

UNIVERSITY OF DUNDEE**UNIVERSITY COURT**

A meeting of the University Court was held on 09 June 2014.

Present: Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Mr R Bint, Deputy Principal Professor SM Black, Mr RS Bowie, Dr WGC Boyd, Mr R Burns, Ms SC Campbell, Dr DH Crouch, Lord Provost Mr R Duncan, Mr J Elliot, Mr I MacKinnon, Ms B Malone, Professor GJ Mires, Ms CA Potter, Mr KA Richmond, Ms M Tasevska, Mr D Taylor and Mr IDM Wright.

In Attendance: University Secretary; Vice-Principal Learning & teaching (Minute 80 and 84(1)), Vice-Principal and Head of the College of Medicine, Dentistry & Nursing (Minute 84(1)); Acting Vice-Principal and Head of the College of Arts and Social Sciences (Minute 84(1)), Dean of the College of Life Sciences School of Learning and Teaching (Minute 84(1)), Dean of the School of Engineering, Physics & Mathematics (Minute 84(1)); Director of External Relations; Director of Finance; Director of Human Resources; Director of Policy, Governance & Legal Affairs; Mr IC Howie; and Clerk to Court.

Apologies: Professor L Bidaut, Ms S Krawczyk and Dr AD Reeves.

The Chair welcomed Mr Richard Bint to his first meeting of Court following his co-option to membership on 22 April 2014 and Mr Iain Howie who was attending in a shadow capacity following his co-option to Court from 1 August 2014.

76. ANNUAL REPORT OF THE SPORTS UNION

The Sports Union President, Mr Grant Murdoch, presented the Union's annual report. In doing so, he highlighted the major strengths, successes and challenges of the Sports' Union in 2013/14. Notable strengths included: the open-door policy for engagement with students and potential students, improved buy-in and involvement from students, and increased levels of volunteering. Key challenges for 2014/15 included: improving the uptake of membership by the new intake of students; improvement of engagement with campus sports programmes; and a review of the budget to ensure that teams and individuals continued to receive the support that they required despite increases to the number of teams, number of people involved with them and their success. The President also highlighted the opportunities arising from new Tri-Varsity Tournament between the Universities of Dundee, Abertay Dundee and St Andrews.

In response to questions the President told the Court that the Blues and Colours event was being branded as a 'graduation' for sports students and that alumni, senior management and Court members were encouraged to attend where possible. The Court was also interested to learn of initiatives being used to increase levels of cross-club support, including the 'fixture of the week' promotion of events which had proved to be very successful in 2013/14.

Court members highlighted the role of the Sports Union and its members as ambassadors for the University, and the contribution of the Sports' Union to the overall student experience, and suggested that the sporting opportunities at Dundee could be highlighted further in national and international marketing materials for the University.

The Court decided: to thank the President for his report, congratulate him on a successful year and to wish him well for the future.

77. MINUTES

The Court decided: to approve the minutes of the meeting on 22 April 2014 subject to minor revision.

78. CHAIRMAN'S REPORTS

The Chairman presented his regular report to the Court. In doing so, he highlighted comments from the Committee of Scottish Chairs on the draft Financial Memorandum issued by the Scottish Funding Council. While revisions were being sought, there were concerns about the current wording, especially in relation to circumstances where an institution might be required to repay funding. In either event, it was, he said, clear that the financial standing of institutions would be further scrutinised in coming years.

The Chairman also highlighted the offer of support from the University to the Glasgow School of Art following the recent fire. In response to questions the Director of Human Resources highlighted measures taken in relation to fire safety to mitigate as far as possible the risks of such an incident happening at the University of Dundee.

The Chairman also updated the Court on his meeting with the Convener of the Finance & Policy Committee (Mr Richard Burns), Mr Andrew Richmond, the Director of Finance and the University Secretary to discuss budget matters.

The Chairman also presented his annual report to Court. In his report he focussed on the institution's financial direction. He also reminded members of his schedule of individual meetings with members of Court and of his plan to visit Schools across the University throughout 2014/15. Members noted that the Principal's contract had been drawn up in accordance with discussions at the April meeting of Court and that it was expected that the contract would be signed prior to the end of the existing contract.

The Court decided: to note the reports.

79. ANNUAL REVIEW OF PERFORMANCE & EFFECTIVENESS: CHAIRPERSON AND COURT

[Secretary's note: The Chair of Court and officers (except for the Secretary and the Clerk to Court) withdrew from the meeting for discussions on the effectiveness of the Chair of Court. The session was chaired by the Chancellor's Assessor, Mr Richard Burns. Mr Iain Howie was invited to remain for the duration of the discussions].

Members noted that the externally facilitated quinquennial review of Court effectiveness was underway and would cover in depth matters normally addressed within the annual review of the Court's performance. The Court went on to consider the performance of the Chairman of Court under the following four sub-headings: stewardship, communication, challenge and sectoral awareness. In doing so, members highlighted areas of good practice and made a number of suggestions for the Chair, the Conveners of the Committees of Court, and also with regard to meeting arrangements that they felt would further improve the performance of the Court.

The Court also considered the process for the review of the performance and effectiveness of the Chair and suggested that the Governance & Nominations Committee consider the format of the review for future years. In particular, members suggested that the use of smaller focus groups and/or the ability to submit written feedback in advance of the meeting may improve the quality of the review process.

The University Secretary and the Chancellor's Assessor undertook to report the outcomes of the discussions to the Chair of Court.

The Court decided: to await a response from the Chair in relation to the feedback provided by members on his own performance, which would be considered in the first instance by the Governance & Nominations Committee.

80. MATTERS ARISING

Amendment to Ordinance 40 (Student Discipline)

The Court decided: to ratify the decisions taken at its meeting on 22 April 2014 to amend Ordinance 40 (Student Discipline) as set out in the Court minutes of 22 April 2014.

81. PRINCIPAL'S REPORT

The Court received a report from the Principal (**Appendix 1**). The Principal highlighted an update from Universities Scotland on its work to prepare for negotiations which may follow from the referendum result, either as a result of a vote for independence or in anticipation of a new devolution settlement in the event of a 'no' vote. Members noted that, unsurprisingly, the majority of identified risks, irrespective of the outcome of the referendum, related to sector level issues and members discussed the importance of the preparations of Universities Scotland in this respect.

The Principal also highlighted the University's financial forecast, student recruitment figures for entry in 2014/15, and the dates of the summer graduation ceremonies.

The Court paid close attention to the student recruitment figures presented, and the Vice-Principal (Learning & Teaching) provided the Court with a further update on the position. The Court noted that while applications from Rest of UK (RUK) and overseas undergraduates had fallen, the conversion rates had improved significantly - possibly as a result of the new bursaries and scholarship packages, improved support from Admissions and Student Recruitment Services (ASRS), College/School activities and

the #testdrivedundee marketing campaign. As a result, acceptances from RUK students were at the time of the meeting higher than at the same point in the recruitment cycle for entry in 2013/14. Members were also pleased to note that there had been a significant rise in MD40 applications and acceptances with the result that the University's target in that area should be met.

The Court indicated that the format and data provided in the report was helpful, but suggested that an analysis or projection of the financial impact of the figures relative to the budget would be useful for future reports of this nature. In response to questions the Vice-Principal confirmed that, according to UCAS data available at the time, there had been a decrease in RUK applications across the Scottish HE sector, but that the University of Dundee had seen a greater decrease than many of its benchmarked competitors – largely as a result of falls in applications from students from Northern Ireland in this cycle. The Court noted that ASRS planned to address this decrease through investment in relationship building in the region alongside the #testdrivedundee campaign. Noting the increase in RUK acceptances relative to the same point in the previous cycle, the Court nevertheless noted that there was, predictably, a decrease relative to the levels prior to the introduction of the RUK fee.

The Vice-Principal also provided an update on taught postgraduate student recruitment for entry in 2014/15. Members noted that it was still early in the recruitment cycle and that it would be September before the pattern was clear, but that to date there had been a lower volume of applications from overseas students and an increase in applications from UK/EU students relative to the same point in the previous cycle. As with the undergraduate recruitment, the conversion of offers to acceptances had improved. The Court noted the volatility of the taught postgraduate student market, and in particular that there had been unexpected changes to recruitment patterns to existing programmes. Further analysis was being undertaken in this respect; however members noted that as a result provision had been made within the 2014/15 budget to account for a potential shortfall in overseas taught postgraduate numbers.

The Principal also drew the Court's attention to strong performance of the Dental (ranked number 1 in the UK) and Medical (ranked number 5 in the UK and number 1 in Scotland) Schools in the recently published Guardian league tables, although members noted that overall the University had slipped from 41st to 47th.

The Court decided: to note the report.

82. DUNDEE UNIVERSITY STUDENTS' ASSOCIATION – ANNUAL REPORT

The Court received a report from Mr Iain MacKinnon, the President of the Students' Association (DUSA). The report set out the achievements of DUSA relative to its 2014/14 manifesto and the goals presented at the annual Court Retreat in September 2013, along with other key highlights including: the use of DUSA as a polling station, the raising and giving (RAG) campaign, the work of the DUSA Student Representative Council, awards, league table performance and student societies. The report also summarised the Association's financial position.

The Court noted the importance of the strong and cooperative relationship between the University and DUSA in maintaining the quality the student experience, advancements

in pastoral care, the contribution of DUSA to the University's league table position, and marketing opportunities.

The President drew the Court's attention to the improvement in the financial position of DUSA relative to the previous academic year, and members noted that as a result of cost-saving measures, careful budgeting, and focus on products and services sought by students, DUSA projected a surplus in the current year.

The Court decided: to thank the President for his report and congratulate him and his executive team on a successful year.

83. UNIVERSITY STRATEGY TO 2017: KEY PERFORMANCE INDICATORS

(1) Research, People & Estate

The Court received a report which outlined data on the performance indicators contained within the Research, People, and Estate enabling strategies. As data had been provided to previous meetings of the Court, and given the core responsibility of the Court to consider performance management information, the report focused on Key Performance Indicators (KPIs) within these strategies. The report highlighted performance over time, against target and compared to benchmarking institutions. In reviewing the paper, members commented on improvements to the format of the report which included a summary of actions required/being taken in response to the analysis.

With regard to the Estate KPIs, members noted that adjustments would be made to KPI13, 'proportion of estate classified as new or sound', to normalise data once the new Centre for Translational and Interdisciplinary Research (CTIR) was opened later in the year. Members also discussed opportunities for income generation from the estate, noting that they were relatively modest but continued to be explored by management.

Turning to the People KPIs, members noted that College groups had been set up to facilitate the sharing of best practice and that KPI9, 'Staff Satisfaction', had been one area of focus for the groups – facilitated by results from the Staff Survey in 2013.

The Court considered each of the Research KPIs relative to the aims of the Research enabling strategy. Members paid particular attention to the commentary provided on KPI 8, 'Number of active personal fellowships, investigator awards or programme grants' and noted the importance of longer-term planning for staff on fellowships moving onto core funding. The Court also discussed performance relative to KPI9, 'Research income per Academic/Overhead per Academic', and noted that overhead recovery per academic FTE was below the benchmarked average – largely as a result of the high proportion of the University's research income drawn from charitable sources.

The Court decided: to note the report.

(2) Learning & Teaching

The Court received a report from the Vice-Principal (Learning & Teaching) and the Director of Strategic Planning on the performance indicators contained within the Learning & Teaching strategy. The report highlighted performance over time against targets and relative to benchmark institutions. The report considered KPIs relating to: student satisfaction, student progression and retention, percentage 1st and 2:1 classified degrees, entry tariffs, widening access, and unregulated learning & teaching income.

Members noted that the Vice-Principal (Learning & Teaching) had led a number of initiatives aimed at improving the overall student satisfaction rating within the National Student Survey, including: the provision of a detailed analysis of the survey results to all schools, efforts to improve response rates to future surveys, sharing of best practice between Schools at a University NSS forum, and the discussion of results at the Senate, Senior Staff Workshops, and College/School boards.

The Court decided: to note the report.

84. **FINANCE & POLICY COMMITTEE**

The Court received a report of the meeting of the Committee on 12 May 2014 (**Appendix 2**). The Chairman of Court drew members' attention to discussions on the 2014/15 budget, the financial projections for the Scottish Funding Council, and an initial briefing on the potential for an enhanced institute for surgical skills training. The Court noted following the meeting the Convener, Chair of Court, and Mr Andrew Richmond had met with the Director of Finance and University Secretary to further review the targets, risks and projections in light of updates to student recruitment estimates and Voluntary Severance (VS) applications, and that revisions to the budget were circulated to the Committee on 30 May 2014.

In response to questions, the University Secretary confirmed that further detail with regard to the surgical skills development would be considered by the Committee in the form of a full business case at a future meeting, and that the initial briefing had been designed to raise the Committee, and the Court's, awareness of the potential opportunity.

The Court decided: to approve the report.

85. **FORWARD PLANNING**(1) Transformation: Delivering the Vision

The Court noted that the Chairman had invited Professor Karl Leydecker (Vice-Principal, Learning & Teaching), Professor John Connell (Vice-Principal & Head of the College of Medicine, Dentistry & Nursing), Professor Robert Duck (Acting Vice-Principal & Head of the College of Art, Science & Engineering), Professor David Coates (Dean of the College of Life Sciences School of Learning & Teaching, attending on behalf of the Vice-Principal & Head of the College of Life Sciences),

and Professor Tim Newman (Dean of the School of Engineering, attending on behalf of the College of Art, Science & Engineering) to attend this item to facilitate the Court in their effective challenge of proposed projects within the Colleges and therefore ensure that members were fully informed when reaching a decision on these matters.

The Principal provided the Court with a summary of the relevant discussions at the special meeting of the Senate on 30 April 2014 and the meeting of Senate on 28 May 2014 as detailed in the Senate reports to Court elsewhere in the agenda. In doing so he told the Court that the matters had been subject to a good and full debate and that the Senate had been supportive of the proposals presented.

The Principal went on to introduce a paper from the Senior Management Team (SMT) which provided a holistic overview of the proposals which had been designed to improve the University's academic position and international reputation and to address the challenging financial projections. The paper brought together proposals for academic staff reductions/cost savings alongside plans for investment and income generation in the context of the University's budget for 2014/15 and the three year financial projections provided elsewhere on the agenda. The Principal highlighted the need to both reduce costs and improve margin generating income levels. In doing so he drew the attention of the Court to College and School Transparent Approach to Costing (TRAC) data as well as the poor level of income per FTE academic and high ratio of staff cost to turnover relative to benchmarked competitors. The Principal told the Court that the University must maintain the strength of its provision and the quality of its student experience while improving its efficiency and productivity in both learning & teaching and research.

The Court questioned whether the paper, and the measures proposed within the paper, was sufficiently ambitious in terms of future targets for unregulated income, however members noted that it was necessary to reverse the recent downward trend in recruitment from unregulated markets before increasing targets further. The Court also noted that the removal of recruitment caps in England was likely to increase competition and had the potential to impact upon Rest of UK (RUK) recruitment patterns. In response to questions, the Vice-Principal (Learning & Teaching) provided the Court with an overview of the latest recruitment figures entry in 2014/15 and members noted that RUK acceptances had improved since the previous report and now slightly exceeded those at the same point within the previous cycle.

