UNIVERSITY OF DUNDEE

UNIVERSITY COURT

A meeting of the University Court was held on 16 February 2015.

Present: Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Ms J Aitken, Professor L Bidaut, Mr R Bint, Mr RS Bowie, Dr WGC Boyd, Deputy Principal Professor SM Black, Ms SC Campbell, Lord Provost Mr R Duncan, Mr IC Howie, Mr I MacKinnon, Ms B Malone, Professor GJ Mires, Dr AD Reeves, Mr D Taylor, Mr RJ Van Mulders, and Mr IDM Wright.

In Attendance: Vice-Principal (Research) and Head of the College of Medicine, Dentistry and Nursing (CMDN); University Secretary; Director of Finance; Director of Human Resources; Director of Policy, Governance & Legal Affairs; Director of Strategic Planning (Minute 40), and Clerk to Court.

Apologies: Mr KA Richmond, Ms CA Potter, Mr J Elliot, and Vice-Principal (Learning & Teaching).

33. MINUTES

The Court decided: to approve the minutes of the meeting on 15 December 2014.

34. MATTERS ARISING

(1) Vice-Principal (International) (Minute 8)

The Court noted that interviews had taken place in relation to the Vice-Principal (International) position approved at the meeting of the Court on 15 December 2014 and that Mr Eric Sanderson had served as the Court representative on the appointing panel. The Principal told the Court that an offer had been made to one candidate who was expected to take up the position at the end of April 2015.

The Court decided: to note that further information relating to the appointment would be provided to the Court in due course. [Clerk’s note: A public announcement was made on 24 February 2015 that Ms Wendy Alexander had been appointed to the role.]

(2) Transformation (Next Steps) (Minute 19)

The Court noted that the Voluntary Severance (VS) schemes approved by the Court at its meeting on 15 December 2014 had opened in January 2015.

The Court also discussed a letter received from the Dundee branch of the University and College Union (DUCU) and the matters raised therein. The Court welcomed the communication in setting out the concerns of DUCU and its members. The Court outlined how it wished to respond to the correspondence in
general and asked officers to engage with DUCU on the specific points raised through the usual forums. Members noted the University’s continued commitment to the avoidance of compulsory redundancies wherever possible and highlighted the need for communication with staff and students to be as clear as possible.

The Court decided: to note the update and ask the Chair of Court to respond to the letter from the DUCU Branch President on behalf of the Court on the basis agreed.

(3) Consultation on a Higher Education Governance Bill (Minute 27(2))

The Court noted that the institutional response to the consultation, as circulated electronically to members of Court on 26 January 2015, had been submitted to the Scottish Government on 30 January 2015.

The Court decided: to note the update.

35. CHAIRMAN’S REPORT

The Court received the regular report from the Chairman outlining his activities since the last meeting. The Court noted in particular that Professor Chris Whatley and Honorary Professor Dilip Nathwani had been made Officers of the Order of the British Empire (OBE) in the New Year’s Honours List and members asked that their congratulations be conveyed to both recipients.

The Chair also highlighted his continued involvement with the consultation on proposed legislation in relation to Higher Education Governance. He had been active through a number of forums, and members noted that the Chair would be attending further meetings of the Committee of Scottish Chairs (CSC) in the near future.

The Court decided: to note the report.

36. PRINCIPAL’S REPORT

The Court received a report from the Principal (Appendix 1) which provided an overview of the Higher Education funding landscape, budget considerations, student recruitment figures and the outcomes of the Research Excellence Framework (REF). Members noted the complexity of the funding landscape, and in particular the risks remaining in relation to the calculation of the Research Excellence Grant (REG) which were yet to be determined by the Scottish Funding Council, and asked that an analysis of the University’s financial performance over the last two years relative to other Scottish HEIs be provided for consideration by the Finance & Policy Committee.

