration is being given to dismissal due to alleged unsatisfactory performance, the probationer's academic line manager and the College's HR Officer will meet with the probationer, who may be accompanied by their trade union representative or a work colleague, and convey the reasons for the recommendation.

12.5 The content of the meeting and follow-through will be as follows:

- the probationer's academic line manager and College's HR Officer will discuss the matter in a private meeting with the probationer
- the probationer must be offered the opportunity to be accompanied by their trade union representative or work colleague at the meeting with their academic line manager and the College's HR Officer.
- the probationer's academic line manager should take account of the probationer's response and decide, in the light of this, whether or not to proceed with the recommendation that consideration should still be given to the probationer's dismissal.
- a written summary of the meeting should be sent to the probationer by the probationer's academic line manager together with either:
  - confirmation that the probationer's academic line manager will not proceed with recommending dismissal but their case for confirmation of appointment has still to be considered by the College Staff Annual Review Committee, or
  - confirmation that the probationer's academic line manager will proceed with recommending dismissal and that an Annual Review Pre-hearing will be arranged to ensure the probationer and their academic line manager may state their cases to panel. The letter will also contain confirmation that the probationer may be accompanied by their trade union representative or work colleague and that further details will follow in respect of date/time etc. of the Annual Review Pre-hearing.

- 12.6 In exceptional circumstances, a probationer's shortfall in performance may be considered to be of such seriousness that to continue until the end of the probationary period would be unproductive. In such cases the University reserves the right to deal with the matter under the provisions outlined in section 17.
- 12.7 In every case where dismissal is being considered, alternatives which are remedies short of dismissal must be explored e.g. redeployment and other opportunities commensurate with the probationer's abilities.
- 12.8 The College's HR Officer will attend any such meetings and the probationer is entitled to be accompanied by their trade union representative or a work colleague.
- 13. The Annual Review Pre-hearing prior to the College Staff Annual Review Committee**
- 13.1 If dismissal of a probationer is being considered as a result of a recommendation by the probationer's academic line manager (see section 12) prior to the College Staff Annual Review Committee taking place, the following procedure should be followed to ensure fair treatment.
- 13.2 The probationer concerned has a right to a formal hearing, which should be conducted around 3 – 4 months prior to the end of their probationary period and in sufficient time to ensure that the recommendation from the hearing is available to the College Staff Annual Review Committee (see Appendix 4).
- 13.3 For the Annual Review Pre-hearing the panel members will comprise:
- Chair
    - The Dean of School (who will not have been managing the probationer's performance directly)
  - An academic member of staff
    - i.e. A Senior Lecturer (Teaching & Scholarship) or (Teaching and Research) as appropriate from another College
  - A qualified member of HR
    - Who has not been involved in managing the case.
  - A notetaker
    - Who has not been involved in managing the case (this may be one of the panel members).
- The panel will aim to have as diverse representation as possible.
- 13.4 The management case for recommending dismissal will be presented by the probationer's academic line manager.
- 13.5 The probationer will have the right to state their case, respond to the points raised by their academic line manager, provide any additional information and cross-question the academic line manager. The reverse applies to the management case brought by the academic line manager.
- 13.6 The probationer may be accompanied to the meeting by their trade union representative or a work colleague. The academic line manager may be accompanied by a work colleague who has been associated with the case e.g. the College's HR Officer.
- 13.7 The panel may also:
- interview witnesses suggested by either party or receive written statements from them (to be available to the panel 5 days prior to the meeting)
  - interview any other person they believe would clarify any matter they are considering and/or request further information
  - adjourn to collect more evidence, if necessary.
- 13.8 The probationer and their trade union representative or work colleague should make every effort to attend the meeting. If they are unable to attend, a date will be re-scheduled normally within 10 days of the original date. If the probationer continues to be unavailable to attend the meeting, the panel may decide to proceed with the meeting on the evidence available. Similarly, in the event that the probationer's academic line manager is not available for a prolonged period an alternative person should be substituted to present the management case.
- 13.9 The Annual Review Pre-hearing Committee will decide, at its discretion, the order of proceedings regarding witnesses' evidence and procedural matters.
- 13.10 Reasonable adjustments will be made to accommodate the needs of any person with a disability.

- 13.11 The output of the panel will be a report to the College Staff Annual Review Committee making a clear recommendation as to whether the probationer:
- should not be dismissed
  - should be dismissed
  - should have their probation extended by a maximum of one year if this has not already occurred.
- In the event that the panel recommends either that dismissal should not take place or that probation should be extended, the panel may decide to recommend any action, including development activities that they believe will positively address the situation.

#### 14. Final Annual Probationary Report

- 14.1 In the final year of probation, the probationer will undertake any final evaluations identified at the objective-setting stage of the final year to evidence their learning during probation and demonstrate that they have completed the requirements of probation which have been made explicit through the University's Criteria for Completion of Academic Probation (see Appendix 2) and the objectives they have been set during probation.
- 14.2 Mandatory elements to allow confirmation of appointment are: the attainment of Module 1 (Facilitating Learning), Pg CertTHE or medical equivalent qualification (which may have been attained prior to employment with the University), together with the completion of the University's Equality and Diversity e-learning modules.
- 14.3 When the 3<sup>rd</sup> and/or final probationary report is submitted to the College Staff Annual Review Committee, the committee has the following options.  
It will decide whether:
- the appointment is to be confirmed
  - to extend probation by a maximum of one year for probationers in their 3<sup>rd</sup> /final year of probation
  - to dismiss the probationer.

#### 15. The College Staff Annual Review Committee

- 15.1 The College Staff Annual Review Committee will comprise:
- The Vice-Principal and Head of College
  - The Deans of School within the College
  - An external to College representative
  - The College HR Officer/s.
- 15.2 The College Staff Annual Review Committee will aim to have as diverse representation as possible.
- 15.3 The College Staff Annual Review Committee will meet and review the progress reports for probationers in years 1 and 2 of probation. They will decide on the feedback to be provided to the probationer, which may be:
- confirming that satisfactory progress is being made towards confirmation of appointment
  - details of the performance improvements or personal development required
  - a warning that unless improvements are made and/or personal development undertaken, confirmation of appointment will be in jeopardy.

In all cases where improvement is required, guidance must be provided, in writing and face-to-face by the Dean. The Dean has responsibility for ensuring that all relevant parties (probationer, academic line manager and mentor) are fully apprised of the feedback from the CSARC and the improvement required.

When considering the 3<sup>rd</sup> / final year reports, the College Staff Annual Review Committee will decide whether or not to:

- confirm the appointments for probationers in their third, final or extended year of probation
- extend probation by a maximum of one year for staff in their third year of probation. In all cases where the probationer has not met the criteria for confirmation of appointment the College Staff Annual Review Committee should consider the extension of probation by one year to allow further time for the probationer to meet the criteria.

- dismiss any probationary Lecturers, based on evidence gathered throughout probation; the Annual Review Pre-hearing and any further evidence collected. It is essential that there is a clear understanding of the probationer's situation to ensure their decision to dismiss is fair and can be justified.

## 16. The Annual Review Post-hearing

- 16.1 It is recognised that there may be exceptional cases where, despite a positive 3<sup>rd</sup> /final probationary report being submitted to the College Staff Annual Review Committee in respect of a probationer, where the probationer's academic line manager and the Dean both support confirmation of appointment, the recommendation is overturned by the collective decision of the College Staff Annual Review Committee. In those circumstances the probationer will not have had the benefit of an Annual Review Pre-hearing so the following procedure should be followed to ensure fair treatment.
- 16.2 The probationer must be given an opportunity for a panel to hear their case.
- 16.3 As the Dean has already provided a recommendation, they will be unable to chair the panel which hears the case to consider the probationer's dismissal.
- 16.4 In these circumstances, the Vice-Principal and Head of College will chair a hearing (the Annual Review Post-hearing) which will occur after the College Staff Annual Review Committee meeting to ensure the probationer is given a fair hearing.
- 16.5 The management case will be presented by a member of the College Staff Annual Review Committee who disagreed with the probationer's academic line manager's and Dean's recommendation.
- 16.6 The Dean and the probationer's academic line manager will be called as witnesses for the probationer. The probationer may cite other witnesses and management may also cite any witnesses they choose.
- 16.7 For the Annual Review Post-Hearing, committee panel members will comprise:
- Chair
    - The Vice-Principal and Head of College
  - An academic member of staff
    - i.e. A Senior Lecturer (Teaching & Scholarship) or (Teaching and Research) as appropriate, from another College.
  - A qualified member of HR
    - Who has not been involved in managing the case.
  - A notetaker
    - Who has not been involved in managing the case (this may be one of the panel members).
- The Annual Review Post-hearing Committee will aim to have as diverse representation as possible.
- 16.8 The probationer will have the right to state their case, respond to the points raised by the panel members of the Annual Review Post-hearing Committee or by the member of the College Staff Annual Review Committee. The probationer may provide any additional information and cross-question the person presenting the University case. The reverse applies to the University case brought by the member of the College Staff Annual Review Committee.
- 16.9 The probationer may be accompanied to the meeting by their trade union representative or a work colleague. The person representing the University may be accompanied by a work colleague associated with the case e.g. the College's HR Officer.
- 16.10 The panel may also:
- interview witnesses suggested by either party or receive written statements from them (to be available to the panel 5 days prior to the meeting)
  - interview any other person they believe would clarify any matter they are considering and/or request further information
  - adjourn to collect more evidence, if necessary.
- 16.11 The Annual Review Post-hearing Committee will decide, at its discretion, the order of proceedings regarding witnesses' evidence and procedural matters.

16.12 The probationer and their trade union representative or work colleague should make every effort to attend the meeting. If they are unable to attend, a date will be re-scheduled normally within 10 days of the original date. If the probationer continues to be unavailable to attend the meeting, the panel may decide to proceed with the meeting on the evidence available. Similarly, in the event that the member of the College Staff Annual Review Committee is not available for a prolonged period an alternative person should be substituted to present the management case.

16.13 Reasonable adjustments will be made to accommodate the needs of any person with a disability.

16.14 The output of the panel will be the decision that will be implemented. It will decide whether the probationer:

- should not be dismissed
- should be dismissed
- have their probation extended by a maximum of one year if this has not already occurred.

In the event that the panel recommends either that dismissal does not take place or that probation should be extended, the panel may decide to recommend any action, including development activities that they believe will positively address the situation.