Court explored the risks and contingencies within the budget and asked that these be highlighted more explicitly in future papers.

The Court also considered the TRAC data provided and noted the sectoral patterns and also limitations with regard to TRAC data. In response to questions, the University Secretary confirmed that the data was helpful in the indication at a high level of areas where improvement was required, but that it was not designed to be used at a more granular level. Members noted that the Finance & Policy Committee had discussed at length the TRAC data provided - in particular with regard to the level and nature of improvements required within the figures if the University were to reach a financially sustainable position. The Court noted that the Committee had estimated an improvement of around £12m would be

required, but that there would be different levels of contribution to the overall targets from publically funded teaching, non-publically funded teaching, and research across each of the Colleges. In response to questions as to whether the targets and commitments contained within the paper would achieve the necessary level of change, or if there were further measures which could be taken to improve efficiency and productivity beyond those presented, the Principal confirmed that the paper reflected the current understanding of opportunities to reduce costs, increase efficiencies and generate income. He told the Court that in addition to reducing the level of underfunded research taking place, it was also important to improve the capture of Full Economic Costing (FEC) within funded research. Members noted that the Scottish Funding Council (SFC) was examining the formula for charitable funding where no FEC was available in relation to the HEFCE funding formula. This was particularly relevant given the high levels of charitable funding at the University.

Turning to the College summaries of activities and potential projects the Court explored the level of confidence of the Colleges in the achievement of the proposed commitments and targets and noted that the College senior management were confident that the projections were realistic. The Court also noted a number of areas in each College where opportunities were being pursued which had the potential to generate additional income including: key markets for growth of unregulated teaching income in undergraduate and taught postgraduate programmes, international foundation programmes, distance learning, the introduction of a foundation year to the College of Life Sciences programme for RUK students, and new Continuing Professional Development Courses. Members heard that these income generating proposals would take time to embed and that short-term measures, in particular the reduction of costs to bring them in line with competitors, would be necessary for the University to achieve its vision of excellence and also address the current financial challenges.

The Court highlighted the importance of investment in the branding and marketing of the University in underpinning the commitments proposed – in particular through enhancement of the University's digital and web presence, the improvement of student recruitment resources, and also improvements to internal communications. Members noted that a Head of Marketing post would shortly be advertised, and that in the meantime a University Marketing Group had been established which had already led to an overhaul of the University's website, examination of the applicant journey and the development and launch of the #testdrivedundee campaign. Members made a number of suggestions for further improvement of the University's web presence, in particular in relation to its perception by RUK and overseas students.

One member drew the Court's attention to the low level of research postgraduate students compared to benchmarked competitors. In doing so, members noted the composite nature of the research postgraduate fee in terms of bench fees and research costs, the potential for further recruitment in this area, and issues relating to the allocation of fees as research income.

The Court noted that, given the breadth of the proposals within the paper, the Redundancy Committee would need to ensure that appropriate criteria were applied in relation to any individual projects coming forward, with sufficient

variance in place to accommodate the contextual differences between disciplines but ensuring equivalency of treatment.

The Court also considered an update on the Biomedical and Life Sciences teaching project. The Director of Human Resources confirmed that the project was on schedule and that staff should be appointed to the posts in time for the new curriculum to be delivered in September. The Court noted that the Voluntary Severance (VS) scheme would remain open to those within the pool at risk of redundancy until after the appointments to the new positions had been made and agreed that it would be appropriate for a VS Scheme to be reopened for specific areas in relation to projects coming forward in the future. Members noted that proposals would be brought forward that defined the criteria for re-opening a VS scheme and the terms of such a scheme, to respond to future requirements in a sufficiently flexible but robust manner.

The Director of Human Resources also provided the Court with an update on interest in and uptake of the VS scheme.

Members noted the improvement in the corporate understanding of the University's position at all levels of management, and that this transformation in culture would aid in the delivery of the projects detailed.

- The Court decided:**
- (i) to reaffirm, in light of the budget position, the need to take urgent action to ensure the University's financial security and sustainability through plans to reduce expenditure and increase income;
 - (ii) to note the current position with respect to interest in and uptake of the VS Scheme to date in the context of the 31 July deadline;
 - (iii) to endorse the contribution to the overall academic staff reductions to be made by each of the College-based projects and to ask that proposals, including the rationale and Human resources processes, be brought to the Court (at a special meeting if required) to identify how those savings would be achieved if they were not met through the VS Scheme;
 - (iv) to endorse the need to address academic productivity in the University and the approach being taken in the context of the current TRAC and other relevant data that inform performance management by School, noting that the student experience and student value for money should be carefully balanced in this respect;
 - (v) to note the contributions made by the proposed academic staff reductions and income-generation activities set out in this paper to the

budget for 2014/15 and financial projections for the next three years; and

- (vi) to note the current position with respect to the Science Teaching Project.

(2) Budget 2014/15

The Director of Finance set out the proposed budget for 2014/15, which had previously been discussed by the Finance & Policy Committee at its meeting on 12 May 2014. Members noted that revisions had been circulated to the Committee on 30 May following a review of the targets, risks and projections by the Convener, Chair of Court, Mr Andrew Richmond, the Director of Finance and the University Secretary.

The Director outlined the approach taken to reduce costs in all areas of the University following initial budget estimates previously reported to the Court and members noted that the budget forecast was a deficit for 2014/15 of £2.7m. The Court noted that a provision of £1m had been made within the budget in relation to the estimated potential exposure to net income from Rest of UK (RUK) and taught postgraduate recruitment and that the predicted deficit represented a stretching target for the University. Members explored the potential risks and provisions within the budget and highlighted the importance of tracking taught postgraduate student recruitment figures over the coming months.

- The Court decided:**
- (i) to request that officers make available to the Court a regular report over the summer regarding taught postgraduate recruitment figures;
 - (ii) to note that the cost and impact of the revised package of RUK bursaries and scholarships would be reviewed by the Finance & Policy Committee in the autumn; and
 - (iii) otherwise, to approve the proposed budget for 2014/15.

(3) 2014 Strategic Plan Forecast for the SFC

The Director of Finance provided a draft of the Strategic Plan Forecast return for submission to the Scottish Funding Council (SFC) at the end of June 2014. The Court noted that the report was provided in the format required by the SFC, however, noting that the margins relative to income were small, members asked that a regular forecast be provided to Finance & Policy Committee that would include a sensitivity analysis for the projections and highlight changes to the forecast – in particular in relation to Rest of UK (RUK) and taught postgraduate student recruitment, Voluntary Severance (VS) scheme uptake and potential changes to the funding situation across the sector.

- The Court decided:**
- (i) to approve the draft of the Strategic Plan Forecast for submission to the SFC;

- (ii) to, noting the risks associated with the projections, ask that officers provide a rolling forecast and sensitivity analysis for the three year forecast; and
- (iii) to suggest that revenue forecasts be considered as a topic for further discussion at the Court Retreat.

86. INSTITUTIONAL RISK REGISTER

The Director of Policy, Governance & Legal Affairs introduced proposed revisions to the Institutional Risk Register (<http://www.dundee.ac.uk/academic/court/riskm/>). The Court noted that the updates to the risk description, scoring, and actions for further control had been considered by the Directors & College Secretaries Group and subsequently endorsed by the Audit Committee. Members also noted that following discussions at Court in December revisions had been made to the presentation and format of the register to make it easier to identify trends and priority risks.

The Court decided: to approve the revisions to the Institutional Risk Register.

87. GOVERNANCE

(1) Governance & Nominations Committee

The Court received a report of the meeting of the Committee on 12 May 2014 (**Appendix 3**). The Court received proposals from the Governance & Nominations Committee relating to the memberships of individual Court Committees, and to the convenership of the Finance, Audit, and Remuneration Committees and the Endowments Sub-Committee for 2014/15. The Court also noted that the Committee recommended that Ms Christina Potter be appointed as Chancellor's Assessor from 1 August 2014 and that this recommendation had been endorsed by the Chancellor.

The Court also noted the Committee's discussions in relation to the remit of the Redundancy Committee as noted in Minute 99.

The Convener of the Review of Court Effectiveness Sub-Group highlighted progress in relation to the quinquennial review, in particular the completion of the online Court member's survey and the schedule of meetings between members and the external facilitator for the review, Mr John Lauwerys. The Chair proposed that a summary of the findings and recommendations from the review be considered as a topic at the Court Retreat.

The Court decided: (i) to approve the proposed memberships of the Court Committees (**Appendix 3** refers);

- (ii) to approve the appointment of Mr Andrew Richmond as Convener of the Finance & Policy Committee from 1 August 2014;
- (iii) to approve the appointment of Mr Andrew Richmond as Convener of the Endowments Sub-Committee from 1 August 2014;
- (iv) to approve the appointment of Mr Ronald Bowie as Convener of the Remuneration Committee for a period of 1 year from 1 August 2014;
- (v) to approve the continuation of Mr Jo Elliot as the Convener of the Audit Committee;
- (vi) to approve the appointment of Ms Christina Potter as the Chancellor's Assessor from 1 August 2014 in terms of Statute 9(1)d;
- (vii) to suggest that a summary of the findings and recommendations from the review of Court Effectiveness be considered as a topic at the Court Retreat; and
- (viii) otherwise, to approve the report.

(2) Election to Court by Senate

The Court noted that Professor Luc Bidaut (School of Medicine) had been elected to serve on the University Court as a professorial member of the Senatus in accordance with Ordinance 18. Professor Bidaut would serve until 31 July 2017 (that being the remainder of the term of Professor Trevor Harley).

The Court decided: to congratulate Professor Bidaut on his election to Court.

(3) Emergency Committee

The Court decided: (i) in accordance with accepted precedent, to remit the transaction of any urgent Court business over the summer, with the exception of any urgent items that relate to Organisational Change Proposals or the operation of the Redundancy Committee, to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairman of Court and the Convener of the Finance & Policy Committee) and one other academic member; noting that the precise composition would be subject to availability. A report on any action taken would be submitted to the first business meeting of 2014/15; and

- (ii) to approve the proposal that any urgent items arising over the summer that relate to Organisational Change Proposals or the operation of the Redundancy Committee be dealt with at an additional meeting of the Court.

88. COURT RETREAT

The Court received a paper outlining considerations for the Court Retreat in September 2014. The Court agreed location, timings and format as proposed. Members also highlighted the usefulness of the Senior Management Team's presence at the event in facilitating the understanding of the Court in relation to key topics.

- The Court decided:**
- (i) to approve the proposed location, timings and format for the retreat; and
 - (ii) to ask that members provide suggestions for topics for consideration at the retreat to the University Secretary or Clerk to Court at their earliest convenience.

89. HUMAN RESOURCES COMMITTEE

The Court received a report of a meeting of the Human Resources Committee on 19 May 2014 (**Appendix 4**). The Court noted the Committee's discussions in relation to the remit of the Redundancy Committee and the approval of a Researcher Development Policy.

The Court decided: to approve the report.

90. AUDIT COMMITTEE

The Court received a report of a meeting of the Audit Committee on 19 May 2014 (**Appendix 5**). Members noted the Committee's discussion of internal audit provision, the conclusion of the investigation of a public interest disclosure, and feedback from the recent Medicines and Healthcare Products Regulatory Agency (MHRA) inspection.

- The Court decided:**
- (i) to approve the plan for the audit of the University's accounts for the year ending 31 July 2014;
 - (ii) to note that recommendations in relation to internal audit provision would be considered later on the agenda as reserved business (Minute 98); and
 - (iii) otherwise, to approve the report.

91. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received reports of the meetings of the Senate on 10 April and 28 May 2014 (**Appendix 6**). Members noted the discussions of the Senate in relation to the Court report to Senate of its meeting on 22 April 2014, the review of Biomedical and Life Science Teaching, and also the nominations received from Senate for membership of the Redundancy Committee. Members noted that some members of the Senate had expressed concern at the potential for confusion in moving to cross-College delivery of teaching programmes, but that this was an area of particular focus for those managing the project.

The Court also noted that the Senate had, for its part, approved proposed revisions to Ordinance 40 (Student Discipline) as set out in the Court minute of 22 April 2014.

The Court decided:

- (i) to approve the recommendations concerning the conferment of the title of Professor Emeritus on Professor Roland Wolf; and
- (ii) otherwise, to note the report.

92. REMUNERATION COMMITTEE

The Court received a report from the meeting of the Remuneration Committee on 16 April 2014 as verbally reported to the Court on 22 April 2014. The Court noted that the Remuneration Committee would consider the merit of Balanced Score Card appraisal methodology at its next meeting.

The Court decided: to approve the report.

93. WELFARE AND 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 16 April 2014 (**Appendix 7**).

The Court decided: to approve the report.

94. ACADEMIC COUNCIL

The Court received a report from the meeting of the Academic Council on 5 May 2014. Members noted the discussions of the Council in relation to the University's financial forecast and proposed reductions in academic staff numbers.

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

95. **STAFF**Statute 16 Disciplinary Matters

The Court noted that a tribunal with the following composition: Professor Robert Duck (Convener), Ms Shirley Campbell (Court) and Professor Timothy Kelly (Senate) had met on 21 April 2014 to hear a disciplinary case against a member of academic staff in the College of Medicine, Dentistry & Nursing in accordance with Statute 16. Court noted that the tribunal had decided that the member of staff should be dismissed and that the individual subsequently lodged an appeal.

The Court decided: (i) to note the outcome of the tribunal; and
(ii) to ratify the appointment, approved by circulation to Court on 26 May 2014, of Mr David Clapham LLB, N.P, SSC to hear the appeal in accordance with Statute 16 paragraph 28 and Ordinance 50.

96. **DATES OF MEETINGS IN 2014/15**

The Court received a paper outlining dates of the meetings of the Committees of Court in 2014/15.

The Court decided: to note the dates contained within the paper.

97. **DATES OF GRADUATION 2014**

The Court decided: to note the dates for graduation ceremonies in 2014.

98. **FAREWELLS**

The Chairman paid tribute to the work of Mr Richard Burns and Ms Marija Tasevska who had reached the end of their terms of office and were attending their last meeting of the Court. The Chairman thanked them for the significant contributions they had made during their time on Court and he wished them well in their future endeavours.

The following items were considered as reserved business at the meeting of Court on 9 June 2014.

Present: Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Mr Richard Bint, Deputy Principal Professor SM Black, Mr RS Bowie, Dr WGC Boyd, Mr R Burns, Dr DH Crouch, Mr J Elliot, Mr I MacKinnon, Ms CA Potter, Mr KA Richmond, Ms M Tasevska, Mr D Taylor and Mr IDM Wright.

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

Apologies: Professor RJ Abboud, Professor L Bidaut, Ms SC Campbell, Lord Provost Mr R Duncan, Ms S Krawczyk, Ms B Malone, Professor GJ Mires, and Dr AD Reeves.

[Secretary's note: The Chair invited Mr Iain Howie to remain for the duration of the discussions].