Members discussed the relative performances of the various units of assessment within the University’s submission to the REF and noted that a more detailed analysis of performance undertaken by the Senior Management Team (SMT) would be available for the next meeting. In response to questions, the Vice-Principal
(Research) highlighted the difficulties of sector comparisons within the various measures for the REF and members noted that analysis of the outcomes would feed into planning for the next REF exercise and the University’s future Research Strategy. The Principal also highlighted factors within the REG calculation which would influence the financial outcome for the University, and members noted that as a result of the REF performance the University was hopeful of achieving a break-even position with regard to this funding element.

The Court also discussed the on-going review of structures, with discussions focussing on the momentum of the review and the engagement of staff within the process. Members highlighted the need for clear communication with staff in relation to the transformation agenda, review of structures, and business transformation processes to avoid confusion and minimise anxiety amongst staff, and the University Secretary confirmed that this would be a priority for the new Director of External Relations.

**The Court decided:** (i) to ask the Director of Finance to produce a summary analysis of the financial performance of Scottish Higher Education Institutions over a two year period for consideration by the Finance & Policy Committee; and

(ii) otherwise, to note the report.

### 37. FINANCE

#### (1) Finance & Policy Committee

The Court received a report of the meeting of the Committee on 27 January 2014 (Appendix 2), and members noted the Committee’s discussions in relation to the Business Transformation proposal covered elsewhere on the agenda (Minute 37 (2)), student recruitment statistics, and an update on the V&A at Dundee project.

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

#### (2) Business Transformation

The University Secretary introduced a proposal from the Senior Management Team (SMT) for a programme of infrastructure and process modernisation to underpin the University’s activities. Members noted that the proposals went beyond matters relating to IT modernisation, and that while investment in key IT systems was a critical element, the project was focussed on improving the efficiency and effectiveness of processes and practices across the University through the introduction of consistent approaches. Members noted that the proposal was based upon the findings of a review by external consultants, PricewaterhouseCoopers (PwC), which had highlighted areas where systems and processes could be significantly enhanced. The proposal came with the strong recommendation of the Finance & Policy Committee.

The Court was supportive of the project and business case presented, and in response to questions the Director of Finance confirmed that the figures presented were prudent in terms of both the savings potential of the project and
the cost implications. The Director also confirmed the University’s cash and budget position relative to the funding required for the project. Members suggested that the Finance & Policy Committee should at its next meeting consider a longer-term budget plan which highlighted the timings of the expected costs and savings in relation to this project and other influential factors such as the transformation agenda and review of structures. Members also suggested that there was a need to allocate a contingency to the figures presented and recommended further exploration of the risk appetite and arrangements for overseeing the project once the tender process had been completed.

In reviewing the paper there was substantial discussion of the relationship between the business transformation project, transformation agenda and review of structures. The need to clarify the communication of the drivers, outcomes and approaches of these three separate activities was highlighted, in particular in relation to staffing matters where there was potential for misunderstanding or confusion. In response to questions the Principal confirmed that the review of structures was focussed on achieving the cultural change required to support the University in delivering its vision, and was not driven by a cost reduction agenda. The Director of Human Resources also clarified that the business transformation project, which would involve the redesign of business processes across the institution, was different from the IT organisational change project which was underway and which was focused on ensuring appropriate roles, structures and functions for staff working in IT. The University Secretary went on to explain the relationship between the long-term potential for staff reductions as a result of the business transformation project and the short-term targets for reductions currently being sought through the VS schemes.

The Court highlighted the need for the business transformation implementation plan to include a clear communications strategy which would support project leaders in achieving the buy-in to the cultural and process based change which was critical to the success of the project and to ensure that there was transparency around the possibility of future impacts on staffing. Members also highlighted the risks associated with taking forward this specific project at a time when there were other substantial change projects (structures review and transformation agenda), however it was also noted that there was a critical need to take this project forward at this time to improve business process through coordinated central systems.

The Court was keen that a full implementation plan, highlighting milestones, phasing relative to the budget and the overall strategic plan be presented to the Court once the tender process had been completed. Members also suggested that it would be useful to see at an early stage the plans for oversight of the project, including the possible role of Court members and the Audit Committee.