## 17. Cases of Dismissal and Potential Dismissal

### 17.1 Annual Review Pre-hearings

17.1.1 The report of recommendation which is the output of the Annual Review Pre-hearing will be submitted by the panel to the College Staff Annual Review Committee and the Dean who has chaired the Annual Review Pre-hearing will be subject to questioning by the Chair (the Vice-Principal and Head of College), the other College Deans and the external to College representative to ensure they have a clear understanding of the situation. The College Staff Annual Review Committee will reach a collective decision based on all of the evidence as to whether, or not, the probationer will be dismissed.

### 17.2 Annual Review Post-hearing

17.2.1 The Annual Review Post-hearing Committee will hear the case and reach a collective decision based on all the evidence as to whether, or not, the probationer will be dismissed.

17.3 The onus is on the College Staff Annual Review Committee or the Annual Review Post-hearing Committee to show that that the probationer has not met the criteria of probation and this is the basis for the probationer's dismissal. The College Staff Annual Review Committee or the Annual Review Post-hearing Committee must have reasonable grounds for that belief and have taken reasonable steps to inform its conclusions.

17.4 The College Staff Annual Review Committee or the Annual Review Post-hearing Committee must satisfy themselves that other remedies short of dismissal have been considered.

17.5 A collective decision will be made by the College Staff Annual Review Committee or the Annual Review Post-hearing Committee as to whether the probationer will or will not be dismissed, as a last resort.

17.6 If dismissal is decided upon, the Vice-Principal and Head of College and the College's HR Officer will meet with the probationer (and their trade union representative or work colleague, if wished) to explain the reason(s) for the decision.

17.7 The Vice-Principal and Head of College will write to the probationer, communicating the outcome of the meeting as quickly as possible, and in any case within 7 days following the decision to dismiss. The letter will detail notice arrangements and the right of appeal.

## 18. Notice

18.1 Where dismissal occurs as an outcome of probation, contractual notice will apply.

## 19. Appeals against Non-confirmation of Appointment/Dismissal

19.1 In the event that a decision is made to dismiss, the probationer will have the right of appeal.

19.2 Probationary academic staff i.e. Lecturers (Teaching & Scholarship); Lecturers (Teaching and Research) will have their appeal heard by a panel comprising at least 2 members:

- An external solicitor (Convener)
  - A member of academic staff, appointed by Senate, and
  - A further person, (independent of the case) may be co-opted if specific expertise is required. This person will be agreed by both parties.
- 19.3 The probationer has the right to be represented by a trade union representative or a work colleague throughout the appeal process.
- 19.4 If the probationer intends to appeal, the University Secretary should be notified of their intention within 10 days of receipt of the letter of dismissal, unless in exceptional circumstances such as serious illness or bereavement when a delay can be agreed.
- 19.5 On receipt of the probationer's intention to appeal, the University Secretary will arrange an Appeal Committee (see 19.2).
- 19.6 The appeal will normally be heard by the Appeal Committee within 5 weeks of the intention to appeal being lodged with the University Secretary.
- 19.7 Both the University representative (Chair of the College Staff Annual Review Committee or Chair of the Annual Review Post-hearing Committee) and the appellant will submit to the University Secretary a written statement of their case and names of witnesses they have arranged to call no later than 5 working days prior to the date of the Appeal Hearing.
- 19.8 The statements of cases and names of witnesses from both the University representative and the appellant will be copied to the other party and both cases and sets of witnesses' names will be passed to the members of the Appeal Committee prior to the Appeal Hearing.
- 19.9 At the Appeal Hearing the appellant and/or appellant's representative will be invited to present their case first, followed by the University's management representative(s). The Appeal Committee members may ask questions of either or both parties and both parties will have the opportunity to cross-question the other. The Appeal Committee will decide, at its discretion, the order of proceedings regarding witnesses' evidence and procedural matters.
- 19.10 The Appeal Committee's decision will normally be communicated to the appellant within 7 working days of the Appeal Hearing.
- 19.11 The decision of the Appeal Committee is final and there is no further internal right of appeal.

## **20. Documentation**

- 20.1 The Academic Probationary documentation (Appendix 1) will be used in all cases commencing with FORM 1 (T&S) or (T&R) as appropriate, and FORM 2 at the probationer's induction.

## **21. Annual Timetable of Events**

- 21.1 As all academic probationers must benefit from 3 years' probation, it will be necessary for the College Staff Annual Review Committee to meet three times per year: in January/February, May/June and October/November to consider academic probationers' Annual Probationary Review Progress Reports and confirmations of appointments as close to the 3 year anniversary of the probationer's appointment as possible (see Appendix 4 – Flowchart).
- 21.2 The composition of the College Staff Annual Review Committee for considering probationers' progress reports and confirmations of appointment will be as stated in section 15.
- 21.3 The College Staff Annual Review Committee held in May/June will consider promotions and Contribution Points also.

### Objective-setting at the Probationer's Induction

As part of the probationer's induction process arranged by the academic line manager their first year's objectives including evaluative objectives should be recorded, using FORM 1 and FORM 2 for training and development activities (see section 6).

The probationer's objectives and training and development plan will be agreed within 2 months' of the probationer's date of appointment,

The probationer will undertake the University's Equality and Diversity e-learning module and register for Module 1 (Facilitating Learning), Pg CertTHE or medical equivalent, to commence as early as possible in year 1 of probation (see Appendix 3).

November/December; February/March; July/August: Annual Review Pre-hearings

Where the probationer's academic line manager, believes that a probationer's appointment should not be confirmed and consideration given to the probationer's dismissal, they should follow the guidance in sections 12 and 13.

December; March; August: Preparation

The probationary lecturer will reflect on their progress, complete FORM 6 and submit the form, together with an up-to-date CV and any other evidence/documents agreed at the previous probationary meeting/s to the Dean by the 1<sup>st</sup> of the month.

The probationer's academic line manager will finalise the interim meetings they have conducted throughout the year with the probationer, complete FORM 3, and prepare the Annual Probationary Review Progress Report in draft (FORM 4) of the Objective-setting and Review document.

The probationer's academic line manager, will request input from the probationer's mentor through completion of FORM 5.

The probationer's academic line manager will provide a copy of all documents to the probationer.

The probationer's academic line manager will arrange a meeting with the probationer to discuss the content of the reports and the probationer will have the opportunity to comment, which may or may not result in changes to the draft report (FORM 4) being made. The probationary lecturer will also have the opportunity to make formal comments on the reports (FORM 1, 3, 4 & 5) and will be asked to sign the documents to finalise them. The forms will then be passed to the Dean for signature.

The probationary lecturer will be provided with a copy of the full set of the Annual Review documentation (FORMS 1-5).

For each probationer, the full set of Annual Review documents (FORMS 1-5) will be provided to the College's HR Officer/s for the College Staff Annual Review Committee.

Following completion of the previous year's objective setting and review documentation, fresh objectives should be agreed immediately (see section 6) in accordance with the Academic Probationary Process (or in accordance with the University's Objective-setting and Review (OSaR), for staff who are being considered for confirmation of appointment).

Early January; May; October: Documents to Human Resources

To enable the administration for the Committee to be undertaken, the completed and signed sets of probationary documentation for each probationer should be passed to the College's HR Officer at least 3 weeks prior to the date of the Committee meeting.

January/February; May/June; October/November

The College Staff Annual Review Committee sits.

Academic probationers will be advised, in writing, of the Committee's comments on their progress against the Criteria for Completion of Academic Probation. Those probationers in their 3<sup>rd</sup>/extended/final year of probation will be advised, in writing, whether or not their appointment has been confirmed.

If there are issues to address these will be stated in the written communication and a follow-up meeting with the Dean will be arranged as quickly as possible for constructive guidance to be given to the probationer. The meeting should be summarised and a copy of the notes provided to the probationer.

**22. Quality and Consistency**

22.1 In order to ensure the consistency of reports across Colleges, each Vice-Principal and Head of College should send a sample of three Annual Probationary Review Progress Reports to a senior member of academic staff, allocated to the task by the Senior Management Team, who will consider the quality and consistency of the reports across the University and implement any necessary action, if necessary.

22.2 An Equality Impact Evaluation will be undertaken for the outcome of probation after each College Staff Annual Review Committee.

**23. Policy Review**

23.1 The policy will be reviewed at 4 year intervals to assess its fitness for purpose.

## Annex A Appendix 1 Form 1

## UNIVERSITY OF DUNDEE

## OBJECTIVE-SETTING AND REVIEW PLAN FOR PROBATIONARY LECTURERS

## OBJECTIVE-SETTING

<b>Name</b>		<b>School</b>	
<b>Date of Objective-setting</b>		<b>Meeting with</b>	
<b>Objectives for period from</b>		<b>to</b>	
<b>Probation Year</b>	<b>1 2 3 4</b>	<b>Probation ends</b>	

- Complete relevant sections for either Lecturer (Teaching and Scholarship) or Lecturer (Teaching and Research). All other sections should be completed.
- Under each heading state the objective, how the success will be measured and the date by which the objective should be achieved.

1. **TEACHING**
2. **SCHOLARSHIP**

<b>Proportion of Probationer's time agreed to be allocated to scholarship</b>	<b>%FTE</b>
---	-------------
3. **RESEARCH**

<b>Proportion of Probationer's time agreed to be allocated to research</b>	<b>%FTE</b>
--	-------------
4. **CONTRIBUTION TO SCHOOL AND UNIVERSITY**
5. **PROFESSIONAL AND PERSONAL DEVELOPMENT**

<b>Academic Line Manager's Signature</b>	<b>Date</b>
<b>Dean's Signature</b>	<b>Date</b>
<b>Vice-Principal and Head of College's Signature</b>	<b>Date</b>
<b>Probationary Lecturer's Signature</b>	<b>Date</b>

## Annex A Appendix 1 Form 2

## UNIVERSITY OF DUNDEE

## OBJECTIVE-SETTING AND REVIEW PLAN FOR PROBATIONARY LECTURERS

## TRAINING AND DEVELOPMENT

<b>Name</b>		<b>School</b>
<b>Date of Objective-setting</b>		<b>Meeting with</b>
<b>Training and development for the period from</b>		<b>to</b>
<b>Probation Year</b>	<b>1 2 3 4</b>	<b>Probation ends</b>

- Detail the probationary Lecturer's training and development activities and the date by which they will be undertaken.