99. MINUTE 14 OF THE AUDIT COMMITTEE MEETING, 21 MAY 2014

[Secretary's note: Prior to the introduction of the item Mr Richard Bint highlighted his potential conflict of interest as a senior partner of PKF(UK) PLC].

The Court noted the discussions of the Audit Committee in relation to proposals for the provision of the internal audit function after the expiry of the current internal audit contract would at the end of the academic year.

- The Court decided:**
- (i) to approve the proposals set out in the Audit Committee minute of 21 May 2014 in relation to the approach to internal audit provision and the tender for this function;
 - (ii) to note that the Director of Finance would confirm if BDO were able to participate in the tender given the potential conflict arising from Mr Bint's membership of the Audit Committee and the Court; and
 - (iii) to delegate to the Audit Committee the authority to appoint the internal auditor following the tender process.

100. REDUNDANCY COMMITTEE REMIT

The Court received a paper from the Director of Policy, Governance & Legal Affairs which summarised proposed amendments to the remit and responsibilities of the Redundancy Committee arising from discussions with members of Court following its approval at the meeting of Court on 22 April 2014 and subsequent review by the Governance & Nominations and Human Resources Committees. The paper also

enclosed external legal advice from Dundas & Wilson Solicitors and Anderson Strathern Solicitors in relation to the proposed role and remit, and specifically questions raised by members of the Court in this respect.

The Court discussed, in the context of Statute 16, the role of the Redundancy Committee in the event that an Appointing Committee was also required as part of the process. Members also noted the process followed to date in relation to the Biomedical and Life Sciences Teaching project.

The Court acknowledged the complexity of aligning the remit to both employment law and Statute 16, in particular with regard to the definition of selection within Statute 16(11)(1)(a), but noted the reassurance given by external legal advice with regard to this matter.

The Court also noted that it was proposed that the Voluntary Severance (VS) Scheme would be available to individuals where redundancy avoidance procedures were unsuccessful. In response to questions the Director of Human Resources confirmed that the approval of VS applications from those where the Redundancy Committee approved redundancy would be subject to consideration of the cost of the severance package in the same manner as any academic applying for VS. The Court highlighted the importance of demonstrating the use of redundancy avoidance procedures.

- The Court decided:**
- (i) to approve the composition of the Redundancy Committee as follows:
 - Mr Andrew Richmond (Chair)
 - Mr Denis Taylor (Court)
 - Ms Bernadette Malone (Court)
 - Professor Georgina Follet (Senate)
 - Professor Graham Hutton (Senate);
 - (ii) to approve the appointment of a person not employed by the University holding or having held judicial office or being an advocate or solicitor of ten years standing to hear any appeals under Statute 16 (Part V); and
 - (iii) otherwise, to approve the revisions to the Remit and Responsibilities of the Redundancy Committee as presented.

APPENDIX 1

PRINCIPAL'S REPORT (Minute 81)

There is once again, as is often the case for the June meeting, a substantial and significant agenda for this meeting. I have therefore chosen to focus my regular report on a couple of topics which the Court may find useful and/or of interest.

Planning for Possible Referendum Outcomes

There are many significant challenges facing the Scottish Higher Education sector at the present time, and I am privileged that my convenership of Universities Scotland brings an oversight of these matters. The state and reputation of the Higher Education Sector in Scotland is of course of great importance to the Court, and my report seemed an appropriate place for me to share my knowledge of some of these factors with other members.

During the last meeting of Court I highlighted the importance of the University remaining neutral in its position on the Scottish referendum on independence. There is however no doubt that irrespective of the outcome of the referendum, the sector must be prepared for the inevitable post-referendum negotiations whatever the outcome of the vote. Universities Scotland has identified a number of areas and matters where further consideration or preparation is appropriate and these are outlined in its report 'Constitution: Planning for Possible Referendum Outcomes'. The majority of identified risks unsurprisingly relate to sector level issues - which are rightly being considered by Universities Scotland, and the report provides an indication of the extent to which Universities Scotland has undertaken preparatory steps.

Finance

Members will be aware that the University is forecasting a deficit budget for 2014/15. It is essential that as an institution we urgently address the financial challenges, but that we do so in ways that are fully consistent with our vision – continuing to strive for both excellence and an improved financial outlook. Papers J (Transformation: Delivering the Vision paper) and K (Budget 2014/15) provide details of the holistic approach being taken to ensure that our activities align with our Vision and Strategy. Given the responsibility of the Court for oversight of the University's organisational structure, it is however worth highlighting to the Court the plan to review current University organisational and management structures over the summer with the goal of delivering tangible enhancements in this respect.

Perhaps the single biggest challenge and greatest financial risk outlined elsewhere in the papers for this meeting of Court relate to the recruitment of students from unregulated markets. The recruitment of Rest of UK (RUK) and overseas undergraduate students, and taught postgraduate students is however also an area where there is perhaps the greatest opportunity for growth in margin generating income. It is clear from comparator analysis that there is headroom for us to achieve this growth, and as part of our strategy for achieving the University's targets every Dean should now have clear and focused recruitment goals. Furthermore our recent strong performance in the Times Higher Student Experience Survey (1st in Scotland and joint 4th in the UK) and the International Student Barometer (where the University continued to perform well in the four main ISB dimensions – Learning, Living, Support and Arrival, and ranking 1st in Scotland, 4th in the UK and 13th in the whole ISB for overall average satisfaction) bring great potential for further positive marketing of the institution as well as underlining our commitment and progress with regard to improving the student experience.

Recruitment update

A full summary of recruitment figures for 2014/15 entry will be presented to the Court following matriculation in the autumn, however for the information of Court a summary of the current position in relation to undergraduate student recruitment for entry in 2014/15 is provided in the table below. There are positive signs in terms of Scottish/EU applications and acceptances, with the rise in MD40 applications and acceptances particularly pleasing (MD40 acceptances are up 102 in total compared with last year). By contrast, uncontrolled RUK and Full Fee applications have seen substantial falls. Across both undergraduate and postgraduate programmes the rate of conversion of offers to acceptances has however risen, perhaps bolstered by the improved support within Admissions & Student Recruitment Services (ASRS), the new bursaries & scholarship packages, actions taken by Schools/Colleges and the #Testdrivedundee marketing campaign. Over the last few weeks acceptances from overseas undergraduates have increased and now show a rise in both controlled and uncontrolled areas compared to this point last year. The RUK acceptance pattern has also improved significantly, with acceptances in the important non-controlled category now being broadly the same as last year, but with controlled numbers still slightly down. This means that both RUK and Full Fee acceptances in non-controlled subjects are now running

slightly down. This means that both RUK and Full Fee acceptances in non-controlled subjects are now running slightly ahead of this time last year. RUK and overseas UCAS applications for non-controlled areas will remain open and will continue to be processed until 30 June 2014, and from 1 July 2014 the University will turn its attention to encouraging students from these groups to apply directly via clearing.

While it remains relatively early in the taught postgraduate admissions cycle, so far the University has received a higher volume of applications from the UK/EU and a lower volume of applicants from overseas. Again, conversion rates for overseas applications show improvements on last year.

Despite the continued efforts being made to increase the student intake via on-going conversion activity and the targeting of clearing markets, the 2014/15 budget forecast is prudent in the inclusion of a provision of £1m against the risk to net income of under recruitment relative to rightly stretching targets, in particular for overseas taught postgraduate recruitment.

Admissions Progress Report - Summary

Full Time Undergraduate Programmes

Programmes for 2014/5 Entry as at 02/06/2014

Fee Status	Total Offers				Total Acceptances			
	Previous Cycle (03/06/2013)	Current Cycle (02/06/2014)	Difference	% Change	Previous Cycle (03/06/2013)	Current Cycle (02/06/2014)	Difference	% Change
MD40	1358	1525	167	↑ 12.3%	516	605	89	↑ 17.2%
Non MD40	3560	3736	176	→ 4.9%	1182	1152	-30	→ -2.5%
Total: Scotland Fee	4918	5261	343	→ 7.0%	1698	1757	59	→ 3.5%
MD40	68	86	18	↑ 26.5%	21	34	13	↑ 61.9%
Non MD40	1194	1130	-64	→ -5.4%	262	247	-15	→ -5.7%
Total: EU Fee	1262	1216	-46	→ -3.6%	283	281	-2	→ -0.7%
RUK - Controlled Subjects	296	285	-11	→ -3.7%	132	116	-16	↓ -12.1%
RUK - Uncontrolled Subjects	1293	1061	-232	↓ -17.9%	142	144	2	→ 1.4%
Total: RUK Fee	1589	1346	-243	↓ -15.3%	274	260	-14	→ -5.1%
Full Fee - Controlled Subjects	41	75	34	↑ 82.9%	15	52	37	↑ 246.7%
Full Fee - Uncontrolled Subjects	467	433	-34	→ -7.3%	47	61	14	↑ 29.8%
Total: Full Fee	508	508	0	→ 0.0%	62	113	51	↑ 82.3%
Total: University	8277	8331	54	→ 0.7%	2317	2411	94	→ 4.1%

Concluding Remarks

From recent discussions at meetings of the Court and the Senior Management Team (SMT), the patterns of margin- generating income growth potential are becoming clear across the Colleges and Schools. While there will rightfully be differing targets in different areas to reflect both current practice and also potential within current markets, clear targets are being set and communicated across the University which should see us continue in our drive for excellence while improving our financial position.

It only remains for me to wish you all a pleasant summer and remind members of arrangements for the summer graduation ceremonies (18-20 June) as detailed on the agenda. The participation of members of Court is always greatly appreciated and I hope to see many of you there as we honour our graduands

Professor Pete
Downes
Principal & Vice-
Chancellor

Senior Management Team Meetings (SMT)

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

Since the last report to the Court, the Senior Management Team met 23 April, 7 May and 21 May when the following matters were considered:

Corporate Matters

- 5 Million Questions: Media Strategy
- CBI Scotland
- CASE College Management
- Admissions Progress Reports
- Collaborations with the University of Aberdeen
- Centre for the Enhancement of Student Skills Development and Staff Professional Learning

Finance issues

- Budget update
- Management Accounts
- Investment in LED lighting
- Financial Strategy and Sustainability
- Financial Analysis 2008/09-2016/17
- TRAC Time Allocation Survey response
- Surgical Skills Options Appraisal

Human Resources Issues

- Staff Recruitment
- Health & Safety Provision
- VS
- Communications to Staff regarding Transformational Changes
- Promotion Procedure and Criteria
- Ballot for Industrial Action
- Emerging Leaders Programme
- Athena Swan Bronze Award
- Communications and Marketing Job descriptions

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.

Curriculum for Excellence Symposium

The University of Dundee is hosting a symposium on Tuesday 17th June 2014 to consider and discuss the impact of the Curriculum for Excellence and the Senior Phase of study on learners as they make the transition from school or college to Higher Education. The aims of the symposium are: To develop greater cross-sectoral understanding of the potential impact of the Senior Phase and the new national qualifications (NQs) and to explore how the University of Dundee can support both learners and teachers in schools and colleges with the demands of the Senior Phase

College of Arts & Social Sciences Teaching Awards

Professor Trevor Harley, from the School of Psychology, won the Excellence in Teaching: Promoting Good Practice Award, while the School of Humanities' Dr Daniel Cook received the Creative Teaching: Recognising Innovative Practice Award.

Barbara Illsley, of the School of the Environment, and Susan Buckman, from the School of Education, Social Work and Community Education, shared the Transformational Teaching: Creating Wider Impact Award.

Chancellor's Award for Teaching College of Medicine, Dentistry & Nursing

Professor Jean Ker has been awarded the Chancellor's Award for Teaching for the College of Medicine, Dentistry and Nursing. Jean is an inspirational educationalist who has an international profile for her role in leading development of clinical skills training for medical and other health care students and postgraduate professionals in Dundee, across Scotland and internationally. She has played a pivotal role in developing the highly acclaimed Clinical Skills Centre and Dow Ward Simulation Unit within Ninewells Hospital and has used this expertise to develop similar approaches internationally.

Royal College of Surgeons of Edinburgh: James IV Fellowship

Mr Ghulam Nabi has been awarded the James IV Fellowship by the Royal College of Surgeons of Edinburgh. This travelling fellowship allows him to spend up to six weeks in centres outside the UK to develop collaborations and research opportunities. Ghulam, who leads a major research group working on translational studies in prostate cancer within the Medical School is the first urologist in the United Kingdom to be awarded this fellowship which is a tribute to his reputation and research progress.

Lottery boost for Great War Dundee group

The Great War Dundee partnership, set up to commemorate the centenary of the Great War, has been awarded over £75,000 from the Heritage Lottery Fund. Great War Dundee, a city-wide partnership which includes the University of Dundee, colleges, libraries, museums, archives, visitor centres, the media, voluntary organisations and members of the public, was launched last year to co-ordinate local commemorative activities linked to the First World War centenary.

Engage Dundee

Attracting over 400 people from in and around Dundee from the start of this year, Engage Dundee lectures are part of a wider Engage Dundee initiative by CASS to disseminate knowledge locally and globally in order to make a positive difference to the social and cultural wellbeing of society. In the final event of the spring series Professor Graeme Hutton, Head of Architecture & Planning will look at ways of ensuring the city's present and future dovetail as it goes through its biggest construction project for a generation. Ways in which Dundee's existing streets and buildings can be used to enhance the £1billion Waterfront regeneration were also explored. An engage Dundee for primary schools has also seen 350 pupils given the opportunity to participate in a number of interactive workshops and exhibitions including writing and performing their own play, planning a new town and trying their hand at teaching.

From climate change to comics, tsunamis to psychology, there was a huge range of topics covered and we hope that taking part helped the pupils think about their learning in a new way and inspire them to attend University in later years.

Innovative new Taught Postgraduate Provision

The University of Dundee is to offer a number of new, exciting interdisciplinary postgraduate programmes which will prepare graduates to tackle some of the major challenges facing the world at present and include an: MLitt Devolution and Global Governance, MLitt and LLM International Law & Security, MSc Sustainability, and MSc Management and MSc Leadership and Innovation programmes.

The Scots and the Union: Then and Now

'The Scots and The Union' has been republished in a revised and extended version. When first published in 2007, to mark the tricentenary of the Union, it received huge critical acclaim for being a game-changing account of the making of the United Kingdom. Exploding the myth of 'bought and sold for English gold', it was deemed to have 'reset the historiography of Scotland'. In the new edition Professor Whatley provides readers with an essential explanation of why and how Scotland became part of the UK and brings the historical debate into a vigorous present.

NSS Survey

The 2014 NSS has now closed and the University we achieved a record 77% response, significantly exceeding the target of 71%, and over 10% higher than last year. The response rate was also well ahead of the sector average of 69%.

Science without Borders

A total of 46 students will be joining the University of Dundee from Brazil through its Science Without Borders programme – double the previous intake. Record number of Science Without Borders Students for September 2014. The University of Dundee is the only University in the UK to offer Medicine and Dentistry programmes to these scholars.

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/news/>

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. Please note that any joint awards with other institutions record the University of Dundee value only and is inclusive of overhead cost awards.