**The Court decided:** to approve the proposal subject to tenders falling within the indicated cost range.

(3) SFC Indicative Funding Letter

The Court received a copy of the indicative funding letter from the Scottish Funding Council and a summary from the Director of Finance outlining the position of various SFC grants to the University. Members noted that the
position in relation to the allocation of the Research Excellence Grant (REG) had yet to be finalised by the SFC.

The Court decided: to note the letter.

38. TRANSFORMATION UPDATE

The University Secretary introduced a paper which summarised progress in relation to key projects which had an impact on the University’s transformation and financial outlook. The paper provided an overview of projects in the School of Medicine and College of Arts & Social Sciences (CASS) in relation to achieving the agreed targets for staff reductions, an update on emerging student recruitment patterns for 2015/16 entry, a summary of proposed changes to the Universities Superannuation Scheme (USS) costs, and an outline of major research grants relative to the budget. The paper also referred to the preparation of the 2015/16 budget, the business transformation proposal considered in minute 37(2), and the importance of the pending announcement on the SFC Research Excellence Grant (REG) award for the coming year.

Members noted the proposed consultation timeframes for the projects in the School of Medicine and College of Arts & Social Sciences. The University Secretary confirmed that the criteria for both projects would be the same, but that in response to feedback from CASS School and College Boards time would be taken to review the precise metrics for the CASS project criteria to ensure they were appropriate to the range of academic disciplines in question.

Noting that some key aspects to the University’s financial outlook, such as the REG, were still to be confirmed and the budget setting process for 2015/16 was about to begin, members suggested that it would be helpful for a paper to be prepared which developed a 5 year projection of the University’s financial position. In particular, members suggested that it would be useful for the paper to provide an oversight of the financial model, collating relevant aspects of the transformation agenda, business transformation project, income generation and savings targets, and further investment requirements. The Director of Human Resources also undertook to provide a summary of the staffing implications of the various projects.

Court reiterated the need for the University to deliver against agreed savings targets and achieve a position which was better than break-even, and highlighted the need to generate surpluses to enable investment in essential infrastructure, such as the maintenance of the estate.

The Court decided: to note the report and await further papers outlining the 5 year budget model.
39. GOVERNANCE

(1) Committee Membership

The Court decided: to approve the proposal that Ms Janice Aitken be invited to serve on the Governance & Nominations Committee for the remainder of the academic year.

(2) Court Membership

The Chair of Court informed the Court of the resignation of Ms Sheila Krawczyk as the member of Court elected by the non-academic staff. Members noted that arrangements were in place for an election to identify a successor for Ms Krawczyk and asked that their thanks be conveyed to Ms Krawczyk for her service and contributions to the Court and its Committees.

The Chair also informed the Court that Ms Christina Potter, had intimated her intention to step down from membership of the Court at the end of the current academic year. Members noted that the Governance & Nominations Committee would consider the process for appointment to the subsequent vacancy and, noting the desire to further enhance the approach to ensuring equality & diversity on the Court, members provided a number of helpful suggestions for consideration by the committee.

The Court also noted that the terms of office on Court of Professor Gary Mires (Academic Council), Professor Rami Abboud (Senate), Dr Alison Reeves (Senate), Mr Iain MacKinnon (DUSA President), and Mr Robin Van Mulders (Independent Student Member of Court) would end on 31 July 2015. Members noted that Professor Mires and Professor Abboud were not eligible for re-election having served the maximum terms allowed by Statute and Ordinance. Members also noted arrangements in place for elections in relation to each of these positions.

The Court decided: (i) to ask the Chair to convey the Court’s thanks to Ms Krawczyk for her contributions to the Court and its Committees; and

(ii) to note that the Governance & Nominations Committee would lead an appointment process to identify a successor for Ms Potter as a lay member of the Court.