## TRAINING AND DEVELOPMENT

- Completion of the University's Equality and Diversity modules
- Module 1 (Facilitating Learning) Pg Cert THE or medical equivalent
- Formal Training Courses
- Other Training and Development Activities

Academic Line Manager's Signature

Dean's Signature

Vice-Principal and Head of College's Signature

Probationary Lecturer's Signature

Date

Date

Date

Date

## Annex A Appendix 1 Form 3

**UNIVERSITY OF DUNDEE**  
**OBJECTIVE-SETTING AND REVIEW PLAN FOR PROBATIONARY LECTURERS**  
**INTERIM MEETINGS WITH ACADEMIC LINE MANAGER**

<b>Name</b>		<b>School</b>
<b>Objectives for period from</b>		<b>to</b>
<b>Probation Year</b>	<b>1 2 3 4</b>	<b>Probation ends</b>

<b>DATE OF MEETING (1)</b>		<b>MEETING WITH</b>
Summary of content of meeting by Academic Line Manager:		

Probationary Lecturer's comments:

<b>DATE OF MEETING (2)</b>		<b>MEETING WITH</b>
Summary of content of meeting by Academic Line Manager:		

Probationary Lecturer's comments:

<b>DATE OF MEETING (3)</b>		<b>MEETING WITH</b>
Summary of content of meeting by Academic Line Manager:		

Probationary Lecturer's comments:

**Academic Line Manager's Signature**  
**Probationary Lecturer's Signature**

**Date**  
**Date**

**UNIVERSITY OF DUNDEE**  
**OBJECTIVE-SETTING AND REVIEW PLAN FOR PROBATIONARY LECTURERS**  
**ANNUAL PROBATIONARY REVIEW PROGRESS REPORT**

<b>Name</b>		<b>School</b>
<b>Objectives for period from</b>		<b>to</b>
<b>Probation Year</b>	<b>1 2 3 4</b>	<b>Probation ends</b>

**1. CURRICULUM VITAE**

CV attached YES/NO

- If No, what are the arrangements for submitting the CV?

**2. TRAINING AND DEVELOPMENT**

- a. The Academic Line Manager should provide details of the training and development undertaken by the probationary Lecturer during the period, with reference to the Training and Development plan (FORM 2), and explain how this has supported their academic activities.
- b. The Academic Line Manager should indicate progress made with Module 1 (Facilitating Learning) of the Pg CertTHE or medical equivalent and completion of the University's Equality and Diversity modules.

**3. REVIEW OF OBJECTIVES**

- a. The Academic Line Manager should comment fully on the probationary Lecturer's progress made against each objective, noting achievements, successes, barriers to success and shortfalls in order to give fair, balanced and true depiction of the probationary Lecturer's overall performance, with particular reference to the Criteria for Completion of Academic Probation (Appendix 2), appropriate to either their Teaching and Scholarship or Teaching and Research role.

**Teaching:**

**Scholarship:**

**Research:**

**Contribution to School and University:**

**Personal and Professional Development:**

**4. DEVELOPMENT NEEDS**

The Academic Line Manager should indicate the areas of development from which the probationary Lecturer would benefit, in the forthcoming period of probation.

**5. MENTORING AND SUPPORT**

- a. The Academic Line Manager should indicate any areas of specific support to be provided in the forthcoming year and state reasons.
- b. Consideration should be given to whether the probationary Lecturer should continue with their present mentor or whether the mentor should be changed. The Academic Line Manager should comment.

**6. DEAN'S OVERALL SUMMARY OF PROBATIONARY LECTURER'S PERFORMANCE**

- a. The Dean should provide a holistic summary of the probationary Lecturer's performance highlighting any relevant points.
- b. Against the Criteria for Completion of Academic Probation (Appendix 2), the probationary Lecturer is:
  - On track/making expected progress YES/NO
  - Making exceptional progress YES/NO
  - Cause for concern YES/NO

Comments:

**7. FINAL REPORT**

On the final report (Year 3, final or extended year), the Dean should make a clear recommendation on the successful completion, or not, of probation. If not recommending confirmation of appointment the Dean should attach the Annual Review Pre-hearing recommendation.

- Confirm appointment YES/NO
- Recommend against appointment
  - Annual Review Pre-hearing recommendation attached YES/NO

**8. PROBATIONARY LECTURER'S COMMENTS****9. COPY OF THE PROBATIONARY DOCUMENTATION HAS BEEN PROVIDED TO PROBATIONARY LECTURER (see section 21)**

YES/NO

- If No, please explain

Academic Line Manager's Signature

Date

Probationary Lecturer's Signature

Date

Dean's Signature

Date

Vice-Principal and Head of College's Signature

Date

## UNIVERSITY OF DUNDEE

## OBJECTIVE-SETTING AND REVIEW PLAN FOR PROBATIONARY LECTURERS

## MENTOR'S REPORT

<b>Name</b>		<b>School</b>
<b>Date of Objective-setting</b>		<b>Mentor's Name</b>
<b>Probation Year</b>	<b>1 2 3 4</b>	<b>Probation ends</b>

**1. RECORD OF MEETINGS**

As meetings between the probationary Lecturer and their Mentor are private the Mentor should record only the dates of the three formal meetings.

- 1)
- 2)
- 3)

**2. MENTOR'S COMMENTS**

The Mentor should indicate their perspective of the probationary Lecturer's progress at this stage of probation.

**3. PROBATIONARY LECTURER'S COMMENTS**

The probationary Lecturer may comment on the value of the mentoring process and raise any matter in relation to their mentoring.

**Mentor's Signature**  
**Probationary Lecturer's Signature**

**Date**  
**Date**



## UNIVERSITY OF DUNDEE

### Criteria for Completion of Academic Probation

#### INTRODUCTION

**This document should be read in conjunction with the University's Annual Review Procedure for Probationary Lecturers (Teaching & Scholarship) and (Teaching & Research).**

As part of the probationary objective-setting process the Probationer, with their Academic Line Manager and Dean, will agree the Probationer's objectives, and training and development plan.

The following framework for considering academic Probationers' confirmation of appointment seeks to outline the level of performance expected (recognising the need for inflection according to disciplinary norms).

The 3 year academic probationary period aims to ensure probationary objectives are tailored to individual needs and disciplinary norms, around the over-arching expectation of excellence in teaching and research. Newly appointed academic staff will be equipped with the knowledge, understanding, skills and attributes necessary to be a fully functioning and contributing academic on confirmation of appointment.

A Probationer is expected to achieve all the relevant criteria set out below by the point at which their confirmation of appointment is being considered (i.e. at the Annual Review Committee) and must be able to demonstrate or evidence the components of assessment detailed in this document. At the same time the Probationer's Academic Line Manager and Dean of School have responsibility for ensuring that the Probationer's plans and workload allocation are such as to ensure that the Probationer has every opportunity to fulfil the criteria and have their appointment confirmed.

In assessing whether the Probationer has achieved all the relevant criteria, due account will be taken of any personal circumstances which may have impacted on the Probationer during their probation period, or any protected characteristics.

#### OUTCOMES OF PROBATION

By the Annual Review Committee preceding the end of probation, the Probationer will be able to:

1. Demonstrate skills and competence in the full range of teaching and assessment activities required of a Lecturer at the University of Dundee.
2. Evidence knowledge and understanding of scholarship activities and the impact these have had on the Probationer's teaching throughout the probationary period.
3. Evidence positive and collegial contribution made to the School's cultural and administrative/management activities, and to the delivery of the University's strategies as appropriate.
4. Evidence the personal and professional development undertaken and the learning benefits.

Information on the methods of demonstrating these outcomes are detailed below.

Probationers on Teaching & Research contracts will in addition be able to:

- Demonstrate the ability to carry out a programme of research leading to high quality (3\* or 4\* according to REF definitions) research outputs and grant-getting required of a Lecturer at the University of Dundee.
- Demonstrate the ability to undertake research in collaboration with others.
- Evidence contribution to the discipline at an international level.
- Evidence public engagement activities.

#### CRITERIA FOR SUCCESSFUL COMPLETION OF PROBATION

(N.B. All sections apply to Probationers on Teaching & Scholarship and Teaching & Research contracts, unless indicated otherwise)

## Teaching

The Probationer will be able to demonstrate evidence of:

- Successful completion of a profile of teaching and assessment normally at various levels in a variety of formats appropriate to the discipline (e.g. 1:1 tuition or supervision, lecturing to large groups, seminars and workshops, distance learning, studio, laboratory or clinically based teaching and assessment);
- Excellent feedback on teaching, assessment and module administration by peer review of colleagues, external examiners and by students through evaluation questionnaires;
- Successfully developing or incorporating own sub-specialism into a taught programme, and contributing to curriculum planning and development;
- Implementing, teaching and managing at least one module in discipline to a high standard;
- Adherence to all quality assurance procedures and demonstration of a commitment to enhancement of student learning and the wider student experience;
- Contributing effectively to student support, including dealing timeously with questions and communications from students;
- The impact self-reflection and training has had on improving pedagogy and the organisation and management of teaching over the probationary period.

## Scholarship (for Probationers on **Teaching & Scholarship** contracts only)

The Probationer will be able to demonstrate evidence of:

- A coherent and focused profile of relevant pedagogic or professional enquiry appropriate to the discipline and the requirements of their School, and showing potential to develop as a recognised specialist independently or while contributing as a member of a team.
- How this has underpinned and shaped the design and delivery of teaching.
- Productive engagement with external bodies (e.g. subject associations, professional and statutory bodies, the Higher Education Academy, the wider discipline) with demonstrable benefits for own scholarly development, teaching, personal standing in the profession, and reputation of the University.

The proportion of the Probationer's time allocated for scholarship should be agreed with the line manager as part of the objective-setting process and be clearly indicated on Form 1.

## Research (for Probationers on **Teaching & Research** contracts only)

- a. Evidence of outputs (individual or collaborative) for publication/peer-review which meet the following thresholds of quality and volume:
  - Some research outputs rated at least at 3\* by peer review. (This peer review process will be rigorous and involve judgments by more than one individual, with the process overseen by the School or College Director of Research.)
  - Research outputs to be in high quality international fora, i.e. publications, conferences, venues – as appropriate to the REF criteria of the discipline.
  - The quality of outputs will take precedence over the quantity a Probationer is expected to achieve; however these outputs should appear during probation, with further research carried out during probation that leads or should lead to 3\* outputs at least. In the case of collaborative outputs, the proportion and significance of the individual contribution of the Probationer must be evidenced. Reference should be made to citation indices where available and if appropriate to the discipline.
  - A Probationer will be expected to publish peer-reviewed outputs in high quality international fora – as appropriate to REF criteria of the discipline, and should have at least sufficient quantity of outputs prior to completion of probation to be on track to make a full REF submission appropriate to career stage.
  - As part of the probationary objective-setting process, the Probationer and their Academic Line Manager, in consultation with the Dean, will agree the Probationer's research output strategy and the publication outlets (or other means of peer-reviewed dissemination in the case of atypical outputs).
- b. In relation to research grant funding:
  - Evidence of having written and submitted (as PI, or joint PI with major input) a significant research grant application to a research council or the EU (eg. FP7, Horizon, 2020, ERC) or other funding body with relevance to the discipline (e.g. Leverhulme, Wellcome Trust or major charities) and gained

positive feedback from all the referees, prior to the end of probation. If the grant is not successful in being funded it should only be because of a lack of available funding rather than because the application falls short on quality. Particular attention will be paid to the feedback from the external funding body in assessing whether the grant application has reached the required quality threshold. Research grant application values should be at least at levels associated with disciplinary norms.