Professor E Pearson (Cardiovascular & Diabetes Medicine)

£1,795,764 from Wellcome Trust for Stratified Medicine in Type 2 Diabetes: Insights from the Study of Drug Response (New Investigator Award)

Professor T M MacDonald (Cardiovascular & Diabetes Medicine)

£1,039,764 from British Heart Foundation for Treatment in the Morning Versus Evening (TIME Study) (Joint with University College London and Universities of Edinburgh, Cambridge and Glasgow)

Professor J R Swedlow (Gene Regulation and Expression)

£551,008 from Biotechnology and Biological Sciences Research Council for Expanded Metadatas Support in the Open Microscopy Environments Bio-Formats & OMERO Data Applications

Dr D Leslie Pedrioli (Molecular Medicine)

£446,007 from Medical Research Council for Keratinizing Skin Disorder: From Systems Biology to Targeted Therapeutics (New Investigator Application)

Professor M Field (Biological Chemistry and Drug Discovery)

£290,528 from Medical Research Council for Defining and Leveraging the Mechanism of Action of Suramin for Treatment of Trypanosomiasis (joint with University of Cambridge)

Professor M A J Ferguson (Biological Chemistry and Drug Discovery)

£237,016 from EC FP7 People/Marie Curie for Parasite Glycobiology and Anti-parasitic Strategies (GLYCOPAR)

Dr M J Brown (Civil Engineering)

£183,297 from Engineering and Physical Sciences Research Council for Seabed Ploughing: Modelling for Infrastructure Installation (Joint with Durham University)

Professor S Parkes (Computing)

£147,752 from Astrium GmbH for Next Generation Mass Memory Architecture CCN 2: Update for Phase 2 Activities

Dr LC van Blerk (Geography)

£144,947 from Street Invest for Growing Up on the Streets

Professor TP Dawson (Geography)

£100,000 from Joint Information Systems Committee (JISC) for Mining Relationships Among Variables in Large Datasets from CompLEx Systems (MIRACLE) (Joint with Arizona State University, University of Twente and University of Waterloo)

Professor S Partridge (Duncan of Jordanstone College of Art & Design)

£24,134 from Arts and Humanities Research Council for TV21: Innovative and Creative Engagements with New Audiences and User Communities (AHRC Follow On Funding for Impact and Engagement Scheme)

DR SA Jackson (Social Work)

£8,033 from East Ayrshire Council for Young People's Views of the Child Protection System.

Annex D

People and Prizes

The following examples of individual achievements, excellence, and awards have been selected as topics of potential interest for members to refer to while acting as ambassadors for the University.

Professor Angus Lamond

Professor Angus Lamond, Wellcome Trust Principal Research Fellow and Professor of Biochemistry in the College of Life Sciences, has been made Fellow of the Academy of Medical Sciences. His career has seen him carry out seminal work on gene expression, proteomics and the structure and functional organisation of the nucleus of mammalian cells.

Professor Sue Black

Professor Sue Black has been appointed one of 28 new Royal Society Wolfson Research Merit Award holders. Jointly funded by the Wolfson Foundation and the Department for Business, Innovation and Skills (BIS).

Royal Scottish Academy John Kinross Scholarships

Students Benjamin Whitney, Uist Corrigan, Abigail Dryburgh, Anna Hughes and Ellis O'Connor will each undertake month-long study tours in Florence after winning John Kinross Scholarships worth £2500 from the Royal Scottish Academy.

Professor Blair Smith

Professor Blair Smith, Professor of Population Health Science in the University has been named as the new national clinical lead for chronic pain in Scotland.

Professor Nicholas Fyfe

Professor Nicholas Fyfe, Director of the Scottish Institute of Policing Research (SIPR), based at the University, has been named as the joint winner of a prestigious international award for crime policy by The Center for Evidence-Based Crime Policy (CEBCP), based at George Mason University in Washington.

APPENDIX 2

FINANCE & POLICY COMMITTEE
(Minute 84)

A meeting of the Committee was held on 12 May 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; and Mr IDM Wright.

In Attendance: Mr J Elliot; University Secretary; Vice-Principal Professor K Leydecker; Director of Campus Services; Director of Policy, Governance & Legal Affairs; Director of Strategic Planning; Mr J Lauwerys; Ms S Young (Management Accountant) and Clerk to Court.

Apologies: Director of Finance.

1. MINUTES

Resolved: to approve the minutes of the meeting of 24 March 2014.

2. MANAGEMENT ACCOUNTS PERIOD 8

The Committee received the accounts for the Period to 31 April 2014 including reports on income and expenditure, capital expenditure, cash flow, balance sheets and treasury reports. Members noted that the year-end forecast had continued to improve and now stood at £125k ahead of budget for the first time.

In his report the Director of Finance had highlighted possible additional costs which were not yet reflected within the forecast, including: potential additional Oracle Licence costs, severance costs and the likely requirement for further investment in CAHiD. Members noted that the forecast was therefore unlikely to improve further. In presenting the report the Finance Manager highlighted that a tranche of funding from the Scottish Funding Council (SFC) had been received ahead of schedule, resulting in cash and short-term investments at the month end increasing to £51.4m compared with £35.5m at the end of February.

The Finance Manager went on to highlight the recent Transparent Approach to Costing (TRAC) submission to the SFC/HEFCE for the 2012/13 financial year. Members noted that the total TRAC deficit had increased by £3.7m to £16.3m which was consistent with the £2.7m fall in the surplus reported in the audited accounts. In response to questions the Finance Manager confirmed that the TRAC data was being used by the Senior Management Team, Schools and Directorates to build an improved understanding of the relative financial positions of the different parts of the University.

The Finance Manager also confirmed that the TRAC data was dependent on the adequate completion of time allocation surveys, the overall complexion of which were additionally moderated by Deans against expected patterns based on workload allocation models. In this way, it was hoped that the survey returns would evidence greater reliability. She confirmed that the return rate within the current cycle was ~70%. Bearing in mind the way TRAC was calculated, members noted that to achieve the 6% surplus target the University would need to improve the TRAC deficit by around £12.3m (from £16.3m to £4m). Members noted that research was particularly reliant on capital funding and as a result was more likely to show a deficit in TRAC, nevertheless members highlighted the need to improve the level of research, particularly that which achieved full economic costing, and reduce the level of unfunded research being carried out.

The Committee noted that 'Non-Publicly Funded Teaching' and 'Research' were key areas for improvement, but that efficiencies within 'Publicly-Funded Teaching' were also possible. Members also noted that the areas for potential financial improvement differed across the Schools and Colleges and the University Secretary highlighted the importance of any actions arising from such an analysis being placed in the context of the University's over-arching mission and its academic reputation in teaching, student experience and research.

Noting the fact that an improvement of £12.3m would require considerable change, but was in many ways consistent with the recent Court discussions regarding the implementation of the transformation vision and financial position, members suggested the TRAC data could form a useful part of the analysis to be presented in the paper to the Court in June.

Resolved: to note the report.

3. BUDGET 2014/15 & CAPITAL PLAN

The Committee considered the provisional budget for 2014/15 including plans for capital expenditure. The paper summarised significant financial movements from 2013/14 to 2014/15 including Rest of UK (RUK) fee projections, SFC grant income, the cost of staff moving from external funding, increases to employment costs, proposed new posts, research contributions, and operating expenses. The University Secretary informed the Committee that the SFC grant letter had been received on the evening of Friday 9 May 2014 and that the Finance Office were analysing the contents of the letter at the time of the meeting.

The Committee expressed concern at the projection of a deficit budget of £3.5m before the exceptional cost of any redundancies were taken into account. In reviewing the budget projections the Committee noted that the national pay award, incremental progression and cost of staff on external contracts moving to core funding amounted in themselves to an increase of over £4m in costs. Noting that the movement of staff on external contracts to core funding related largely to tenure-track positions members suggested that a provision against these costs be included in the budget in future years.

In response to questions the University Secretary confirmed that the projections were subject to further refinement and advised that they were particularly sensitive to the timing of Voluntary Severance approvals and RUK fee projections - both of which were subject to change at the time of the meeting as applications for VS were now moving through the approvals system and the deadline for applicants to accept offers had not yet been reached.

The Committee reviewed at length the assumptions and related risks within the budget, in particular those relating to Rest of UK (RUK) undergraduate recruitment and suggested that this aspect of the budget be further scrutinised before its presentation to Court.

In light of the cost reductions sought across the University, the Committee was pleased to note that new posts would be subject to a number of new controls and close scrutiny prior to approval, and that while management recognised the need to invest in some areas to achieve income growth it was expected that the projections relating to new posts would be reduced following review.

The Committee noted the difficulties in cash forecasting relating to research, especially in light of the current EU framework coming to an end and the expected lag period before details of the Horizon 2020 framework would be known. Members asked that an update be provided on work done by the Research Finance team to improve the forecasting accuracy.

Members also noted that consideration would be given to the necessity and utility of the current Barclays loan facility, which had not to date been used, and that a proposal would be provided to the Committee at a future date in this respect.

Returning to RUK recruitment assumptions within the budget, the University Secretary reminded members of the reduction in funding from the SFC following the introduction of RUK fees. Members noted that this reduction had been calculated based upon what had been peak RUK numbers and at a time when the University had been seeking to reduce its overall regulated student intake (RUK and Scottish students not being differentiated in those numbers) and reduce the number of students entering the University with low A level grades. Members discussed the RUK and taught postgraduate recruitment targets required to achieve a break-even position relative to the reduction in SFC funding and the impact of scholarships and bursaries on these targets in light of a higher than anticipated number of student applications qualifying for the Academic Excellence scholarship (students expected to achieve ABB or higher). In response to questions the Vice-Principal for Learning & Teaching told the committee that RUK undergraduate acceptances for the current cycle remained flat relative to the previous intake and that although it was early in the taught postgraduate recruitment cycle acceptances had decreased relative to the same point in the previous cycle. While it was difficult to assess the impact of the scholarships and bursaries scheme on recruitment numbers given that the scheme and other marketing efforts had been designed to target the 2015/16 intake, the Vice-Principal for Learning & Teaching confirmed that the cost and impact of the schemes would nevertheless be reviewed. The Committee suggested that it would also be helpful if the costs of bursaries could be allocated to Colleges and made clear within the budget.

The University Secretary told the Committee that one of the deadlines for potential students to confirm their acceptances through UCAS was 16 May 2014 and that the budget projections would be reviewed after that date.

Resolved: to ask that an updated budget be discussed with the Convener of the Finance & Policy Committee and Chair of Court and then circulated to the Committee prior to its submission to the Court for approval.

4. FINANCIAL PROJECTIONS FOR THE SFC

The Committee received an outline of the projections and underlying assumptions for the annual three-year forecasts for submission to the SFC. Members noted that the report was provided in the format required by the SFC, with the Period 6 accounts being used as the baseline. Members asked that an updated report based upon the revised budget be provided to the Committee once available and asked that the report include modelling of a range of risk-based scenarios.

The Committee discussed the relatively poor performance in relation to overseas tuition fees as a percentage of total income as highlighted by the comparator table and noted that the University should be aiming to double this percentage.

Resolved: to ask that a revised three-year projection be circulated to the Committee prior to its submission to the Court following further review of the budget as described in minute 3 above and further analysis of the assumptions around RUK recruitment.

5. CAMPUS SERVICES

(1) Estates & Buildings Report

The Director of Campus Services introduced his regular report to the Committee. In doing so he updated members on an opportunity for a land swap with Dundee City Council in relation to the Park Place Primary School. Members noted that a paper would be presented to the Committee once any costs had been fully explored.

The Director went on to provide an update on progress in relation to the capital plan. Members noted that Phase 2 works for the Ninewells Library and Teaching Accommodation project had been completed and handed over. A claim for £118,000 had since been received from ISG Construction relating to asbestos removal and exam-related delays, however members noted that the University disputed the claim. With regard to Phase 3 works, the Director told the Committee that work on Lecture Theatre 1 was completed and that the design team were progressing with a stage D report for Lecture Theatres 2 and 3.

Turning to the Duncan of Jordanstone College of Art & Design programme of works the Director highlighted the commencement of upgrade works to the lifts and scheduling of further refurbishment of roofs over the summer. Members also noted that good progress had been made in relation to the installation of a 4th Combined Heat and Power (CHP) generator.

The Director went on to highlight two significant issues which had negatively impacted upon the construction programme for the Centre for Interdisciplinary Research (CTIR): firstly, the flood occurring in late January 2014 and secondly, defects associated with two elevations of curtain walling at the west end of the building. On the latter issue, members noted that partial completion of the building was expected to take place in June 2014, but that the curtain walling issue remained subject to resolution. Noting that the liability for the defects was a matter of dispute, but that the University's lawyers had advised that the liability rested with the contractor, members suggested that the Director examine the contract and options for withholding final payment until the defects were corrected.

The Committee noted that discussions were on-going in relation to the previously reported projects 'in dispute'.

Resolved: to note the report.

(2) Energy Savings: Update

The Director of Campus Services introduced an energy savings report. In doing so he projected heat, light and power costs for 2014/15 of £4.5m and set out new initiatives designed to reduce this cost by 2-3%. The report also outlined the distribution of costs by College for the city campus and the Committee asked that further information be provided on the costs at the Ninewells and Kirkcaldy campuses.

Noting that the installation of energy meters now enabled the allocation of energy costs to College budgets the Committee recommended that the University should seriously consider allocating energy and space charges to Schools and Colleges.

- Resolved:**
- (i) to request further information outlining the distribution by College of energy costs across all campuses; and
 - (ii) to ask management to consider how the allocation of space and energy costs to Colleges and Schools may be introduced.

6. ANNUAL PROCUREMENT REPORT

The Committee considered the annual procurement report. Members noted that a number of recommendations from the Internal Auditor related to the implementation of a purchasing system (PECOS) and that the Audit Committee would be closely monitoring the implementation of the system through its follow up of internal audit recommendations.

Resolved: to note the report

7. SURGICAL SKILLS: INITIAL BRIEFING

The Committee received an initial briefing paper which set out the vision for building upon the University's reputation in Surgical Skills training (Cuschieri Surgical Skills Unit) and in applied anatomy (Centre for Anatomy and Human Identification) to create an enhanced institute for surgical skills training. Members were interested in the opportunity presented and asked that a full options appraisal and business plan be brought to the Committee which included details of: possible venues for the Institute - utilising where possible the existing estate; a sustainability assessment; funding that would need to be in place prior to the formation of the Institute; and the contributions the Institute might make to the University over a 5 year period.

The Committee noted the potential interest from a global healthcare provider in a strategic alliance with the University in relation to this proposed project, but were concerned at the company's deadline for a first iteration of the proposal by the end of May 2014. Members noted that any proposal would, in accordance with the schedule of delegation, return for debate at the Finance & Policy Committee at a future date prior to being considered by the Court, and highlighted the preference that the University maintain a controlling interest in the Institute.

Resolved: to note the Committee's interest in further exploring the opportunity and to ask that a full business case be presented to the Committee at a future date.

8. DATES OF MEETINGS 2014/15

The Committee noted the dates of meetings for 2014/15.