(3) Graduates’ Council Assessor on Court

The Court heard that formal approval of the proposed changes to the Charter and Statutes of the University in relation to the Graduates’ Council had been received from the Privy Council on 11 February 2015 and that as such the process to identify a successor for Mr Iain Wright as Graduates’ Council Assessor on Court (to be known as Graduates’ Association member of Court) would proceed via an interview and selection process.

The Court was also, at the request of the appointing panel, consulted on its views around a potential conflict of interest associated with a possible candidate.
The Court decided: to note the Privy Council Order of 11 February 2015 approving amendments to the Charter articles 4.1, 11.1, 11.2 and 17 and Statutes 6, 9 and 20, that Court had itself approved at its meetings on 9 December 2013 and 17 February 2014 (Appendix 3).

40. UNIVERSITY STRATEGY TO 2017: KEY PERFORMANCE INDICATORS

The Director of Strategic Planning introduced a report summarising data in relation to Key Performance Indicators (KPIs) for the Estate, People, and Research enabling strategies. A commentary on each of the KPIs was provided along with data relating to the performance indicators (PIs) for these strategies. Discussions largely focussed on the KPIs relating to the success rate of research funding applications to Research Councils UK and major charitable funders, and the diversity of research income - with members taking particular interest in the University’s performance with regard to overhead recovery. Members also noted the need to improve Research Postgraduate numbers as part of the internationalisation agenda.

The Court was pleased to note that issues with the reporting of completion rates for staff equality and diversity training had been resolved. In response to questions the Director of Human Resources confirmed that she understood that the completion of equality and diversity modules had been introduced into the process and procedures for considering academic promotion and all those promoted had undertaken and completed the modules.

The Court decided: to note the report.

41. HUMAN RESOURCES COMMITTEE

The Court received a report from the meeting of the Human Resources Committee on 27 January 2015 (Appendix 4). The Director of Human Resources highlighted the Committee’s discussion of strategic projects relating to the University restructuring, the School of Medicine and College of Arts & Social Sciences, and UoD IT. The Director also provided the Court with an update on responses received to date to the opening of the Voluntary Severance (VS) schemes in January 2015, the suspension of potential industrial action by the University and College Union (UCU) in relation to the USS pension scheme issue and the implementation of the Living Wage at its current level. Members were interested to note the Committee’s discussions in relation to organisational change projects, and in particular that a summary of trends in academic staff numbers would be considered at a future meeting.

The Court decided: (i) to ask that the summary of trends in academic staff numbers be provided to the Court at a future meeting; and

(ii) otherwise, to approve the report.
42. REMUNERATION COMMITTEE

The Convener of the Remuneration Committee provided members with a verbal update on the outcomes of the meeting held on the morning of Court, and in doing so confirmed the total amount awarded was below that allocated in the budget and that further details would be provided in the minute from the meeting in due course.

The Court noted that the Committee was pleased with the progress made in enhancing the process and intended to present proposal for a revised remuneration framework to the September/October meeting of Court. In response to discussion, the Convener undertook to include within the framework consideration of a policy to define the University’s position in relation to the remuneration of individuals who opted out of the pension scheme due to threshold limits.

The Convener also highlighted the demographic of those eligible for consideration by the Committee and, noting a number of measures in place at the University to promote equality and diversity, members asked that the Senior Management Team and Human Resources Committee further consider the University’s approach to this key strategic responsibility. Members were also keen that these considerations extended to the membership of University committees and that equality and diversity matters were embedded within the current review of University structure. The Director of Human Resources told the Court that members of University Committees, including the Court, would be asked to complete equality and diversity forms and that this information would be used to inform future approaches to this area.

The Court decided:  
(i) to note the update and await the formal minute at the next meeting of the Court on 20 April 2015; 
(ii) to ask that the Senior Management Team and Human Resources Committee consider the matters raised in relation to equality and diversity; 
(iii) to await a further paper from the Remuneration Committee in relation to a remuneration framework; and 
(iv) to note that members of Court would shortly be asked to complete an equality & diversity questionnaire.