- Obtain some research funding (at least, for example, a small grant for the funding of travel associated with research).
- c. In relation to research student supervision:
- Have begun to supervise research students as part of a supervisory team.
- d. In relation to building external reputation and impact:
- Evidence of presenting papers at a minimum of 2 conferences / seminars exhibitions / workshops of international standing, where possible funded by a conference grant.
  - Evidence of contribution to external activity in the discipline (e.g. refereeing papers, engagement in a research network)
  - Demonstrate engagement in public outreach or business / industry collaboration by outlining achievements to date in disseminating work (e.g. public engagement contributions; contributions to adult education; radio; television; adoption of an idea or contesting accepted thinking)

The proportion of the Probationer's time allocated for research should be agreed with the line manager as part of the objective-setting process and be clearly indicated on Form 1.

### **Contribution to School and University**

The Probationer will be able to demonstrate evidence of:

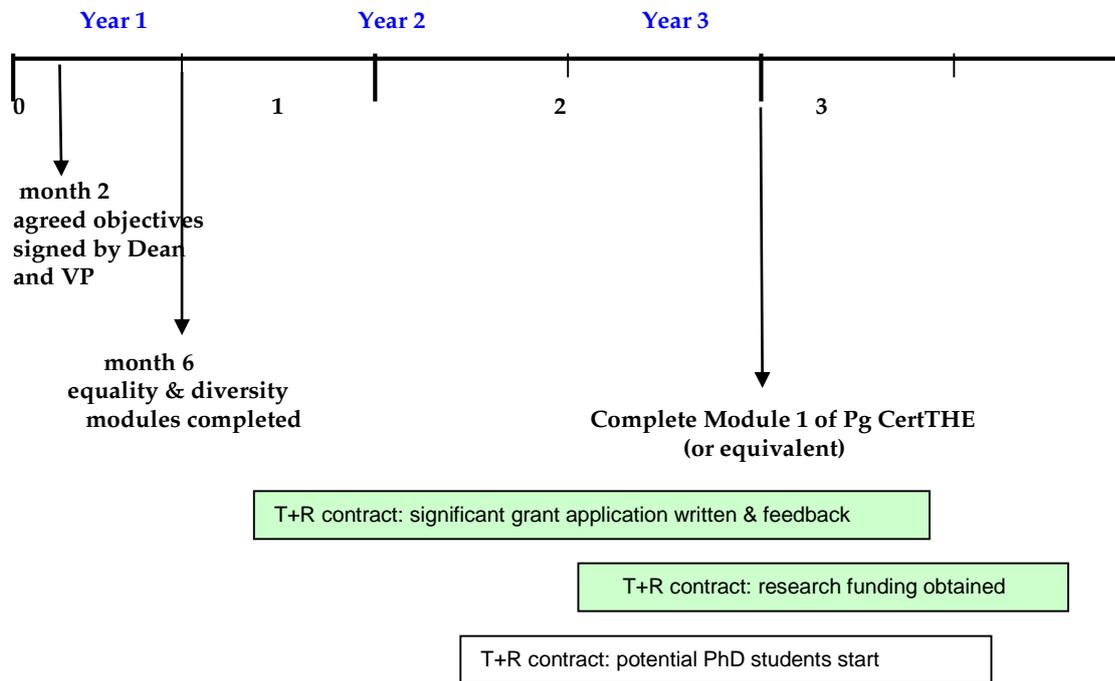
- Positive and engaged contribution to School activities (e.g. health and safety; student support; disability support; library liaison, building external links) and committees, demonstrating collegiality and collaboration.
- Development of activities which contribute to the delivery of one or more of the University's cross-cutting strategies (Wider Impact; Internationalisation; Employability, Enterprise and Entrepreneurship) as appropriate according to School business needs and own skills and expertise.

### **Personal and Professional Development**

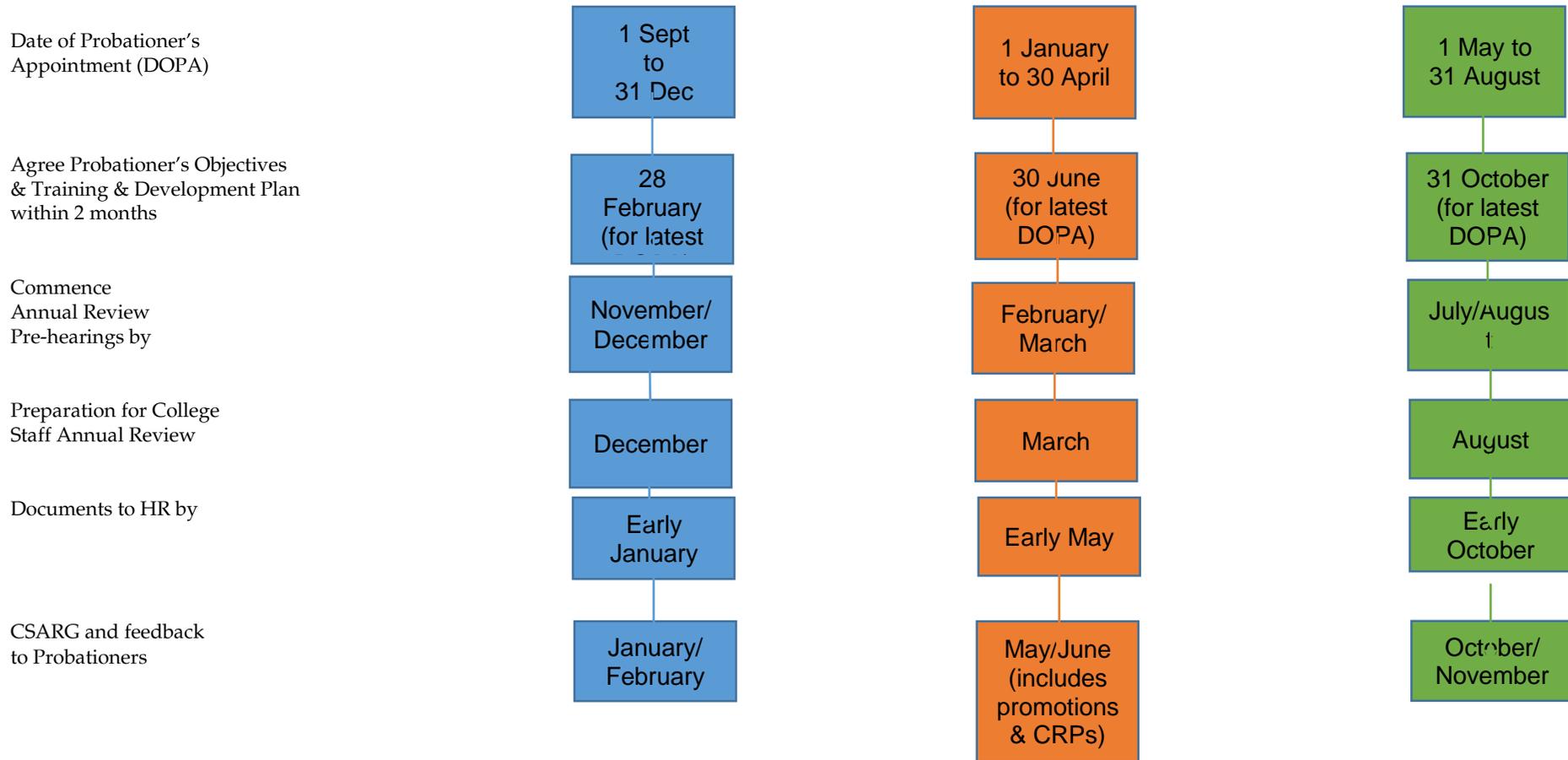
The Probationer will be able to demonstrate evidence of:

- Undertaking such training and development as discussed and agreed with the Academic Line Manager and approved by the Dean of School and Head of College.
- Actively engaging with their Academic Line Manager, Mentor, colleagues and other resources available to the Probationer to acquire the skills and knowledge necessary to contribute to the School as an established academic.
- Completion of Module 1 (Facilitating Learning) of Pg CertTHE (or medical equivalent).
- Completion of required on-line Equality and Diversity training, which will include:
  - Diversity in the Workplace
  - Disability
  - Diversity in Learning & Teaching
  - Stress in the Workplace
  - A Manager's Guide to Stress
- Undertaking professional CPD in discipline, where relevant.
- Progress towards membership of a relevant professional institution, where applicable.
- An awareness of University governance, structures, strategies, policies and procedures.

Timetable of the Probationary Period



**ANNUAL REVIEW PROCEDURE FOR PROBATIONARY LECTURERS  
FLOWCHART – ANNUAL TIMETABLE OF EVENTS (See Section 21)**



Probationer-focussed Introduction to Academic Probation

Congratulations on joining us at the University of Dundee as a Probationary Lecturer.

One of our values is 'Valuing People' and we want to tell you what this means for you.

We will do everything we can to help you get the most out of your probationary period. During induction in your School you will be allocated an Academic Line Manager and Mentor by your Dean. Your Academic Line Manager will be have responsibility for you on a day-to-day basis for work matters and your Mentor is the person you can speak to privately, use as a sounding board and who will act as your 'critical friend' when you want to try out new ideas. You will have three meetings planned into your annual schedule with each and they will be on hand to provide you with any help you might need.

During your first two months with us you will agree your objectives for the first year. These will be based our Criteria for Completion of Academic Probation and tailored for you based on the stage of probation you are at and your discipline. The objectives will be stretching as we need to ensure you have an opportunity to demonstrate all the requirements of probation during the three year period and are on a trajectory towards Excellence, which is another of our values. To support you during this time your Dean will ensure your allocation of duties is adjusted and you will be allowed time to complete the 'Facilitating Learning' module of the PgCertTHE.