9. THANKS

Noting that the meeting would be the last meeting chaired by the current convener before the end of his term of office on Court, the Committee thanked him for his outstanding service and leadership of the Committee over the last 4 years.

APPENDIX 3

GOVERNANCE & NOMINATIONS COMMITTEE
(Minute 87(1))

A meeting of the Committee was held on 12 May 2014.

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

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

1. MINUTES

Resolved: to approve the minutes of the meetings of 24 March 2014.

2. MATTERS ARISING

Quinquennial Review of Court Effectiveness (Minute 5)

The Convener of the Review of Court Effectiveness Sub-Group updated the Committee on arrangements for the review. Members noted that the external facilitator for the review, Mr John Lauwerys, had attended the meeting of Court on 22 April and that as part of the review he would also attend meetings of the Governance & Nominations, Finance & Policy, Human Resources and Audit Committees. The project was on track: one-to-one meetings between Mr Lauwerys and members of Court were being organised and the review of Court effectiveness questionnaire had been launched on 2 May 2014.

Resolved: to note the update and encourage members to complete the questionnaire and be flexible wherever possible with regard to arrangements for one-to-one meetings with Mr Lauwerys.

3. CORPORATE GOVERNANCE

[Members agreed that the Convener should remain during discussions].

The Committee considered the timing of the annual discussions on the performance and effectiveness of the Chair of Court. Members also reviewed the proposed focus areas and example questions for the upcoming review which were based upon those used in previous reviews and incorporated feedback on the process from the previous year. The Committee highlighted the importance of holding the review before the end of the academic year to ensure that the views of those leaving the Court over the summer were captured.

Resolved: (i) to agree that the review be scheduled early on the agenda of the meeting of Court on 9 June 2014; and

(ii) to approve the focus areas and revised questions.

4. SUCCESSION PLANNING

(1) Court Membership 2014/15

The Committee received confirmation of Court membership for 2014/15. Members were advised that Mr Iain Wright would reach the end of his maximum term of office on Court on 31 July 2015. They noted that Privy Council approval was still pending in relation to changes to Statutes previously approved by the Committee that would change the mechanism for identification of Graduates' Council Assessors on Court from an election to an interview and selection process. Members noted that the closing date for receipt of applications for the role was 30 November 2014, but that interest in the position had so far been disappointingly low. The Committee was keen to see further advertising of the position in the lead up to the application deadline.

The Committee noted that as a result of the approval of changes to Ordinance 18 (Election of Members of the Court and the Senatus) which had been designed to bring the maximum terms of office of elected members in line with good practice recommendations within the Scottish Code of

Good HE Governance, the maximum end date for the terms of office of Professor Rami Abboud (elected by the Senate) and Professor Gary Mires (elected by the Academic Council) would be amended to 31 July 2015 as they would have served continuously for 11 and 8 years respectively at that time and would no longer be eligible for re-election.

Resolved: to note the membership.

(2) Membership and Convenership of Committees of Court

The Committee discussed the convenership of the Audit, Finance & Policy, and Remuneration Committees and the Endowments Sub-Committee. In doing so members reviewed desirable criteria for these roles alongside the interests, skill sets and experience of members of Court. The Chairman of Court also highlighted expressions of interest and suggestions received from Court members and his discussions with members of Court who had been considered potential candidates for the roles. Following discussion, the Committee recommended the appointment of Mr Andrew Richmond as Convener of the Finance & Policy Committee and Endowments Sub-Committee, the continuation of the appointment of Mr Jo Elliot as the Convener of the Audit Committee and the appointment of Mr Ronald Bowie as the Convener of the Remuneration Committee, all with effect from 1 August 2014.

In reviewing the membership of the Committees of Court, members noted the potential conflict in Mr Richmond continuing to serve as an employer-nominated Trustee of the University of Dundee Superannuation Scheme while acting as the convener of the Finance & Policy Committee.

The Committee also considered the need for formal statements on the composition and balance of Committee membership. The Committee agreed that those members of Court currently serving should continue to serve on the Internationalisation and Wider Impact Committees. The Committee was also satisfied that there was no need to re-examine the balance of membership on the Human Resources Committee to ensure a lay majority.

The Committee then considered the general membership of its Committees for the next academic year. In doing so, the preferences communicated by individual members were noted and the Committee was also careful to ensure an appropriate balance of skills and membership groups on Committees.

- Resolved:**
- (i) to recommend to Court the memberships of its Committees for 2014/15 as set out in annex;
 - (ii) to recommend that Mr Andrew Richmond be appointed as Convener of the Finance & Policy Committee and Endowments Sub-Committee from 1 August 2014, noting that further consideration required to be given as to whether he should continue to serve as an employer-nominated Trustee of the University of Dundee Superannuation Scheme given the possible conflict of interest;
 - (iii) to recommend that Mr Jo Elliot continue as Convener of the Audit Committee;
 - (iv) to recommend that Mr Ronald Bowie be appointed as Convener of the Remuneration Committee from 1 August 2014;

[Secretary's note: the above noted members were subsequently approached and indicated a willingness to serve as indicated].

(3) Chancellor's Assessor

Noting the responsibilities of the Chancellor's Assessor as the Senior Independent Member of Court as defined by the newly approved Ordinance 63 (Chancellor's Assessor) the Committee discussed the attributes and skills which were desirable for candidates for the role.

Resolved: subject to consultation with the Chancellor, to recommend to Court that Ms Christina Potter be appointed as the Chancellor's Assessor from 1 August 2014 in terms of Statute 9(1)(d).

[Secretary's note: The Chancellor subsequently indicated his support for the appointment of Ms Potter as Chancellor's Assessor and Ms Potter has since indicated a willingness to serve in this capacity.]

5. COURT & COMMITTEE MEMBERSHIP

(1) Meetings with Court Members

The Convener reported on his meetings as Chairman of Court with individual Court members. The Committee noted that the majority of meetings had taken place and that the Chairman was looking to schedule further meetings with those members completing their first year on Court before the end of the academic year.

Resolved: to note the report.

(2) Court & Committee Attendance

The Committee received a report setting out the attendance of individual Court members at Court and Committee meetings as well as their involvement in additional activities such as investigations, attendance at events and Grievance Committees. Members noted that attendance had generally been good and that the low attendance of one member was explained by illness.

Resolved: to note the report.

6. REMIT AND RESPONSIBILITIES OF COURT AND A REDUNDANCY COMMITTEE

At the meeting of Court on 22 April 2014 the Court approved a draft remit for the operation of a Redundancy Committee subject to further legal consultation on a number of issues. The University Secretary introduced a revised draft, and members noted that further legal opinion was being sought in relation to a number of ancillary issues.

The Committee noted that the remit needed to be robust and stand up to challenge, but also be transparent. Members suggested that consideration should also be given at an early stage to the number of Court members to be involved within the Committee.

The Director of Legal Services confirmed that following enquiries from members of Court, external legal advice had been sought in relation to whether the Redundancy Committee Chair should be a member of Court, a Vice-Principal or an independent member such as an external lawyer. She confirmed that this was deemed to be a matter for the Court to decide. The Director went on to clarify the role of the student within the Redundancy Committee. External legal advice had been sought on this issue and the University had been advised that a student who was also a member of the Court may attend the Committee's meetings, but should not participate in the debate or decisions. It was however noted that it would be appropriate for students to be involved within the Appointing Committee discussions and decisions.

The Committee discussed at length the relative roles of the Appointing and Redundancy Committees in the process. The Committee was keen to ensure that the process was not unduly protracted for individuals in a potential redundancy situation, but was of the opinion that the Appointing and Redundancy Committee meetings should not be combined but be separate. The Director proposed that guidance might be produced to supplement the remit and terms of reference and further explain the process. A training seminar was being set up to give further clarification to any concerns or questions. The Committee highlighted the importance of ensuring that the remit and terms of reference were compatible with the University's statutes and with employment law. Members were keen that any conflicts between the statutes and employment law were considered and clearly resolved and that the legal advice on these issues was defined for members of the Court.

The Committee also sought clarification of a number of aspects to the remit. The Director told the Committee that she welcomed comments, suggestions and additional questions from members on the current draft in order help refine the remit further with the aim of ensuring its legal compliance and a fair process for both staff and the University. The Committee noted that the Human Resources Committee would also consider and provide comment on the draft and that a revised version would be provided to the Court in June.

Following discussion, and noting that advice had been sought from the Director of Legal Services and the University's external solicitors, Messrs Dundas and Wilson, members asked that additional external legal advice be sought from a second firm of solicitors not currently engaged by the University to give the Court further legal assurance that the remit of the Redundancy Committee was appropriate.

- Resolved:**
- (i) noting that the Human Resources Committee would also comment on the proposed remit and that timelines were tight, to recommend that further revisions in line with the discussions above be made prior to the remit being provided to the Court; and
 - (ii) to ask that further legal opinion be sought in relation to the proposed remit in addition to any further input from the University Solicitor and Dundas & Wilson; and

7. **PROFFESIONAL ADVICE FOR COURT MEMBERS**

The Director of Policy, Governance & Legal Affairs introduced draft guidance for the access of professional advice by members of Court. Members noted that the current Standing Orders of Court made no provision for how members may access independent professional advice should they consider it necessary or desirable. The proposed process noted the UK Corporate Governance Code, the Accounts Direction from the Scottish Funding Council and the Scottish Code of Good HE Governance.

Members noted that there were potential legal and insurance implications for those independently accessing professional advice, and that the proposed process aimed to take account of these factors. Members also highlighted examples of good practice in the corporate sector.

The Committee highlighted a range of scenarios under which the guidance may apply including the Court itself seeking advice, individual members of Court seeking advice due to a particular role, individuals seeking advice in the case of conflicts arising with the Court, and individuals seeking advice where no dispute or conflict existed but where it was felt that the University's independent advice was either not sufficient or correct. The draft guidance had not been prepared with all of these potential issues and scenarios in mind and so the Director proposed that the guidance be reviewed and brought back for consideration at a future meeting of the Committee.

- Resolved:** to note that revised guidance would be provided to the Committee for further discussion at its next meeting on 6 October 2014.

Membership of Court Committees 2014-15

1. **Audit Committee (AC)**
Members
 Mr Jo Elliot (Convener)
 Mr Ian Stewart
 Ms Sandra Morrison-Low
 Ms Bernadette Malone
 Mr Richard Bint
 Dr William Boyd

Normally in attendance
 Convener of Finance & Policy Committee
 University Secretary
 Director of Finance
 Director of Policy, Governance & Legal Affairs
 Clerk to Court (Secretary)
 Other officers at the discretion of the Director of Finance

2. **Finance & Policy Committee (F&PC)**
Members
 Mr Andrew Richmond (Convener)
 Principal
 Professor Rami Abboud
 Professor Sue Black
 Mr Ronald Bowie
 Mr Eric Sanderson
 Mr Iain Howie
 Mr Denis Taylor
 President of the Students' Association

Normally in attendance
 Convener of Audit Committee
 University Secretary
 Vice-Principal Learning & Teaching
 Director of Finance
 Director of Policy, Governance & Legal Affairs
 Director of Campus Services
 Director of Strategic Planning
 Clerk to Court (Secretary)

3. **Endowments Sub-Committee**
 Mr Andrew Richmond (Convener)
 Mr Eric Sanderson
 President of the Students' Association
 Mr Alan Young (lay Endowment Committee member)

4. **Governance & Nominations Committee (G&NC)**
Members
 Mr Eric Sanderson (Convener)
 Principal
 Professor Rami Abboud
 Ms Christina Potter
 Mr Iain Wright (to January 2015)
 Dr William Boyd
 Ms Bernadette Malone
 Dr Sam Crouch⁺
 Mr Robin Van Mulders

Officers normally in attendance

Secretary
 Director of Policy, Governance & Legal Affairs
 Clerk to Court (Secretary)

5. **Human Resources Committee (HRC)**Members

Ms Christina Potter (Convener)
 Dr William Boyd
 Ms Shirley Campbell
 Mr Denis Taylor
 Senate member of Court (to be elected)
 Mrs Sheila Krawczyk
 Professor Karl Leydecker
 Professor Gary Mires
 Dr Alison Reeves

Officers normally in attendance

University Secretary
 Director of Human Resources
 Deputy Director of Human Resources (Secretary)
 Other officers at the discretion of the Director of Human Resources

6. **Internationalisation**

Mr Denis Taylor

7. **Remuneration Committee (RemC)**Members

Mr Ronald Bowie (Convener)
 Mr Jo Elliot
 Ms Shirley Campbell
 Mr Eric Sanderson
 Bernadette Malone

Officers normally in attendance

Principal (as required)
 University Secretary (as required)
 Director of Human Resources (as required) 8.

8. **Welfare and Ethical Use of Animals Committee**

Dr Sam Crouch*
 Ms Sheila Krawczyk

9. **TAHScN (Tayside Academic Health Science Network)**

Ms Christina Potter

10. **University of Dundee Superannuation Scheme Employer-Nominated Trustees**

Mr Keith Swinley (Convener)
 Mr Ian Ball
 Dr Neale Laker
 Mr Graham McKee
 Mr Andrew Richmond ‡

Additionally Mrs Sheila Krawczyk serves as an *employee*-nominated Trustee of the Scheme

11. **Wider Impact**

Mr Ronald Bowie

[Secretary's note:

+ Dr Sam Crouch subsequently left Court on 31 August 2014 and membership of this Committee will be reconsidered following the election of a replacement on the Court by the Senate.

**Dr Sam Crouch subsequently left Court on 31 August 2014 and Court nominated Dr William Boyd to serve on this Committee.*

‡ Mr Richmond is to step down in due course given the potential conflict of continuing serve as an employer-nominated Trustee of the University of Dundee Superannuation Scheme while acting as the convener of the Finance & Policy Committee.]

APPENDIX 4

HUMAN RESOURCES COMMITTEE
(Minute 89)

A meeting of the Committee was held on 19 May 2014.

Present: Ms S Campbell (Acting Convener), Dr W Boyd, Professor K Leydecker, Dr A Reeves, Mr D Taylor

Apologies: Mrs S Krawczyk, Professor G Mires, Mrs C Potter

In Attendance: Director of Human Resources & Organisational Development, Deputy Director of Human Resources & Organisational Development, Director of Legal Services, Director of Legal Services (for items 3(1)(i), 3(2) and 3(3)), Mr John Lauwerys (external facilitator for the review of Court Effectiveness).

Mr Lauwerys and Ms O'Donnell were welcomed to the committee. It was noted Mr Lauwerys had been invited to observe the meeting in his capacity as external facilitator reviewing the effectiveness of the Court.

1. MINUTES

The minutes of the meeting of 28 January 2013 were approved.

2. MATTERS ARISING

(1) Statute 16 Policies

It was confirmed that the Scottish Government had indicated that there were no issues around the Statute 16 elements of the proposal, however there were other parts of the Statute reforms that had required further clarification.

Resolved: to update the Committee at the next meeting on progress with this matter.