43. V&A AT DUNDEE: UPDATE

The Court received a paper from the University’s Projects Director which provided a summary of the outcomes of negotiations with partners in relation to revenue funding of the V&A Museum of Design Dundee. Members noted that the agreed package of cash and in-kind contributions was within the parameters agreed by the Court at its meetings on 10 June and 9 December 2013. In response to questions the Director of Finance confirmed the impact of the phasing of contributions relative to the University’s budget as a result of the delay to the project.
The Court discussed recent publicity in relation to increases to the capital expenditure cost of the museum. The Principal confirmed that the University had no role in relation to the capital funding of the project and had no concerns in relation to the timing of announcements in this respect.

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

44. **EU GRANTS**

The University Secretary briefed the Court on a matter which was to be reviewed by the Audit Committee at its next meeting.

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

45. **UNDERGRADUATE APPEALS COMMITTEE OF SENATE**

**The Court decided:** to establish the following ad hoc committee to undertake on the Court’s behalf and under the terms of Statute 9(5)(b), a review of a decision of the Undergraduate Appeals Committee of the Senatus:

- Mr Andrew Richmond (Convener)
- Professor Margaret Smith (Senate)

46. **COMMUNICATION FROM THE SENATUS ACADEMICUS**

The Court received a report from the meeting of the Senate on 4 February 2015 (Appendix 5). Members noted the Senate’s discussions relating to the transformation agenda, review of structures, and Research Excellence Framework (REF) outcomes.

**The Court decided:** (i) to approve the recommendations concerning the conferment of the title of Professor Emeritus on Professor Nigel Johnson; and

(ii) to note the graduation timetable and timetable for the 2015 Dundee University Students’ Association elections.

47. **RESEARCH GOVERNANCE & POLICY SUB-COMMITTEE**

The Court received the annual report from the Research Governance & Policy Sub-Committee.

**The Court decided:** to note the report, and await further reports on an annual basis.
48. **WELFARE & ETHICAL USE OF ANIMALS COMMITTEE**

The Court received a report from the meeting of the Welfare and Ethical Use of Animals Committee on 14 January 2015 (Appendix 6). Members suggested that it would be useful for the Convener of the Committee to be invited to attend the Court to provide members with an overview of its work.

The Court decided: to approve the report.
Foreword

Looking through the agenda for this afternoon’s meeting of Court members will no doubt note the major emphasis on work relating to business transformation, the on-going considerations of the Structural Review, and the changes required to improve the University’s financial performance and return us to at least a break-even budget position. There can be no doubt that the financial climate in which Universities operate is growing increasingly difficult, and indeed there is evidence that the majority of Scottish Institutions saw weakened financial results for 2013/14. This external environment makes our commitment to reducing costs and increasing unregulated income, while continuing to ensure that the University is known as an institution of excellence, even more crucial to achieving future financial sustainability.

Elsewhere on the agenda paper K provides an update on negotiations with Design Dundee Ltd (DDL) partners in relation to the revenue funding of the V&A, which I am pleased to confirm were concluded within the parameters agreed previously by the Court. Members will note the discussions of the Finance & Policy Committee in relation to this project, and I will provide the Court with a full update at the meeting. I would however like to highlight to the Court the strength of the relationship between the University and the V&A project partners, and the importance of recent funding announcements from Dundee City Council, the Scottish Government and the Heritage Lottery fund. While there has understandably been negative publicity in terms of the significant increase in the capital costs of the project, these recent announcements mean it is likely that construction work will commence in early spring – an important and notable milestone for the project.