Each year your progress will be discussed with you and reported to a committee which will include your Dean and Vice-Principal and Head of College. They will provide you with feedback and discuss with you plans and your objectives for your next probationary year.

In this way you will be able to demonstrate your abilities along the way towards meeting the Probationary Criteria and so being successful in having your appointment confirmed at the end of three years.

We are delighted to have you on board and wish you a happy and productive career here at the University of Dundee.

Full details of the Academic Probationary Procedure and the Criteria for Completion of Academic Probation can be found at [\(link\)](#)

## UNIVERSITY OF DUNDEE

## OBJECTIVE-SETTING AND REVIEW FOR STAFF

Contents

1. Transformation – A New Vision for our University
2. ‘The Big Picture’
3. Your Own School’s or Directorate’s Strategy and Operating Plan
4. How Objective-setting and Review (OSaR) fits in
5. The Purpose of OSaR
6. The Principles of the OSaR Meeting
7. Roles and Responsibilities
8. Workload Allocation
9. Outstanding Performance and Poor Performance
10. Confidentiality
11. Timetable
12. Dispute Resolution
13. OSaR forms (available from <http://www.dundee.ac.uk/academic/court/com/agenda/201314/2014Feb.htm>)

**1. TRANSFORMATION – A NEW VISION FOR OUR UNIVERSITY**

Our 25 year vision, developed in 2012, is an ambitious and challenging one. We are in the process of transformation as we work towards our aim of becoming Scotland’s leading University, celebrated internationally for the quality of our graduates and the impact of our research. Our purpose is to transform lives, working locally and globally through the creation, sharing and application of knowledge.

Our actions and decisions are shaped by our core values: Valuing People; Working Together; Integrity; Making a Difference and Excellence.

At this University, we pride ourselves on the excellence of our research, teaching and scholarship and impact. Excellence is absolutely fundamental to everything we do.

To achieve excellence we must unlock the full creative and productive capacity of our staff. Our teachers and researchers, and those who support them, represent our principal resources. It is our joint responsibility to manage these resources diligently and to create a stimulating, rewarding and productive environment.

Communication and delivery is key to the University achieving its short and medium-term goals and attaining its vision of being Scotland’s leading University.

Our people need to understand the University’s overall aims and their School’s or Directorate’s strategy and plans that will support the achievement of these aims. We need to understand how our role fits in to these strategies and plans and how we can make a difference individually by our personal contribution.

The framework we use to communicate strategies and plans and to discuss how individuals will contribute is the University’s Objective-setting and Review (OSaR) process. It is intentionally designed so that paperwork is kept to a minimum and the purpose of the document that does need to be completed at various stages facilitates high quality discussions about the Reviewee’s work and objectives, and allows the salient points of the discussion to be recorded. In this way, the process enables past achievements to be assessed and the future objectives that support the School’s or Directorate’s strategy and plans to be discussed clearly and openly, in pursuance of excellence.

The OSaR process is applicable to all staff: teaching, research, professional and support staff, with the exception of manual staff without supervisory responsibilities. The generic form includes headings which may be used for academic and research staff, where appropriate.

The process should identify personal development needs to enable the Reviewee to be even more effective in their role and to discuss how these needs will be met. Resources are available to help people capitalise on their potential by identifying their personal training and development needs and the sources of help the University offers to enhance their capabilities.

Staff on academic probation will be expected only to undertake the relevant probationary process. The OSaR process will be used as a means of assessing progress and performance during all other staff probation.

The University commits to applying the principles of fairness and reasonableness to the OSaR process.

## 2. 'THE BIG PICTURE'

In order to know how each one of us can contribute individually to the University's success it is essential that we understand 'the big picture'.

### 2.1 Our Vision

The University's core purpose is the **transformation of lives**, working locally and globally through the creation, sharing and application of knowledge. We will mobilise our efforts and focus our energies on three big challenges facing society:

- Promoting the sustainable use of global resources.
- Shaping the future through innovative design.
- Improving social, cultural and physical well-being.

### 2.2 Our 5 Core Values

Our 5 core values that underpin everything we do are:

- Valuing People
- Working Together
- Integrity
- Making a Difference
- Excellence.

### 2.3 Our Aim

In 25 years we intend to become Scotland's leading University.

### 2.4 The University Strategy to 2017

The University Strategy to 2017 comprises nine sections which consider the various challenges and opportunities facing the University. The strategy addresses the three broad categories of service (1-3) we provide, two cross-cutting themes (4&5) which we judge to be of critical importance during the next planning period and four enabling themes (6-9) which represent the resources we apply to achieve our aims.

1. Learning and Teaching
2. Research
3. Wider impact
4. Internationalisation
5. Employability, Enterprise and Entrepreneurship
6. People
7. Information
8. Estate
9. Financial Sustainability.

The nine sections make clear what is required across generic themes and complement the three global challenges set out in Our Vision.

Read the full University Strategy at:

[http://www.dundee.ac.uk/transform/lib/doc/20130312\\_University\\_Strategy\\_to\\_2017.pdf](http://www.dundee.ac.uk/transform/lib/doc/20130312_University_Strategy_to_2017.pdf)

## 3. YOUR OWN SCHOOL'S OR DIRECTORATE'S STRATEGY AND OPERATING PLAN

As well as understanding the University's mission, vision, aim and strategy, you should also be familiar with your own School's or Directorate's Strategy and annual Operating Plan. The Strategy will set out the University's aims over the medium-term (generally 5-6 years) and the annual Operating Plan will detail the action plan for the School or Directorate over the coming year.

Your Dean or Director will summarise your School's or Directorate's priorities for the coming year and this will appear on the OSaR form used in your School or Directorate. Your School/Directorate Secretary will notify you where the local OSaR form can be obtained.

Your Dean or Director will also provide the link to School's or Directorate's Strategy and Operating Plan on the School or Directorate's OSaR form.

#### **4. HOW OBJECTIVE-SETTING AND REVIEW (OSaR) FITS IN**

The OSaR meeting between you and your Reviewer will enable you to discuss and understand the University's and your School's or Directorate's Strategy and plans and how you can contribute to these.

You are in the best position to put forward your thoughts about how you can make a difference in the work that you plan to do over the coming period. By discussing this with your Reviewer, together you will develop your objectives that will support your School's or Directorate's objectives and ultimately the University's achievements.

You will also discuss your development with your Reviewer. Training and development in certain areas may be essential to keep abreast of the demands of your job and opportunities for expanding and improving your skills in a broader sense may open up possibilities for the future and your own career development.

#### **5. THE PURPOSE OF OSaR**

The purpose of OSaR is to:

- Ensure you have an understanding of the University's Vision and Transformation Agenda and your School's or Directorate's strategy.
- Understand how your contribution fits into the 'big picture'.
- Maximise your personal contribution through a high-quality dialogue with your Reviewer.
- To review your achievements over the previous period.
- To agree your objectives, measures and target dates for achievements over the current period.
- To recognise your successes and challenges, including having the opportunity to discuss factors that may be obstructing your performance or achievement of objectives.
- To agree any training and development activities to support your achievement of the objectives over the current period and, ideally, to support your career aspirations.

#### **6. THE PRINCIPLES OF THE OSaR MEETING**

- The objective-setting and review meeting should be entered into by both your and the Reviewer in the spirit of reasonableness and co-operation, with the aim of reaching agreement.
- The normal expectation is that, wherever possible, the objective setting and review meeting will involve you and your immediate Line Manager or a Reviewer agreed by the Dean or Director. In large units where the obvious Reviewer is unable to be involved in all meetings, the Dean or Director will decide the appropriate persons to conduct the OSaR meetings.
- Following completion of the process, the Reviewer will copy the finalised OSaR form (except for Parts 4 & 5 which will be completed the following year) to you and to the Dean or Director for information. If your comments disagree to any extent with the Reviewer's assessment of your performance, you will have an opportunity to meet and discuss the Reviewer's comments with the Dean or Director.
- Deans will ensure the Vice-Principal and Head of College has access to all completed and signed OSaR forms as required. Directors will similarly provide access to the OSaR forms to the University Secretary.
- The documents will be filed in a confidential storage system within the School or Directorate. There is no need for the OSaR form to be sent to Human Resources. The only requirement in this respect is for the Reviewer to copy your agreed training and development activities for the forthcoming year to Organisational & Professional Development for training needs analysis purposes.

- Normally, the frequency of the meetings will be agreed between the Reviewer and you. The University requires, as a minimum, at least one OSaR meeting to take place annually but more frequent OSaR meetings are desirable and can be arranged. The next OSaR meeting should be diarised by both the Reviewer and you as a firm commitment.
- Where there are instances of poor performance which is being dealt with informally and an individual's performance merits increased frequency of OSaR meetings, this should be arranged.
- Where a member of staff is receiving support under the informal Capability Procedure, meetings will occur as frequently as considered necessary.
- Manual staff, not in supervisory roles, who operate to specified and understood standards in their roles will not have annual OSaR meetings but Deans and Directors should ensure that they are aware of the University vision, values and aims.

For support staff who undertake routine roles where annual objective-setting is not appropriate, an annual OSaR meeting should take place allowing the quality standards of work expected to be confirmed or restated.

## 7. ROLES AND RESPONSIBILITIES

- Vice-Principals and Heads of College and the University Secretary are expected to:
  - communicate the University's and College's or Student and Academic Services' strategy and plans.
  - agree objectives with their direct reports.
  - have access to their members of their staff's objectives to take an overview of the quality of the objectives to ensure that standards of excellence and consistency are being met and to provide any necessary feedback to the Dean or Director.
  - consider prospective promotions and contribution points and ensure action is taken to advance meritorious cases.
  - intervene, as necessary, when an individual's performance merits increased frequency of OSaR meetings or transfer to the Capability Procedure.
- Deans and Directors are expected to:
  - communicate and cascade the School's or Directorate's strategy and plans.
  - prepare the local OSaR form by inserting the Dean's or Director's summary of the School's or Directorate's priorities and provide the link to the School/Directorate strategy and operating plan to be available for 1 October each year.
  - agree objectives with their direct reports.
  - approve appropriate Reviewers, where necessary.
  - communicate an understanding of excellent performance within the School or Directorate, taking account of the career stage, experience, discipline and opportunities to make a contribution.
  - ensure they are fully apprised of the content of OSaR meetings which they have delegated to senior colleagues.
  - provide the Vice-Principal and Head of College or the University Secretary with access to completed OSaR forms.
  - advance prospective meritorious cases for promotions and contribution points to the Vice-Principal and Head of College or University Secretary.
  - discuss cases of poor performance with the Vice-Principal and Head of College or University Secretary and recommend an action plan.
- Reviewers are expected to:
  - understand the School's or Directorate's plans.
  - interpret the School's or Directorate's strategy and plans for the Reviewee, where necessary.
  - agree SMART objectives with the Reviewee, taking account of their career stage, experience, discipline and opportunities to make a contribution.
  - agree with their Reviewee which colleagues need to be advised about any or all of the Reviewee's objectives.
  - liaise with the Dean, Director or other budget holder to ascertain whether any identified need for training or development can be funded.
  - apprise the Dean or Director of the content of OSaR meetings that have been delegated to them.