(2) HR Operational Plan

The amended HR Operational Plan for 2014-17 and the previous plan for 2012-15 had been circulated to the Committee to allow an assessment of achievements against objectives in the previous year. While it was considered that the Operational plan detailed an impressive list of activities taking place in HR, a view was expressed that it would be useful to document what the outcomes had been and what the priorities were for the future. It was suggested that the Plan could be strengthened with the inclusion of indicators as to how success would be measured, direct linkages to the University's Key Performance Indicators and key priorities highlighted.

Resolved: (i) to identify key priorities in the Operational Plan for 2014-17;

(ii) to consider taking a grid approach in the Operational Plan to action planning, using colour coding to notify high, medium and low priority and indicating those responsible for progressing specific actions;

(iii) to circulate Appendix 1 (SWOT analysis) to the committee.

(3) OsaR Training Requests

Information on specific training requested from the OPD programme, through the OSaR process, was provided. The Committee considered that 117 was a relatively low number requesting specific training but it was recognised that this did not capture the number of other development opportunities provided at School and College level, such as specialist training or attending conferences, seminars or networking events. It was also highlighted that OPD had an established programme of events, available to individuals throughout the year and as a result bookings and requests were considered at any time and were not exclusive to the OSaR process.

It was reported that 236 events had been offered on the OPD programme for 2013-14 and that 1280 attendances had been recorded at these events. The range of training opportunities and the frequency of sessions being offered was discussed. One member would have liked to have seen more management and leadership training featured on the programme and suggested that certain events were repeated throughout the year. The Committee was given some reassurance that in addition to the Middle Management series and the Management Today courses, a very comprehensive Senior Leadership Programme was currently being run outwith the OPD programme specifically for the Senior Management team and staff at Dean and Director level, and that planning was underway to introduce further training for emerging leaders next year. It was noted that there were some limitations, with regard to budget and availability of facilitators, to repeating courses not planned for in the programme however OPD did respond to specific demands and re-ran courses with large waiting lists wherever possible.

There was some discussion about the general OSaR process and it was noted that over the years the completion rates for OSaR had steadily improved with the target for 2012-13 of 90% nearly achieved. It was recognised that performance management was a huge cultural change in the organisation and the importance of managing performance effectively was emphasised. It was considered that linking the OSaR process to other procedures such as promotion supported this and would help embed this cultural shift.

Resolved: to note the statistics provided on training requested through the OSaR process and the specific courses/training identified.

3. HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT

(1) Organisational Change/Strategic Initiatives

- (a) The papers that had been circulated to the Committee provided context to the decision taken by Court on 22 April 2014, to establish a Redundancy Committee and the draft remit for the Committee which had been amended following further legal advice and clarification. It was noted that the current draft had been considered at the Governance & Nominations Committee on 12 May 2014. The Director of Legal Services confirmed that it had been a challenging process to develop the remit as there had been not only statute and governance issues to consider but also obligations under employment law. She reported that key points of discussion at the Governance & Nominations Committee had been around the relative roles of the Appointing and Redundancy Committees and that while the Committee had been keen to ensure that the process was not unduly protracted for individuals in a potential redundancy situation, it was of the opinion that the Appointing and Redundancy Committee meetings should not be combined. The Committee noted that it was proposed that individuals would be interviewed at the Appointing Committee for the vacancies in the new structure and that the Redundancy Committee would then receive the documentation from the Appointing Committee and objectively challenge the process to date to ensure that it met the criteria set out. Appointments would then be processed once the Redundancy Committee had indicated that it was satisfied with the process. Those not being appointed would be considered for redeployment and other redundancy avoidance measures prior to their consideration by the Redundancy Committee.

To explain the Committee's part in the process it was explained that appropriate clarification was given regarding the three stage approach that was planned starting with the Academic Appointing Committee, that would select individuals for posts; the Redundancy Committee, that would recommend to Court the requisite number of members of academic staff for redundancy and the Appeal Committee, that would consider any appeals against dismissal by reason of redundancy. At each stage of the process decisions would be documented.

One-to-one consultations would allow individuals to discuss their role and opportunities in the new structure with dialogue continuing throughout the collective consultation process; staff would then apply for roles in the new structure and decisions would be made by the Appointing Committee on the appointment to these roles. Information on those unsuccessful would then be made available to the Redundancy Committee. In this way, the Redundancy Committee would select those for redundancy and make recommendations to Court.

The role of the Redundancy Committee was therefore to ensure the process had been conducted appropriately and that reasonable steps had been taken to mitigate redundancy, although the Redundancy Committee did not have the power to question the fact that a

redundancy situation, as approved by Court, existed. The Redundancy Committee, in line with its remit, would have the opportunity to review any proposed or stated criteria and process. There was a discussion of the timing in terms of its oversight of the process to date. It was noted that there were academic priorities for September however it was important that individuals were treated fairly.

Resolved: to endorse the remit and review the timing of the Redundancy Committee to ensure due process.

- (b) The Director of Human Resources updated on progress with the project itself and confirmed that the one-to-one meetings had been taking place, following letters being sent to 27 staff who had been identified at risk of redundancy. The meetings provided an opportunity for individuals to check the basis of their inclusion in the pool and to allow follow-up action on issues requiring further clarification. Once the consultation meetings were completed, senior positions would be advertised with interviews taking place at the beginning of June. A second set of interviews for lower grade posts would then take place and at the end of this process it would be known which individuals had not been appointed to posts and who were therefore still at risk of redundancy.

The Committee was advised that the University had received formal notification from DUCU of a ballot for industrial action over the targeting of staff for redundancy, with the ballot closing in the 1st week of June

Resolved: to note the position with regard to the review of the Biomedical Medical and Life Sciences Teaching project and DUCU's ballot for industrial action.

(2) Voluntary Severance Scheme

The Director of Human Resources provided an update on the current level of interest in the Voluntary Severance Scheme for academic staff. The Committee was advised that since the last update on 8 May, the number of formal applications had increased to 39 and although the numbers were steadily increasing as various projects were progressing, the target of 80-120 posts was some way off. The time taken between receiving and approving applications was estimated to be around two weeks and, once approved, the Settlement Agreement would be issued within a few days. It was noted that there would then be a short delay as the member of staff was required to seek legal advice on the terms of the Agreement.

Resolved: to note the position

(3) Policy Development

(a) Promotion Procedure for Academic staff

The draft Promotion Procedure for Academic staff was introduced. The cover note that had accompanied the procedure to Senate on the 23 March 2014 had been circulated to provide background to its development and to outline the consultation process that had taken place to date. The Vice-Principal (Learning and Teaching) was able to report that the procedure had been given a very positive reception at Senate and that it was considered a major step forward in terms of process and being able to reward for a range of work that was being undertaken, not only research. Although the procedure had been submitted to the DUCU Local Joint Committee, DUCU had not been in a position to consider this due to other priorities at the time but would feed back comments in due course.

An earlier copy of the procedure had been circulated previously to the Committee and further comments were invited on the revised document. In response to questions on the Appeal process and ensuring consistency across the Colleges, the Vice-Principal (Learning and Teaching) confirmed his intention to be an observer at the College meetings where possible and to sample a selection of decisions across different parts of the organisation.

Resolved: (i) to circulate the procedure to the Committee once approved by DUCU

(ii) to approve the procedure subject to the consideration of any amendments suggested by DUCU.

(b) Social Media Policy

The Director of Legal Services introduced the draft Social Media Policy. It was noted that the policy had been widely consulted on with both staff and student representatives, the Learning and Teaching Committee and more recently the e-Learning Sub-Committee. It had been hoped that the final stage of consultation would take place with the unions next month to allow the policy to then be approved through the next meetings of the Local Joint Committees and the HR Committee in September.

However the Committee was advised that there had been much discussion on this matter including debate as to whether the University should have a policy on Social Media; instead of a policy, it had been suggested that a set of guidelines should be developed. The importance had also been highlighted of ensuring that the right balance was achieved between being encouraging and supportive of the use of social media on one hand, and being clear on what would be considered inappropriate use and sanctions on the other.

The Director of Legal Services commented that there was already very comprehensive guidance developed by Admissions and Student Recruitment and certain Schools and it was the intention that these would support the overarching policy. It was acknowledged that there had been a range of views expressed but that the students and the majority of staff had been very supportive of what had been proposed. The view however from the Learning and Teaching Committee and the e-Learning Sub-committee was that a policy on Social Media should not be introduced and they favoured the development of guidance instead.

The Director of Human Resources & Organisational Development, commented that from an employment perspective it would be preferable to have a policy in place, highlighting that there were a number of cases involving misuse of social media and that it was evident that to avoid the risk of legal challenge it was generally expected that an organisation would have a Social Media policy in place.

It was agreed that there would be further exploration on best practice elsewhere across the sector and further consultation before a final decision regarding policy versus guidance would be reached.

Resolved: to note that further consultation would take place on the document.

(c) Researcher Development Policy

The Deputy Director of Human Resources & Organisational Development confirmed that Researcher Development Policy had been developed to promote the University's commitment to the career development of researchers and to provide clarity and to set out expectations for researchers, supervisors and their line managers. The policy outlined the University's continued commitment to support national initiatives, such as HR Excellence in Research, Athena Swan and the three Research Concordats in addition to supporting the career and professional development of researchers through providing a programme of development and transferable skills training and access to collaborative and interdisciplinary activities.

It was noted that the policy had been endorsed by both the Research Committee and the Researcher Degrees Sub-committee.

Resolved: to approve the Researcher Development Policy.

(4) Staff Survey

The Director of Human Resources & Organisational Development confirmed that she had unable to provide a written report updating on activity taking place across the University in relation to the outcomes of the Staff Survey, due to other work priorities. She was keen however to reassure the Committee that this was still on the agenda and that she would report on this at the next meeting.

Resolved: the Director of Human Resources & Organisational Development to report on progress with staff survey actions at the next meeting of the Committee.

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

The Director of Human Resources & Organisational Development reported that despite earlier industrial action over the still outstanding national pay award for 2013/14, a 2% pay award had now been agreed with UCU and UNITE for 2014/15. Although UNISON still had to accept the 2% offer it was anticipated that this award would be accepted and would also bring to an end the industrial action over the 2013/14 settlement.

(6) Living Wage

The Director of Human Resources & Organisational Development confirmed that she had considered the approach being taken by other Universities in relation to the Living Wage and the situation as it related to the University of Dundee scale. It had been established that despite a 2% increase to the University's scale there was one point that would not comply with the Living Wage and that the University would likely always be in this position. It was noted that there were currently approximately 60 staff on this point. Although there would be a financial cost to paying the Living Wage on this point, it was the impact on the grading structure and the erosion of differentials between grades that was the main concern.

It was reported that other Universities that were complying with the Living Wage operated a shorter working week and that this would have to be key consideration if the University wished to pay the Living Wage. This would affect all staff on Grades 1 to 6 who currently work 36.25 hours.

Resolved: for the Director of Human Resources and Organisational Development to discuss further with SMT issues around the Living Wage and possible changes to the working week.

(7) Organisational and Professional Development(a) Report from OPD

The Deputy Director of Human Resources & Organisational Development introduced a report from OPD and highlighted a number of key events that had taken place over the last few months including the 'Dundee Data Visualisation Crucible' hosted at CentreSpace (at the DCA), the 'Venture Programme 2014' and the Leadership Foundation's 'Aurora' Programme. The Committee was interested to note that Dundee was hosting jointly with St Andrews an event titled 'An Introduction to Higher Education' aimed at managerial, professional and administrative staff new to the Higher Education sector and that 60-70 individuals from Scottish institutions would be meeting at the West Park Management Centre at the end of June to participate in this programme.

(b) Vitae Membership

Papers circulated to the Committee provided information on Vitae. Key points highlighted were that Vitae is part of CRAC, a not-for-profit registered charity dedicated to active career learning and development; Vitae have led on the implementation of the Concordat to support the career development of researchers and the UK Excellence in Research Award; they publish widely on doctoral graduate destinations, careers and impact and deliver courses and produce resources and a framework to underpin researcher development in the UK.

Vitae has been funded by the UK Research Councils since 1968 and latterly the UK HE funding bodies but the Committee was asked to note that from 1 January 2015, Vitae will be moving to an organisational membership model with an annual subscription.

Resolved: to note that the University would subscribe to Vitae from 1 January 2015.

(8) Mediation/edr

The Director of Legal Services introduced the full term report on the *edr* Service at the University of Dundee highlighting the work of the *edr* team over the year and the range of activities that the mediators had been involved in. This included awareness and promotion of the practical application of mediation skills through training to staff on the OPD programme, undertaking mediations with staff and students in the University, working within the local community and providing external mediation and training where external funding was identified and collaborating with other

institutions such as University of Hong Kong and Dundee and Angus College over future developments.

It was noted that the *edr* strategy group had been in dialogue with the School of Computing over an approved PG Cert in Dispute Resolution, Mediation and Negotiation and an MSc in Dispute Resolution, Negotiation and Argumentation with the involvement of the team on the delivery of 3 modules for the programmes. The Director of Legal Services confirmed however that due to work commitments of individual members they were having to explore whether external resources could be allocated to take forward the initial developments of the group.

The Committee acknowledged that the work that the mediators were involved was resource intensive and did create challenges for staff who had full time jobs elsewhere in the University. The Committee strongly supported the work of the *edr* team and recognised the benefits that such a service provided both internally for the institution and externally to the wider community. It was recognised that the current provision was supported well but that there would need to be consideration about resource and business planning if there were to be further developments in the academic arena.

Resolved: to thank the Director of Legal Services for a very comprehensive report.

4. ATHENA SWAN

The Committee was delighted to learn that the University had been successful with its recent submission to Athena Swan for the Bronze Award. It was noted that the School of Medicine and the College of Life Sciences were now currently preparing to submit applications for the Bronze award on behalf of their individual units and that if successful, the School of Medicine would then be preparing an application for its Silver award. It was noted that it was critical to have this in place for the School as in the future certain funding bodies would only support those holding an award at this level. It was reported that other areas of the University were also embracing the Athena Swan initiative, and that there had been significant activity in certain schools within the College of Art, Science and Engineering and the College of Arts and Social Sciences.

Resolved: to congratulate the University on its Athena Swan Bronze award and to thank all those involved in ensuring that the submission was successful.

5. HEALTH & SAFETY

(1) The Committee was advised that the Head of Safety Services had been unable to attend the meeting having just returned to work after a period of sickness absence but that he would attend the next meeting in September. It was noted however that progress had been made with number of issues and that arrangements for the formation of a group of Safety representatives from across the University, meeting on a regular basis, was well underway. This would allow a more cohesive approach to be taken regarding Health and Safety matters across the University. It would also support the sharing of good practice and resources in developing tools, processes and procedures. The Director of Human Resources & Organisational Development advised that one of the first tasks of the group would be to review the accident/incident reporting mechanism.

(2) Minutes from the Health and Safety Sub-Committee held on 6 May 2014 were noted.

6. LOCAL JOINT COMMITTEES

(1) Approved minutes of the University/UNISON Joint Committee held on 17 January 2014 were received.

(2) Draft minutes of the University/ UNITE Joint Committee held on 17 January 2014 were received.

(3) Approved minutes of the DUCU Joint Committee meeting held on 13 January 2014 were received.

The Director of Human Resources & Organisational Development reported that DUCU had recently met with the Principal and her to discuss mechanisms to avoid a potential dispute. DUCU had requested that the University committed to no compulsory redundancies and the non-targeting of individuals for redundancy. The third area that DUCU remain aggrieved on was the University's policy to deduct a full day's pay for the recent industrial action where UCU members had taken two hours industrial action. The Principal had agreed that these issues would be discussed with SMT

and feedback would be provided to DUCU. The Committee made the point that the decision made by Court could not be overturned but there was some value in discussing these matters further.

APPENDIX 5

AUDIT COMMITTEE
(Minute 90)

A meeting of the Committee was held on 21 May 2014.

Present: Mr J Elliot (Convener), Ms B Malone, Ms SS Morrison-Low, Mr I Stewart.

In Attendance: Mr R Burns; University Secretary; Director of Finance; Director of Policy, Governance & Legal Affairs; Ms L Paterson; Mr K MacPherson (KPMG); Mr P Saunders; Mr A Shaw (KPMG); and Clerk to Court.

Apologies: Mr R Bint

1. MINUTES

Resolved: to approve the minutes of the meetings of 24 March 2014.

2. MATTERS ARISING

(1) Post-Investment Appraisal (Minute 2(1))

The Director of Finance told the Committee that the quantitative analysis required for the appraisal had been completed for 7 projects and that a full report including user feedback would be provided to the Committee at its next meeting.

Resolved: to note that the Post-Investment Appraisal report would be provided to the Committee at its next meeting.

(2) Whistleblowing (Minute 2(2))

The University Secretary told the Committee that he had received the final report into the whistleblowing investigation discussed at the previous meeting. Following investigation the opinion of the investigating officer was that there was no substance to the allegations and therefore no case to answer. He told the Committee that there had, however, been one minor recommendation made and accepted to improve health and safety practice.

The University Secretary told the Committee that he was satisfied that the criteria for determining whether to proceed to investigate anonymous allegations were appropriate and had been in his view correctly applied in this case. The Committee noted that officers intended to review the whistleblowing policy to include guidance on the management of repeated allegations and to ensure that appropriate support was made clearly available during the process for those subject to investigation. Noting that the allegations had been investigated promptly, the University Secretary told the Committee that the final report had been subject to unacceptably lengthy delay and that, while the staff had been kept informed of the outcome, he would nevertheless recommend guidelines be included within the whistleblowing policy to avoid such delays in future.

Resolved: to note the conclusion of the matter.

(3) Information Security (Minute 3)

The Committee received an update from the Chief Technology Officer (CTO) outlining progress made in relation to recommendations from the internal audit on Information Security in September 2013 and highlighting emerging risks and new initiatives in relation to this topic. The Committee was pleased to hear that good progress was being made in relation to the recommendations and that subject to the finalisation of policies, the CTO expected the recommendations to be implemented prior to the summer follow-up by KPMG.

The CTO told the Committee that while appropriate technological solutions were being implemented, the most significant risk to information security remained internal accidental incidents and that taking a people-centric security approach - training individuals, providing them with guidance and then holding them to account was therefore likely to have the most significant

impact on managing risk. In response to questions the CTO suggested that the Institutional Risk Register be updated to reflect both the technological and user based risks and solutions for information security.

The Committee noted that a number of additional risk assessments had been recently undertaken and that an external assessment of the maturity of information security at the University was being used to guide the current approach.

In response to questions the CTO confirmed that there had been good buy-in to the information security initiatives put in place, and that his team continued to work closely with user groups to strike a balance between operational needs, policies and technical solutions to minimise risks.

Resolved: (i) to thank the CTO for his update and ask that he provide the Committee with statistical information on the installation of technological solutions and training compliance at a future meeting; and

(ii) to update the Institutional Risk Register

(4) Medicines & Healthcare Products Regulatory Agency (MHRA) (Minute 11)

The Director of Policy, Governance & Legal Affairs told the Committee that the MHRA inspection had been completed on 20 March 2014 and that while the final inspection report had not yet been received, feedback from the MRHA had been positive, with only two significant findings being indicated. The Committee noted that the inspection confirmed that there were safe processes and procedures in place. The two significant findings related essentially to consistency in documentation and the Committee noted that the Director of the Tayside Academic Health Science Network (TAHScN), formerly Tayside Medical Sciences Centre (TASC), would address these.

In response to questions the Director told the Committee that TAHScN would provide an annual report to Court on its activities. Members also noted that Ms Christina Potter, a lay member of Court, was a member of the TAHScN board.

Resolved: to note the update.

3. **CONVENER'S REPORT**

Members noted that the Convener had met with Mr Michael Timar (PwC) and that he would convey advice received on the external audit plan and risk registers when those items were taken on the agenda.

Resolved: to note the update.

4. **EXTERNAL AUDIT PLAN**

The Committee received a paper from the University's external auditor outlining the approach to be taken in carrying out the audit for the year ending 31 July 2014. In it the auditors set out the scope, fee, and materiality thresholds for the audit. The auditors also formally confirmed their independence as external auditors. The Committee discussed the level of materiality and noted that the figure presented of 2% of total expenses (£4.4m) was a common standard for external audit within the Higher Education sector.

The Committee noted that as part of the audit it would be asked to provide its views on fraud and members asked that the Director of Finance update the annual report on incidents of fraud and procedures aimed at guarding against fraud to align with the specific questions asked by the external auditor within the external audit plan.

In response to questions regarding the timetable for external audit the Director of Finance told the Committee that once systems and reporting were further developed it may be possible to advance the external audit timetable – perhaps in time for the 2014/15 audit.

The Committee also enquired as to preparations for the introduction of two new accounting standards: FRS102 and the new education SORP. Members noted that a finance project team would be responsible for implementation of the new accounting standards, and that tests would be performed on 2012/13 data, with comparative datasets being established in 2014/15 ready for full implementation in 2015/16. The Director of Finance highlighted the need to educate staff in relation to the new format for management and forward accounts and members noted some of the difficulties the changes would create in that regard.

Resolved: to endorse the plan for approval.

5. INTERNAL AUDITORS

(1) Review of Research Pricing, Costing and Administration

The auditors provided an overview of their report into Research Pricing, Costing, and Administration. In doing so they highlighted that the recommendations (one high, four moderate and one low), related to potential improvements to working practices rather than corrective actions. The high risk recommendation related to improvement of the mechanism used to capture feedback from research staff and therefore ensure that the information captured in the system reflected actual project or grant conditions. The Director of Finance confirmed that the process for grant administration was being reviewed and that the pre-award and post-award functions were being integrated into a single team to improve the process. Members noted that all recommendations had been accepted by management.

Resolved: to note the report

(2) DUSA

[Secretary's note: as a trustee of the Dundee University Students Association, Ms Bernadette Malone declared an interest in this item.]

The Auditors introduced the annual audit of the Dundee University Students Association. Members noted that the audit had focussed on systems and human resources matters. The Auditors also highlighted good practice within the central commercial function of DUSA.

The Committee noted that two high and five moderate graded recommendations had been made and accepted by the DUSA management team. The two high risk recommendations related to the process of capturing and recording absences and annual leave. The University Secretary told the Committee that the DUSA management team had found the audit and resulting recommendations helpful in informing their own review of systems.

Resolved: to note the report

(3) Transparent Approach to Costing (TRAC)

The Auditors introduced the report into Transparent Approach to Costing (TRAC). The Committee noted that the review involved a retrospective analysis of the process and return for 2012/13 as approved by Chair's action on 27 January 2014 and reviewed by the Audit Committee on 4 March 2014. Members noted that the Auditor had made three recommendations, two moderate and one low, and that all had been accepted by management. Members also commented on the importance of using the data effectively internally as a guide to the commercial management of the schools and colleges.

Resolved: to note the report.

(4) Review of Strategic Planning and Resource Alignment

The Committee received a report into the audit of Strategy, Planning and Resource Alignment. The Auditors made one high, two moderate and one low graded risk recommendations. The Committee noted that the high graded recommendation related to the implementation of recommendations resulting from the internal review of workload planning, while the moderate graded recommendations related to the streamlining of the structure of operational plans and the improved use of Key Performance Indicators (KPIs) in communicating targets.

The University Secretary confirmed that the newly appointed Director of Strategic Planning was reviewing the overall approach to strategic and operational planning as one of his first objectives on coming into post and that this would include a consideration of how to ensure that the operating plans were clearly linked to the enabling strategies.

The Committee discussed the challenge of implementing workload planning across the institution and noted the importance of consistent templates and flexibility within targets across the institution.

Members noted that the timescale for implementation of this recommendation reflected the requirement to fully understand cost allocations (including TRAC data) and also the fact that it was preferable to implement changes at the start of an academic year.

Resolved: to note the report.

(5) International Activities – Overseas Recruitment

The Auditors introduced the report into International Activities – Overseas Recruitment. In doing so they highlighted three moderate and one low graded risk recommendation. The Committee noted that the moderate recommendations related to the need to ensure that the strategy was communicated consistently across the institution. The Auditors went on to highlight good practice including: linkages to operating plans and University Strategy, and the formation and activity of the UKVI Compliance Group.

The Committee noted the importance of overseas recruitment as an unregulated source of income. In response to questions the University Secretary confirmed that the internationalisation agenda was driven primarily by the Deputy Principal for Internationalisation, and also by the Vice-Principal for Learning & Teaching, and the newly appointed Head of International Operations. Members noted that, when appointed, the new Head of Marketing would bring together all University of Dundee marketing activity including existing activity related to recruitment.

Resolved: to note the report.

(6) Status Update

The Committee received a report on progress with the internal audit programme to date and the plans for work during the remainder of the academic session. Members noted that there had been good engagement between the internal audit team and management and that there had been flexibility within the audit schedule to accommodate the availability of key officers within individual reviews.

Resolved: to note the report

6. **EFFICIENT GOVERNMENT RETURN**

The Committee received a copy of the University's submission to the Scottish Funding Council (SFC) as part of the efficient government initiative. The Committee noted the savings measures were provided in accordance with the definitions contained within the guidance from the Scottish Government.

Resolved: to endorse the submission to the SFC.

7. **INSTITUTIONAL RISK REGISTER**

The Director of Policy, Governance & Legal Affairs introduced proposed revisions to the Institutional Risk Register. In doing so he highlighted updates to the risk assessment level, controls, and actions for further control within the register. He also highlighted revisions to the format of the report which had been designed to make it easier to identify trends and priority risks. The Committee and Auditors indicated their support for the revised presentation of the risk register. In response to questions the Director outlined the process for the preparation of the risk register and the scoring of risks within it.

The Committee suggested that the register be reviewed again once the outcome of the Referendum on Scottish Independence was known.

Resolved: for its part, to note the report.

8. **BUSINESS CONTINUITY UPDATE**

The Director of Policy, Governance & Legal Affairs reminded the Committee that owing to the near identical composition of the Directors & College Secretaries Group (DCSG) and the Risk Management Monitoring Group (RMMG), the business of the RMMG was now being considered within dedicated meetings of the DCSG. He told the Committee that the DCSG had met and considered the Institutional Risk Register in April 2014, and that at its meeting in July the Group would review the Institutional Business

Continuity Plan (BCP). He also told the Committee that College and Directorate BCPs were being finalised and that desktop training exercises had taken place in a number of Colleges and Directorates.

Resolved: to note the update.

9. HEALTH & SAFETY SUB-COMMITTEE

The University Secretary introduced the report of the Sub-Committee's meeting on 6 May 2014. In doing so he highlighted progress made in relation to the actions recommended within the external report from Mr John Davies earlier in the academic year.

The Committee also noted an increase in malicious fire alarm activations within student accommodation and were advised of the steps being taken to address the issue.

Resolved: for its part, to note the report.

10. LEGAL MATTERS

The Committee received a routine report detailing the current legal cases involving the University, including updates since its last meeting. Members noted that a number of claims had been, or were close to being, resolved.

Resolved: to note the report.

11. ANNUAL REPORT ON INCIDENTS OF FRAUD

The Committee received the annual report on incidents of fraud and asked that the Director of Finance update the report to directly address the questions posed by the External Auditor in relation to this topic.

Resolved: to note the report.

12. COMPLIANCE WITH INFORMATION LEGISLATION: STATISTICAL SUMMARY REPORT

The Committee received an annual report from the University's Records Manager. The report set out the number and type of requests for information under current information legislation, and set this in the context of the Scottish higher education sector. Members noted that following the introduction of a mandatory process for the recording and collection of statistics by the Office of the Scottish Information Commissioner (OSIC) a new format for reporting had been implemented.

The Committee noted the challenges in managing the increased workload associated with the continued increase in the number of requests received (32% increase from 2012).

Resolved:

- (i) to ask that statistical information on the percentage compliance within the statutory time frame, number of challenges internally investigated, and total number of challenges taking place/upheld be reported to the next meeting of the Committee and included within future reports; and
- (ii) otherwise to note that the Committee was satisfied that the University was properly discharging its duties under relevant information legislation.

13. DATA INCIDENT

The University Secretary outlined a recent incident relating to data compliance resulting from the actions of a third-party provider and told the Committee that a review meeting had been scheduled for 22 May 2014 to consider an initial report on the incident from the Records Manager.

Resolved: to note the report.

14. AUDIT CONTRACTS

The item was considered as reserved business at the meeting of the Audit Committee on 21 May 2014 and the Court on 9 June 2014 and the University claimed the exemptions in S.30 and S.33 of the Freedom of Information (Scotland) Act 2002.

[Secretary's note: The internal and external auditors left the meeting at this point.]

The Committee considered options for the provision of internal audit function given that the current internal audit contract would expire at the end of the academic year. The Director of Finance highlighted key aspects of internal audit: governance, internal control, and Value for Money (VFM) and members noted that VFM was an area of focus that was not being adequately addressed within the current internal audit arrangements, but that there was the potential for VFM audit work to deliver significant financial efficiencies.

- Resolved:**
- (i) to recommend that a mini competition be undertaken between the seven eligible firms within the Advanced Procurement for Universities and Colleges (APUC) internal audit framework for a new audit contract with the objective of making an appointment no later than July 2014, noting the recommendation that the size of the internal audit contract be reduced from its current value of almost £70,000 to around £50,000;
 - (ii) to recommend that the £20,000 saved on the internal audit contract be used to undertake work in the areas of value for money and cost saving and ask that the Director of Finance prepare a full proposal in this respect to the next meeting of the Committee; and
 - (iii) to recommend that the new structure be put in place for a period of two years with an option to extend by two periods of one year to enable assessment of the new arrangements and synchronise the award of the internal and external audit contracts.

APPENDIX 6

COMMUNICATION FROM THE SENATUS ACADEMICUS
(Minute 91)

(Meetings of (a) 30 April 2014 (Extraordinary Meeting) and (b) 28 May 2014)

30 April 2014

1. UNIVERSITY COURT

The Senatus received a communication from the meeting of Court held on 22 April 2014.