- revisit the objectives at an interim meeting where changes to the Reviewee's objectives occur during the year.
  - apply flexibility when reviewing achievements, taking due consideration of changed circumstances, circumstances outside a Reviewee's control and opportunities taken that have impacted upon the achievement of objectives in the previous period.
  - highlight meritorious cases for promotions and contribution points the Dean or Director.
  - highlight cases of poor performance to the Dean and the way in which it is being addressed.
- Reviewees are expected to:
    - understand your own and your team's contribution and how these fit with your School's or Directorate's plans.
    - agree your own objectives that contribute to your team's, School's or Directorate's objectives.
    - agree with your Reviewer which colleagues need to be apprised of any or all of your objectives.
  - Director of Human Resources and Organisational Development is expected to:
    - provide a sample of OSaR forms from across the University to SMT to allow them to comment on the quality of the objectives. Reviewers and Reviewees will be notified if their objectives are to be sampled.
  - SMT
    - Annually, to consider the overall University quality and standard of OSaR objectives and intervene and/or provide guidance as necessary.

## 8. WORKLOAD ALLOCATION

- Deans and Directors are responsible for ensuring a fair and equitable workload allocation within their School or Directorate. They need to ensure that staff with line management responsibility maintain an awareness of workloads within their teams, taking account of the cyclical nature of the work, to ensure that no one person is overburdened. Where it is not possible for the immediate line manager to resolve the issue of problematic workload allocation the matter should be escalated, ultimately to the Dean or Director for resolution.
- Where staff are finding it impossible to carry out the duties allocated to them, they are encouraged to raise the matter with their line manager who will seek to resolve the situation prior to referring to a higher authority.

## 9. OUTSTANDING PERFORMANCE AND POOR PERFORMANCE

- The OSaR meeting is an opportunity to recognise the contribution made by Reviewees. Where performance has been outstanding, this should be communicated to the individual and reflected in the feedback documentation. Consideration should be given by the Reviewer and Dean or Director as to whether a case for promotion or for contribution points should be made.
- Cases of poor performance should not wait until the OSaR meeting to be addressed and should be dealt with as soon as any aspects of poor performance are noted. If performance improvement measures have already been put in hand informally as a result and the OSaR meeting indicates that adequate improvement has not been made, the Capability Procedure should be followed.

## 10. CONFIDENTIALITY

- The discussion about objectives will be conducted between you and the Reviewer (or her/his representative) in a confidential setting to ensure that any personal or career-related aspects of the discussion are kept private. However, it is acknowledged that, in order to work collaboratively towards the College/School/Directorate's objectives or raise potential career development or resource issues there will be a need to share information on objectives with the Dean and/or colleagues, depending upon the issue.
- You and your Reviewer will agree who needs to understand any or all of Reviewee's objectives for the purpose of facilitating effective working.
- Academic and research staff may be asked by Deans to review colleagues, where appropriate.

- The Dean or the Director may request a copy of OSaR documentation for any member of their School or Directorate to ensure standards of excellence and consistency are maintained across the Schools and Directorates. Vice-Principals and Heads of Colleges will have access to all their members of staff's OSaR documentation. Reviewers and Reviewees will be notified if their objectives are to be sampled in this way.
- Documentation related to staff OSaRs will be filed in a confidential storage system in the School or Directorate.

#### 11. TIMETABLE

The OSaR year runs between 1 October and 30 September.

- 1 October – 28 February
  - All Professorial & Senior Management OSaR meetings to be completed.
  - All other staff's OSaRs should begin to cascade as soon as possible.
- 1 March – 30 September
  - All other staff's OSaR meetings to be completed (except Manual staff without supervisory responsibility).
- By 30 September
  - The number of OSaR meetings completed in Schools and Directorates are reported to Human Resources.
- December
  - The Director of Human Resources reports the number of OSaR meetings completed in Schools and Directorates to Court.

#### 12. DISPUTE RESOLUTION

- Where a Reviewee has concerns about issues that they believe compromise the fair conduct of their review, or where agreement about objectives cannot be reached via the normal review process as outlined above, the matter will be passed in the first instance to the Dean or Director. If resolution cannot be achieved in this way, the matter will pass through the appropriate University process including mediation and/or grievance.

#### 13. OSaR FORMS

A single form applies to all staff. Instructions are detailed on the OSaR forms.

## UNIVERSITY OF DUNDEE

## OBJECTIVE-SETTING AND REVIEW (OSaR)

Reviewee's Name:  
School/Directorate:  
Reviewer:

Job Title:  
Date of Review:  
Review covering Academic Year:

Dean's or Director's summary of School's or Directorate's priorities for the coming year:

Your own School's or Directorate's Strategy and Operating Plan can be found at:

## PART 1

## Objective-setting

- Objectives to be agreed at OSaR meeting and completed by Reviewer.
- Headings shown may be used for academic and/or research staff, dependent on their role, or deleted for other staff where not relevant.
- To be signed by Reviewer and Reviewee; copy to Reviewee.

ObjectiveStrategy/Operating  
Plan ItemMeasure/DeliverableBy

- Teaching
- Scholarship
- Research
- Contribution to  
School and University

Reviewer's Signature

Date

Reviewee's Signature

Date

## PART 2

## Career Development

- To be completed by Reviewee.
  - For discussion at OSaR meeting.
- a. What are your current career objectives?
  - b. What support and development would be helpful to assist your career development?

## PART 3

## Training and Development

- Section a. to be completed by Reviewee.
  - Section b. to be completed by Reviewer.
  - Training and development to be discussed at the OSaR meeting.
  - The training and development, discussed at the OSaR meeting, requires to be approved by the Dean/Director or budget-holder, fed back to the Reviewee by the Reviewer; arrangements made and Part 3 b. of this form updated by the Reviewer.
- a. What are the training and development activities that would support:
    - your work objectives?
    - your career objectives?

- b. List the training and development activities for the forthcoming year approved by the Dean/Director or budget-holder.

**\*The Reviewer should cut and paste the Part 3 b. of this form and email it together with the Reviewee's name, job title and location to [opdsecretary@dundee.ac.uk](mailto:opdsecretary@dundee.ac.uk) for training needs analysis purposes.**

**PART 4 Self-review**

- **To be completed by the Reviewee at the end of the review period and provided to the Reviewer one week in advance of the next OSaR meeting together with an up-to-date CV (for Grades 7 and above).**
  - a. Comment on your progress against each of your objectives.
  - b. Give details of any other major achievements in the review period.

**PART 5 SUMMARY AND COMMENTS**

- a. Reviewer's overall summary and comments.

Reviewer's Signature

Date

- b. Reviewee's Comments

Reviewee's Signature

Date

## APPENDIX 5

### COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 50)

(Meeting of 5 February 2014)

#### 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.

The Vice-Principal in the Chair spoke briefly on the main issues raised in the Report on behalf of the Principal and highlighted the successful conclusion to the REF Submission process in December 2013 and thanked all members of staff involved in its preparation for their efforts.

The Vice-Principal also asked Senate to note the positive outcome from the Enhancement-Led Institutional Review in 2013 and confirmed that formal confirmation of the result had now been received from the Quality Assurance Agency (QAA).

On the recent Transformation/University Vision meetings, the Vice-Principal reported that the sessions had been very well received and welcomed the positive contributions made by many staff who attended.

The Vice-Principal also noted the success of the annual Discovery Days event and concurred with the Principal's view that these continued to be a highlight of the academic year. The Vice-Principal congratulated Dr Chris Connolly, who was presented with the Stephen Fry Award for Excellence in Public Engagement with Research during Discovery Days for his work on the impact of pesticides on honeybee populations.

The Vice-Principal then referred to the update on the University's financial situation and noted a shortfall in unregulated student recruitment would mean the University was expected to post a year-end deficit, making any investment in support of the Vision very difficult.

On a final note the Vice-Principal asked Senate to join him in congratulating Professor Cantrell who was awarded a CBE in the New Year Honours, Dr Miratul Muqit who was awarded the 2013 Linacre Medal and also to the staff and students of the Centre for Anatomy & Human Identification (CAHId) whose award of a Queen's Anniversary Prize for Higher Education had now been formally confirmed.

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

#### 2. PROBATION, PROMOTION and OSARs

The Senatus received a paper and presentation from the Vice-Principal (Learning & Teaching) and the Director of Human Resources.

The Director and the Vice-Principal reported on the planned modernisation of a number of human resources policies and processes including improvements to Objective-Setting and Review (OSAR) and probationary procedures for academic staff, and highlighted emergent thinking on a review of the promotions policy for teaching staff. Senate was asked to note that the proposals in relation to OSAR and probation had been presented to the Human Resources Committee of Court after consultation and agreement with the campus unions.

The Director outlined the proposed changes to the established OSAR process which would ensure it was properly informed by the Transformation Agenda, would provide greater clarity on roles and responsibilities, noting that the process presented a good opportunity for discussions around career progression. In response to a question, the Director accepted that developing paperless procedures for OSAR was integral to the current modernisation activity.

Discussion then turned to the proposals to reform probation for newly appointed academic staff and it was noted that the existing procedure was outmoded and lacked clarity especially over the criteria to be applied in determining whether a staff member had completed probation satisfactorily.

The Director reported that the Human Resources Committee had raised a number of issues and suggested a range of amendments and changes of emphasis in the procedure and that these were summarised in the cover note supplied as part of the Senate paper. The Director asked Senate to note that the emphasis on support rather than evaluation and the inclusion of process diagrams and examples of probationary objectives as suggested by the HR Committee had been relatively straightforward to implement.