In his introduction the Principal recognised that some members of Senate might be directly or indirectly effected by the specific project under discussion and emphasised that the potential for conflicts of interest should not constrain the debate or inhibit the expression of opinion on the academic coherence of the project and how best to protect the student experience during times of fundamental review and reorganisation.

The Principal asked Senate to note the extract of the draft Court minutes presented as Paper A and the clear conclusions that Court had expressed as a result of its detailed discussions on the review of biomedical teaching and the University's current and projected financial position in the wider context of the Transformation Agenda.

The Principal outlined the decision of Court to establish a Redundancy Committee under University Statute 16 and noted that this was a necessary step to move forward with the specific project under discussion, but may also be required in due course in the context of the broader requirement, as agreed by Court, to reduce the number of academic staff by 80 to 120 full-time equivalent posts. The Principal asked Senate to note the remit and composition of the Committee as proposed in the Appendix to the Report.

The Principal explained that Court had requested that Senate provide its views on the key academic issues involved in the changes to biomedical teaching and noted that any similar issues presented as part of subsequent projects to reduce academic staff numbers would also require scrutiny by School and College Boards and oversight by Senate.

The Senatus decided: to note the report.

2. REVIEW OF BIOMEDICAL & LIFE SCIENCES TEACHING

The Senatus received a summary report and a presentation from the Dean of School of Life Sciences Learning & Teaching.

In his presentation the Dean explained that the re-organisation of the delivery of undergraduate biomedical sciences teaching across the University had become necessary as a consequence of the development and deployment of the new curriculum in Life Science programmes. This brought with it the recognition of the need to reconnect the undergraduate experience with the University's world-class biomedical research and provided the opportunity to create a coherent and cost-effective approach to the delivery of skills-based science teaching across a number of programmes.

Senate heard that the three Schools involved had carried out a detailed analysis of the resources needed to deliver and manage the new curriculum and had identified the number of FTE posts that would be required and therefore also those staff members who would be potentially affected by the reorganisation. The Dean explained that the establishment of a Redundancy Committee was the necessary next step in the project and allowed formal notification and interview with individual staff members to proceed.

In the debate that followed the presentation members of Senate raised a number of questions concerning the project's approach to teaching. Some members reported the perception that teaching was being valued less than research in the University, that teaching staff were being targeted for possible redundancy in preference to research staff and noted that research staff themselves would be under additional pressure if required to take on more teaching duties. Other members questioned the project's emphasis on facilitating skill acquisition rather than teaching and argued that this narrow role could undermine efforts to professionalise higher education teaching.

The Dean disagreed and reported that the new role descriptions recognised the value of teaching staff and the important role they played in the delivery and management of the new curriculum and that proper reward and recognition of teaching staff remained a high priority in the Schools concerned. The Dean also reported that many research-focussed staff were already involved in the delivery of undergraduate programmes and were enthusiastic about the benefits of research-led teaching.

The Principal advised that while the current project necessarily was focussed upon the delivery of teaching, the emphasis of some of the other projects being brought forward would be on research and there was therefore no sense in which the reductions in academic staff were being targeted only at teaching staff.

Some members of Senate observed that the new teaching roles might lack external recognition and curtail opportunities for career progression. However, the Dean indicated that this would be unlikely given the central role of the new posts and the opportunities created by a stronger specialised basis for teaching in higher education.

Other members argued that the time scales involved were unrealistic and indicated an undue haste that could cause problems for those staff supporting the various human resource processes involved. The Dean observed that no point in the academic year would be without its difficulties but that the benefits of acting quickly and minimising uncertainty for staff and students outweighed the challenges involved with completion by the start of the next academic session.

The Director of Human Resources acknowledged the increased support needed to ensure that the various processes were effective and reported that appropriate resources had been made available to HR and that future negotiations with the campus unions could include the possibility of increased facility time for representatives supporting the staff affected by any reorganisation.

Senate was asked to note that the Dundee University College Union (DUCU) had given formal notification of failure to agree with the University over the implementation of the project and that Court had been made fully aware of the disagreement at its meeting on 22 April 2014.

In response to a specific question the Director of Human Resources confirmed that the current project had undergone an Equality Impact Assessment and that the result of this assessment would be made available to staff.

Some members of Senate expressed concern over the possible problems involved with cross-college delivery of teaching and the potential for confusion both internally through unclear line management and externally with the medical and dental professional bodies. The Dean observed that while the new internal arrangements would need a period of readjustment and clarification it was anticipated that the responsibilities of the Schools to professional bodies would be unchanged.

Members of Senate discussed the project's possible impact on the student experience and some argued that the proposed staff numbers were too low to maintain resilience and flexibility so that normal variations in staff availability could have a negative impact on levels of student support and contact. Representatives of the Students' Association on Senate reported a growing concern from their members in the two Colleges and highlighted the perceived lack of communication with students.

The Dean acknowledged that full communication with students had not been possible during the initial stages of the project but that a series of open meetings had now been arranged and students would be reassured that changes to the delivery of the new curriculum did not entail any reduction in contact time or changes in the content of the programmes already aligned with the new curriculum.

The Principal concluded the discussion by thanking members of Senate for their contributions and gave an assurance that Court would receive a full report on the views of Senate as expressed during the debate.

The Senatus decided:

- (i) to thank the Dean for his presentation; and
- (ii) to note the Summary Report.

28 May 2014

3. UNIVERSITY COURT

The Senatus received a communication from the meeting of 22 April 2014.

The Principal introduced the Report by observing that the discussions held at Court on the Biomedical Science Teaching Project had already been considered by the Senatus at the extraordinary meeting in April.

With reference to the business contained in the remainder of the report the Principal took the opportunity to give Senate an update on recent developments.

The Principal reported that the Vice-Principal (College of Art, Science and Engineering; CASE) had stepped down from his role as Head of College in advance of his taking up a post at the University of Lancaster. Senate was asked to note that the College would be managed, as an interim arrangement, by a federation comprising the Deans of each School and the Director of the Centre for Anatomy and Human Identification. Senate also noted that the Dean of Engineering, Physics and Mathematics would represent the College at the Senior Management Team meetings.

On the question of membership of the Confederation of British Industry (CBI) the Principal explained that while the University's membership of the CBI had been beneficial in opening up useful networks, in his view, it was not compatible with the University's charitable status nor with the necessary institutional neutrality in the referendum on Scottish independence. The Principal confirmed that in these circumstances the Senior Management Team had agreed that the University's membership of the CBI would be suspended.

In response to a question the Principal confirmed that individual staff members were free to campaign or otherwise participate in any legitimate political process but that a clear distinction had to be made between an individual's personal view and the institutional view. The Principal argued that the University itself had to remain neutral and focus its energies on improving the intellectual quality of the debate through the 5 Million Questions programme, for example, in line with its core purpose.

The Senatus decided: to note the report.

4. **MINUTES OF THE MEETING OF 30th April 2014**

The Principal reported that, in response to the request for nominations of academic staff members to serve on the Redundancy Committee established under Statute 16 Part II, the following nominations had been received:

Professor Nicholas Davey
 Professor Alan Fairlamb
 Professor Georgina Follett
 Professor Gunnar Hornig
 Professor Graeme Hutton

The Senatus decided: to approve the minutes of the meeting held on 30 April 2014.

5. **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 Principal took the opportunity to thank, on behalf of Senate, those student officers whose period of office was coming to an end and welcome the new student members to their first meeting.

The Principal also noted that Dr Whitfield would retire from the University before the start of the next session and thanked him along with other members who were due to demit office during the summer for their valuable contributions to Senate and the University.

The Principal introduced his report by amplifying its main theme of a unified approach to cost reduction and income generation so as to allow for investment in the University's strategic priorities. The Principal explained that it was not the intention to conflate financial and strategic issues but it was clear that a firm financial foundation with capacity to invest in areas of strength was an essential prerequisite for real transformation in line with the University's goals and vision. The Principal made clear that a financial surplus was not being sought for its own sake but that strategic academic development in line with the Vision would be impossible without adequate resources to drive it forward.

With reference to the underlying financial health of the institution, the Principal noted that lack of borrowing and good operational cash flow indicated that the University remained financially secure but that continued revenue and cost imbalances could undermine this security if action was not taken.

The Principal gave details of a new project group that he was in the process of establishing to carry out a review of the management and organisational structures of the University with an emphasis on improving efficiency and reducing costs. Senate was asked to note that the Group, chaired by the Vice-Principal (Learning & Teaching), would produce a 'green paper' that outlined options for change, reporting to the Senior Management Team and to Senate by the end of the calendar year. In response to a question, the Principal confirmed that it would consist of academic and support staff from all parts of the University and would include student representation.

In conclusion the Principal drew attention to the part of his report that highlighted some of the more prominent achievements by staff and students during the past year and observed that there had been many more examples, from across campus, during the past year demonstrating that the University was making real progress towards the aims and goals set out in the Vision.

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

6. UoD IT

The Senatus heard a presentation from the Director of University of Dundee IT (UoD IT) on the developing plans to restructure the IT directorate and to implement a number of business improvement initiatives across the campus.

In his presentation the Director emphasised the need for (i) rationalisation of systems and processes; (ii) improvements to customer support and system security; (iii) realism about the risks (and costs) of unregulated diversity and the proliferation of local solutions; and (iv) an appreciation of the benefits of using economies of scale and avoiding single points of failure.

Members of Senate sought clarification on a number of implementation details. On the question of ensuring integration the Director explained that sustainable IT solutions must be designed around shared processes rather than around exceptions, as they often were at present.

The Director was also asked about potential disruption to students and staff during the period of reorganisation. In response the Director explained that implementing the technical changes needed would be straightforward and largely invisible to most users. The Director noted that the corresponding organisational and cultural changes that were needed were likely to be more disruptive but not unmanageable.

Some members of Senate expressed a worry that the centralisation and rationalisation of IT resources or a general reduction in IT budgets might mean the loss of functionality or software that was required to carry out research and to support teaching. The Director agreed that better communication between academic staff and UoD IT needed to be developed and that cost-effective IT support for research and teaching would be possible only through a clear articulation of the needs of the academic community. However, the proposed approach allowed for solutions which met clearly-identified specialist needs where this was required to meet the needs of the academic community.

Concluding the discussion, the Principal reiterated the University's need for robust, efficient and trusted IT support and emphasised that while investment would be needed to maintain and enhance IT infrastructure it was just as important to properly realign the institutional culture to the One-Dundee approach.

The Senatus decided: to thank the Director for his presentation and endorse the 'One Dundee' approach.

7. RESEARCH COMMITTEE

The Senatus received a report from the Research Committee meeting of 8 May 2014.

The Vice-Principal (Research) introduced the report and asked Senate to note, in particular, the establishment of a REF Management Group to lead on the response to the REF 2014 results and to begin planning for REF 2020.

Senate was also asked to note changes to the open access publishing requirements of funding and research councils and the ongoing work to establish procedures for the timely deposit of research outputs into University systems.

The Vice-Principal concluded by highlighting the main strategic priority of the Committee to increase the number and quality of research students and asked Senate to note the submissions for Horizon 2020 and Leverhulme Trust funding of PhD studentships.

The Senatus decided: to approve the report.

8. LEARNING & TEACHING COMMITTEE

The Senatus received a report from the Learning & Teaching Committee meeting of 13 May 2014.

The Dean of the School of Life Sciences Learning & Teaching introduced the report and asked Senate to note that the Enterprise and Entrepreneurship remits had now been added to the responsibilities of the Learning & Teaching Committee under the direction of the Vice-Principal (Learning & Teaching).

The Dean also asked Senate to note the ongoing project to enhance the Advisor of Study/Personal Tutor system and the establishment of a new unit to support student skills and staff educational development. The Dean asked Senate to note and congratulate the winners of the Chancellor's Award for Teaching for 2013/4:

Barbara Illsley	CASS
Jeanette Paul	CASE
Frank Sargent	CLS
Jean Ker	CMDN

Senate was asked to formally approve the Retention & Progression Strategy included as an appendix to the Report.

The Senatus decided: (i) for its part, to approve the Retention & Progression Strategy; and
(ii) to approve the report.

9. INTERNATIONALISATION COMMITTEE

The Senatus noted that the Report from the Committee meeting held on 28 May 2014 would be submitted for approval at the next meeting of the Senatus.

The Senatus received the Internationalisation Strategy Annual Report.

The Deputy Principal (Internationalisation) introduced the item and asked Senate to note that the paper reported on the previous two years of internationalisation activity and indicated the progress made against the four aims and key performance indicators contained in the University Strategy.

The Deputy Principal highlighted the excellent support received from across the University and reported steady progress as evidenced in student feedback in the International Student Barometer (ISB), from the narrative of the report as well as from the quantitative data being used as performance indicators. She confirmed that the priorities of the Committee during the next year would be (i) to grow overseas student numbers and income, and (ii) to encourage growth in the number of overseas research students and the amount of fee income derived from such students.

Members of Senate discussed the need to increase the number of overseas research students and how best to respond to changing demands and emerging markets such as the Middle East and North Africa. Some members questioned the validity of the performance targets given that whilst they had been met, there was still a shortfall in tuition fee income associated with international students. The Principal explained that the targets in the original strategy document had proven to be set at levels that did not reflect the needs and ambitions of the University and although there had been growth the University remained well below benchmark indicating that a review and realignment would be necessary.

Members also asked for clarification on the issue of overseas partnerships and the Deputy Principal confirmed that a review of partnership would be carried out with the intention to both reduce the overall number and to increase their value to the University.

The Senatus decided: to approve the report.

10. **PROFESSORES EMERITI**

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

Professor David Muir Wood
Professor Roland Wolf

11. **ORDINANCE 40**

The Senatus decided: for its part, to recommend to Court the amendment of Ordinance 40 to include the Fire Safety Adviser in the list of authorised officers.

12. **ELECTION TO COURT**

The Senatus received the results of an election held on 26th May 2014 to fill a vacancy on the University Court from the professorial staff on the Senatus.

The Senatus decided: to note that Professor Luc Bidaut will serve as a professorial representative of the Senatus on the University Court until 30th July 2017

APPENDIX 7**WELFARE AND ETHICAL USE OF ANIMALS COMMITTEE
(Minute 93)**

A meeting of the Committee was held on 16 April 2014.

1. PROJECT LICENCE APPLICATIONS

Four applications for project licences were reviewed. All were approved, with some amendment being necessary to three of them.

2. THE BROWN REPORT

The Committee received a progress report from the Director of Biological Services on the actions that had been approved at its meeting in January. The Secretary of the College of Life Sciences is now a member of the Committee. A further report will be received at the meeting in July.

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, one application for amendment to an existing project licence had been approved. An application for a new licence had also been approved by email, following the procedure for reviewing applications from existing licence-holders.

5. CODE OF PRACTICE FOR THE USE OF ANIMALS IN TEACHING AND RESEARCH

Version 8 of this document was approved and has now been published in the Research Governance section of the University website (<http://www.dundee.ac.uk/rgp/policyroadmap/>)

6. NUMBER OF ANIMALS USED IN 2013

A summary report from the Director of Biological Services was approved. The numbers, and their distribution among the different animal species used in the University, were very similar to those from 2012.