The Vice-Principal explained the rationale behind the decision to separate the duties of the Dean, the Line Manager and independent Mentor. Members of Senate welcomed the increased support for probationary staff and the recognition that a reduction in workload, as suggested by the HR Committee, would be necessary to allow a probationer to complete successfully the 20 credit Learning & Teaching module of the Postgraduate Certificate in Teaching in Higher Education (PGCertTHE) which was compulsory for all probationers engaged in teaching.

Members of Senate recognised that an effective probationary process went hand in hand with a robust recruitment process and accepted that it needed to be clearly linked to the University's Vision. Senate suggested that the process may need to give consideration to whether probationary procedures from non-UK institutions could be considered as fulfilment of the University's new process. Members of Senate also recognised that the criteria of research excellence used in REF 2014, although contingent to a specific evaluation exercise and liable to future amendment, defined the current external environment and agreed that they needed to form the basis of internal quality criteria.

To conclude the presentation the Vice-Principal outlined the progress made towards a revised promotions framework for academic staff. Senate was asked to note that the criteria being developed would contain reference points to indicators of excellence in the University's Vision, in terms of Research, Learning & Teaching and Wider Impact.

Senate discussed the proposal to move from a nomination to an application-based process and welcomed the intention to provide clear criteria of eligibility that linked individual attainment to agreed definitions of excellence as a positive way forward and noted that detailed proposals would come before Senate for consultation in due course.

- The Senatus decided:**
- (i) to thank the Director and the Vice-Principal for their presentation; and
  - (ii) for its part, to welcome the proposed improvements to OSAR and probation procedures for academic staff.

### 3. CHANGES TO STATUTES & ORDINANCES

The Senatus received proposals to amend Statute, introduce new Ordinances and amend Regulations, summarised as follows:

#### **STATUTES 6, 9& 20, ORDINANCES 20 & 39 AND GRADUATE COUNCIL REGULATIONS**

To update and reconstitute the current Graduates' Council as a Graduates' Association, and to amend the process for appointment of Graduates' Association representatives on the Court.

#### **ORDINANCE 18 AND 45, COURT REGULATIONS AND ACADEMIC COUNCIL REGULATIONS**

To permit electronic voting for elections to Court, the Senatus Academicus, Academic Council Standing Committee from among the academic staff and more generally to the reconstituted Graduates' Association; and to restrict the maximum terms of office of academic staff on Court elected either from the Senate or the Academic Council.

#### **STATUTE 9 and ORDINANCE 63**

To establish in Ordinance the role and responsibilities of the post of Chancellor's Assessor on Court.

**ORDINANCE 64**

To establish formally in Ordinance the post of Students' Assessor on the Senatus Academicus, and that post's role and responsibilities.

**ORDINANCE 39**

To add Master of Dental Public Health (MDPH) to Ordinance 39, Paragraph 1(1) and to the Taught Postgraduate Masters Degrees General Regulations (General: Paragraph 1).

- The Senatus decided:**
- (i) to re-appoint Mr Stuart Cross as Students' Assessor on the Senatus until 1st December 2014; and
  - (ii) for its part to approve the changes to Statute, Ordinances and Regulations as proposed.

**4. GRADUATION TIMETABLE**

The Senatus received the draft timetable for Summer Graduation 2014:

Date & Time	College	School
10am, Wednesday 18 June	CASS	School of Business
	CASS	School of Law
	CASS	Graduate School of Natural Resources, Law, Policy and Management
2.30pm, Wednesday 18 June	CLS	School of Life Sciences Learning & Teaching and School of Life Sciences Research
	CASE	School of Engineering, Physics and Mathematics
10am, Thursday 19 June	CASS	School of the Environment
	CASS	School of Education, Social Work & Community Education
	CASE	School of Computing
2.30pm, Thursday 19 June	CASE	Duncan of Jordanstone College of Art & Design
	CASS	School of Psychology
10am, Friday 20 June	CASS	School of Humanities (ARMMS, CONT Ed)
	CMDN	School of Nursing and Midwifery
2.30pm, Friday 20 June	CMDN	School of Dentistry
	CMDN	School of Medicine

**The Senatus decided:** o note the timetable.

**5. DUSA ELECTIONS**

The Senatus received the timetable for DUSA Executive Elections for 2014.

Online nominations closed: 28 January 2014

Campaigning Period: 10 February – 21 February 2014

Candidates' Briefing: 10 February 2014  
February Hustings: 13 February 2014  
Election Dates (voting): 19 - 21 February 2014  
Results: 21 February 2014

**The Senatus decided:** to note the timetable.

## APPENDIX 6

### WELFARE & ETHICAL USE OF ANIMALS COMMITTEE (Minute 52)

A meeting of the Welfare and Ethical Use of Animals Committee was held on 15th January 2014.

#### 1 The Brown Report

The Committee considered the recommendations of the Brown Report (<http://brownreport.info>), an independent investigation into animal research at Imperial College London. The following recommendations for implementation by the University of Dundee were agreed:

- In the interests of greater open-ness within the University, the Welfare and Ethical Use of Animals Committee's reports to University Court should also be circulated to all Home Office project licence-holders;
- A survey of academic project licence-holders should be undertaken to establish the scope for greater involvement of resource unit staff in the performance of procedures regulated by the Animals (Scientific Procedures) Act 1986;
- The advantages of seeking accreditation of the University's animal facilities by the Association for Assessment and Accreditation of of Laboratory Animal Care should be carefully assessed;
- A code of practice for the conduct of animal surgery should be drawn up;
- The existing practice of informal meetings between researchers and animal facility staff should be encouraged;
- The existing system of study plans being submitted for every interventional experiment should be carefully monitored and any examples of non-compliance dealt with promptly, with referral to the Committee if necessary;
- Guidance on the routes by which any concerns about animal welfare can be raised should be published prominently in all the animal facilities;
- The role of Named Training and Competence Officer (currently held by the Director of Biological Services) should be further developed;
- Animal facility staff should be asked on an annual basis to nominate researchers who have, in their opinion, introduced new and significant examples of best practice;
- The Convenor and the Director of Biological Services should have a meeting with senior management to determine how best to further integrate the Committee into other University Governance procedures and then report back to the next Committee meeting.

#### 2 Retrospective review of project licences

The Committee agreed that all running projects should be reviewed as and when the need arises. However, there will be a mandatory review carried out approximately one year before each project licence expires.

#### 3 Report from the named veterinary surgeon

A number of minor animal welfare issues had arisen since the last meeting of the Committee, but all had been resolved.

#### 4 Report from the Director of Biological Services

The Director of Biological Services reported that, since the last meeting, three applications for amendments to existing project licences had been approved.

## APPENDIX 7

### SCHEDULE OF DELEGATION AND DECISION MAKING POWERS (Minute 53)

Duration of Validity: With effect from 21 February 2011 and until such date as it may subsequently decide, the Court has reserved specific powers to itself and delegated others as set out in this Schedule.

Purpose: To define those decision-making powers that are reserved for specific levels of authority. The Schedule is not intended as a general description of roles, remits and responsibilities.

Coverage: Bodies and individuals involved in the management of the University.

Reporting Arrangements: It should be assumed that all significant matters are reported to the Court unless otherwise explicitly stated.

Vacation Powers: Court will determine arrangements for summer vacation powers at the final meeting of each session.

Delegated Powers: While the schedule identifies that certain powers are delegated to specific committees or individual office-holders, any committee or office-holder may decide that a particular issue requires to be ratified by a higher level of authority.

Named Deputies/Alternates: Where powers are reserved to individuals, it should be assumed that a nominated deputy or alternate may exercise the same power in the absence of the postholder.

Audit Committee: The Audit Committee may investigate any matters within its terms of reference with full access to information and University personnel. The Committee shall bring to the attention of the Chairperson of Court any matter of concern to the Committee.

Financial Limits: Where decision-making powers have been delegated with financial limits, these limits are escalated from individuals to another individual/body etc, as follows:

Capital projects: Secretary - Senior Management Team - Court

Disposal of assets: Deans /Directors - Secretary - Court

Business plans: Heads of Colleges/Secretary - Senior Management Team - Finance & Policy Committee

Contracts (non-research): Secretary - Principal - Finance & Policy Committee (This excludes procurement contracts, which are managed by the procurement office in accordance with relevant legislation.)

Loans/grants to subsidiary, spin-out and associated companies: Director of Finance - Finance & Policy Committee

#### 1. University Court

Strategic and Financial:

- 1.1 Approve strategic plans, financial forecasts and ancillary documents prior to submission to SFC
- 1.2 Approve financial strategy, including annual capital programme and annual budgets for Colleges and support services (and in-year changes to budgets amounting to more than 1% of turnover)
- 1.3 Approve annual accounts, including those of subsidiary companies
- 1.4 Approve areas for reporting via Key Performance Indicators
- 1.5 Approve specific capital projects with an anticipated value of over £1m

Appointments:

- 1.6 Approve appointment of Chancellor (in consultation with Senate)
- 1.7 Approve appointment of Principal (in consultation with Senate)
- 1.8 Approve appointment of Vice-Principal(s) (in consultation with Senate)
- 1.9 Approve appointment of Secretary (in consultation with Senate)
- 1.10 Approve appointment of internal and external auditors
- 1.11 Approve appointment of co-opted members of Court
- 1.12 Approve membership of Court Committees

## Dismissals:

- 1.13 Approve dismissal of academic staff, once procedure established by Statute and Ordinance has been completed

## Other:

- 1.14 Approve changes to Charter and Statutes and new Statutes (in consultation with Senate and subject to Privy Council ratification)  
 1.15 Approve changes to Ordinances and new Ordinances (in consultation with Senate)  
 1.16 Approve creation and alteration of Colleges and Schools and their constitutions  
 1.17 Approve disposal of assets valued at more than £1m  
 1.18 Approve arrangements for making academic and academic-related posts redundant and approve any subsequent redundancies  
 1.19 Approve arrangements for superannuation of employees  
 1.20 Approve standing orders for operation of Court  
 1.21 Approve severance terms and substantial changes to pay and/or terms and conditions of the Principal

**2. Senate**

- 2.1 Approve Learning & Teaching Strategy  
 2.2 Approve Research Strategy  
 2.3 Approve degree regulations  
 2.4 Award degrees and other qualifications, including honorary degrees  
 2.5 Approve appointment of members of Senate Committees  
 2.6 Elect Senatorial members of Court  
 2.7 Approve policy for the admission of students to the University  
 2.8 Approve honorary professorial appointments on recommendation of Senior Management Team  
 2.9 Approve conferment of Emeritus titles on former members of staff  
 2.10 Approve affiliation of Schools to Colleges

**3. Senior Management Team**

- 3.1 Approve specific capital projects more than £500k, and up to £1m, in value  
 3.2 Approve business plans for projects involving non-capital spend with an annual value of more than £75,000 and up to £250,000  
 3.3 Approve student fee rates (home and overseas) after appropriate consultation  
 3.4 Approve projects for funding from the central Strategic Investment Fund  
 3.5 Approve requests from budget-holders to recruit staff  
 3.6 Approve early retirement and voluntary severance cases, where these are in line with agreed guidelines

**4. Finance & Policy Committee**

- 4.1 Approve applications to external funding bodies for capital projects where a commitment to a financial contribution on the part of the University of more than £1m is included  
 4.2 Approve business plans for projects involving non-capital spend with a projected annual value of more than £250,000  
 4.3 Approve non-research-related contracts or amendments/cancellation of contracts with a value of more than £250,000  
 4.4 Approve loans and grants to subsidiary, spin-out and associated companies of more than £100k  
 4.5 Approve Financial Regulations  
 4.6 Approve guidelines for University investments  
 4.7 Approve changes to accounting policies  
 4.8 Be consulted on changes to employer's contributions to the University of Dundee Superannuation Scheme

**5. Human Resources Committee**

- 5.1 Approve policies and procedures affecting human resources, including health and safety

**6. Remuneration Committee**

- 6.1 To ensure that the performance of the Principal, as head of the University, is assessed on an annual basis by means of a review annually by the Chair of Court using the University's Objective-Setting & Review process.

- 6.2 To approve salary increases for professorial and equivalently graded academic-related members of staff, including the Principal.
- 6.3 To take an overview of requests for salary increases recommended by each College and SASS, which shall include consideration of amounts being awarded and equality issues particularly in relation to gender and other protected characteristics. The purpose of this and any other analyses will be to ensure that the Committee can assure itself and the Court of the fairness and consistency of the process and its outcomes.
- 6.4 To benchmark where to position the University and individual roles relative to other institutions, paying particular attention to information provided by the UCEA senior salary survey, but to use such comparisons with caution in view of the risk of an upward ratchet in remuneration levels;
- 6.5 To recommend to Court a University policy on senior staff severance that sets out general principles regarding all severance packages; and, if required, to approve under delegated authority early retirement or severance terms for the Principal, Vice-Principals, University Secretary or Director of Finance within clear boundaries determined by that policy.
- 6.6 To consider any requests by senior staff to undertake consultancy, other paid work or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum, and in any instances relating to the senior management team; and to have due regard to issues of the time demands, remuneration and possible impact on reputation associated with such activities when reaching a decision.
- 6.7 To approve exceptional removal and other expenses where the amount is greater than £10,000.
- 6.8 To determine maximum levels of management responsibility payments for Deans, Associate Deans and Deputy Principals.
- 6.9 To maintain an overview of emerging and best practice in relation to remuneration policy and practice in higher education, and the public and private sectors more generally, so as to be able to make recommendations to the Governance & Nominations Committee and the Court on future enhancements to the University's approach to senior staff remuneration.

## **7. Audit Committee**

- 7.1 Approve process for appointment of internal and external auditors
- 7.2 Approve internal audit needs assessment and internal audit strategic and operational plans
- 7.3 Approve annual report of internal auditors for submission to SFC

## **8. College Staff Review Groups (Academic)**

- 8.1 Determine promotions to senior lecturer
- 8.2 Approve accelerated advancement and contribution-related points
- 8.3 Approve confirmation of appointments following probation
- 8.4 Hear first stage appeals

## **9. Standing Committee on Readerships**

- 9.1 Approve promotions to reader

## **10. Annual Review Group (ALC)\***

- 10.1 Determine accelerated advancement and contribution-related points for ALC staff

## **11. Technical Staff Review Committee\***

- 11.1 Determine accelerated advancement and contribution-related points for technical staff

## **12. Clerical Staff Review Committee\***

- 12.1 Determine accelerated advancement and contribution-related points for clerical staff

## **13. Ethical Review Committee**

- 13.1 Determine an ethical review process and policy on all matters relating to animals on University premises

## **14. College Boards**

- 14.1 Elect representatives to Senate
- 14.2 Approve degree programme content and assessment methods
- 14.3 Approve honorary appointments in the College (except professorial)

**15. School Boards**

15.1 Approve appointments of Conveners of Programme Boards

**16. Academic Council**

16.1 Elect representatives to Court

16.2 Elect representatives to Senate

**17. Termination of Studies (Appeals) Committee**

17.1 Receive and determine appeals from students against termination of their studies

**18. Undergraduate Appeals Committee**

18.1 Receive and determine complaints and appeals by undergraduate degree candidates

**19. Principal**

19.1 Appoint Deputy Principals

19.2 Appoint Deans, in consultation with School Boards

19.3 Approve, with the countersignature of the Director of Finance, non-research-related contracts or amendment/cancellation of contracts with a value of more than £100k and up to £250k

19.4 Initiate procedures for promotion to personal chairs

19.5 Approve membership of professorial appointing committees

19.6 Approve promotions and appointments to chairs

19.7 Approve, with the countersignature of the Director of Finance, the formation or winding up of subsidiary, spin-out and associated companies

19.8 Approve appointment of University employees as directors of subsidiary, associated and spin-out companies

19.9 Determine levels of management responsibility payments to Deans and Associate Deans (or equivalent)

**20. Vice-Principals**

20.1 Exercise full disciplinary powers in relation to students (Ordinance 40)

**21. Heads of Colleges**

21.1 Approve allocation of resources within the College

21.2 Approve expenditure within agreed budgets and in accordance with the Financial Procedures Manual

21.3 Approve, with the countersignature of the Director of Finance, business plans for relevant projects involving non-capital spend up to an annual value of less than £75,000

21.4 Approve creation of new posts, filling of vacant posts and extension of existing posts

21.5 Approve extended leave of absence for academic staff

21.6 Approve confirmation of appointments following probation for relevant ALC staff

**22. Deans of Schools**

22.1 Approve allocation of resources within School

22.2 Approve expenditure in accordance with the Financial Procedures Manual

22.3 Approve disposal of assets valued at less than £5,000

**23. Secretary**

23.1 Approve, with the countersignature of the Director of Finance, specific capital projects up to £500k in value

23.2 Approve, with the countersignature of the Director of Finance, non-research-related contracts or amendments/cancellation of contracts with a value up to £100,000

23.3 Approve, with the countersignature of the Director of Finance, business plans for relevant projects involving non-capital spend up to an annual value of less than £75,000

23.4 Approve, with the countersignature of the Director of Finance, property leases (either as lessor or lessee)

23.5 Approve, with the countersignature of the Director of Finance, disposal of assets valued at more than £5,000 and less than £1m

23.6 Countersign with the Director of Finance loans and grants to subsidiary, spin-out and associated companies up to a maximum of £100k

23.7 Approve charges for use of University car parks

- 23.8 Apply the University seal to documents as required
- 23.9 Approve creation of new posts, filling of vacant posts and extension of existing posts in student and academic support services
- 23.10 Approve membership of appointing committees for non-academic grade 10 appointments
- 23.11 Approve appointments of non-academic grade 10 staff
- 23.12 Approve arrangements for hearing appeals by students and members of staff and for other proceedings under Statute 16 (except redundancy)
- 23.13 Approve confirmation of appointments following probation for relevant ALC staff

#### **24. Directors of Student & Academic Support Services**

- 24.1 Approve expenditure in accordance with agreed budgets and the Financial Procedures Manual
- 24.2 Approve disposal of assets valued at less than £5,000

#### **25. Director of Finance**

- 25.1 Approve changes to Financial Procedures Manual and Purchasing Manual
- 25.2 Approve administrative and security arrangements relating to University investments and bank accounts
- 25.3 Enter into borrowing arrangements, and renew as necessary, in accordance with financial strategy approved by Court
- 25.4 Approve, with the countersignature of the Secretary, loans and grants to subsidiary, spin-out and associated companies up to a maximum of £100k
- 25.5 Countersign with the Principal non-research-related contracts or the amendment/ cancellation of contracts with a value of more than £100k, and countersign with the Secretary those with a value up to £100k
- 25.6 Countersign with the Principal the formation or winding up of subsidiary, spin-out and associated companies
- 25.7 Countersign with the relevant Head of College business plans for projects involving non-capital spend up to an annual value of less than £75k
- 25.8 Countersign with the Secretary specific capital projects up to £500k in value
- 25.9 Countersign with the Secretary business plans for relevant projects involving non-capital spend up to an annual value of less than £75k
- 25.10 Countersign with the Secretary property leases (either as lessor or lessee)
- 25.11 Countersign with the Secretary the disposal of assets valued at more than £5k and less than £1m

#### **26. Academic Secretary**

- 26.1 Approve appointment of external examiners

#### **27. Director of Human Resources**

- 27.1 Approve dismissal of non-academic staff

#### **28. Director of Research & Innovation Services**

- 28.1 Approve research-related contracts or amendments/cancellation of contracts
- 28.2 Approve all grant funding applications, provided that where a separate arrangement has been agreed with an individual School or unit, this authority may be delegated to that School or unit up to a value of £50k, and provided it is within agreed parameters. [Note: this function will in due course transfer to the Research Grants section of RIS and Research Finance Office, which are to be merged in the near future within the Finance Office].
- 28.3 Approve licensing agreements on behalf of the University

#### **29 R&D Director, Tayside Medical Sciences Centre (TASC)**

- 29.1 By means of the Sponsorship Committee, to receive and determine applications for the sponsorship of all Clinical Trials of Investigational Medicinal Products (CTIMP Clinical Trials), all regulated device trials and those clinical research studies which in the view of TASC Research Governance Managers present significant risk.
- 29.2 Approve contracts relating to the performance of CTIMP clinical trials, regulated device trials and all clinical research studies administered by TASC, or the amendment or cancellation of such contracts, excluding contracts solely relating to University intellectual property or where the University has responsibility for commercial outcomes from work.
- 29.3 Receive and determine applications for the sponsorship of all other clinical research studies.
- 29.4 Approve grant funding applications up to £50k.

29.5 Where required, approve the contractual terms and conditions associated with grant funding awards solely for MTIMP trials, regulated device trials and clinical research studies administered by TASC, in conjunction with RIS [Noted: as above at 28.2, this function will be carried out in conjunction with the merged Research Grants Section and Research Finance Office].

\*Note: the future of these annual review committees is subject to further consultation with the recognised unions in the light of the new pay and grading structure.