Members may also be interested to note the continuation of work in relation to the Structural Review as outlined in my December report. The four Work-Streams are now well established, and as with the initial Review of Organisational and Management Structures considered by the Court, this latest phase will continue to place consultation at the heart of the approach. A number of surveys and workshops are now planned or underway to inform the proposals which will emerge from the Work-Streams, and I expect to bring these to the Senate and in due course

Political Landscape

Although there has been no change to the party leadership of the Scottish Government, with a new First Minister and greatly changed Scottish Cabinet there is nevertheless a policy climate similar to that of a new administration. There has been a strong emphasis on social justice and widening access as drivers of policy, however there have already been implications for the funding of Universities relative to other elements of the education budget, and indeed the devolved Scottish budget as a whole. In my last report I highlighted changes such as the late withdrawal of around £22m from the HE sector budget, including £14m from the Global Excellence initiative within the Research Excellence Grant (REG), and following a challenging period for the FE sector which has faced a number of difficult decisions, the HE sector seems likely to come under increasing pressure. As the Convener of Universities Scotland and as Principal of this University I will continue to engage with the Cabinet Secretary for Education & Life Long Learning and other influential politicians in the lead up to the next spending review to seek the best possible outcome for the sector.

Budget Considerations

There are a number of factors which will significantly influence the outcome of the 2015/16 budget, and for many of these the details are only just starting to emerge - including the outcome of Research Excellence Grant (REG) modelling by the funding councils, the detail of the indicative funding letter from the SFC in relation to the SFC Teaching Grant, and our performance in unregulated student recruitment markets. An initial consideration of key factors relating to the 2015/16 budget is described in paper F, however I have focussed the remainder of my report on providing members with a high-level summary of some of the key factors.

Teaching Grant Income

Not all components of the teaching grant have been announced at this time, however the recently published indicative funding letter from the SFC (paper F) sees a modest increase to this grant for Dundee of around £0.5m for 2015/16.
Research Excellence Framework (REF)

In December we circulated a summary of the University’s overall standing in the REF to Court members, and no doubt members were pleased to note that much of our research, across a wide range of disciplines, was ranked among the best in the UK. Annex a provides further detail of the performance of each Unit of Assessment where the University made a submission, but some key highlights are:

- We were ranked the top University in the UK for Biological Sciences and in the top three in the UK for Civil & Construction Engineering;
- Our General Engineering and Mathematical sciences were rated first in Scotland;
- Duncan of Jordanstone College of Art & Design maintained its position as the top-ranked Art & Design College in Scotland;
- The joint submission in Dentistry and Nursing has delivered a creditable outcome and Clinical Medicine is first in the UK for the impact of its research, while Psychology, Psychiatry & Neuroscience is in the UK’s top 30;
- There were notable improvements from RAE 2008 in areas like Social Work, where our impact rated highly, and Education, while Law, Geography and English also achieved mid-ranking results;
- The University was 24th in University rankings in the UK for ratio of 4* research (3rd in Scotland);
- Our strong performance in impact scores are a strong reflection of the University’s efforts to deliver on its vision of transforming lives locally, nationally and globally; and
- Our performance in Science, Technology, Engineering and Mathematics disciplines enable us to lay claim to be Scotland’s leading university for the quality of our research in the STEM subject areas.

Members will however see from annex a that there were some areas where we have not performed so well, and a complete analysis of our results in these areas is now underway.

The results of the REF will now be used by the funding councils, who between them allocate about £2 billion per year of research funding to UK universities, to make Research Excellence Grant (REG) funding allocations based on the quality and volume of each university’s research. This REG funding, a core part of the dual funding model for research activity, is currently under review and since the release of the outcomes we have engaged with the consultation on how the funding councils will relate the results to their distribution of core research grants. At the time of writing my report we are awaiting the outcome of deliberations in this respect, though we know that the model is likely to allocate funding in three separate streams based on performance in relation to: research quality, non-charity research income and charity income. The REG is a core component of our funding of world class research, amounting to almost £22m for the University in 2014/15, and at present our own modelling would suggest that a break-even position would be a good outcome for the University. There is however a risk of a significantly reduced allocation of the grant for Dundee if relatively small allocations are made through the charity/non-charity income streams given the high proportion of such work carried out here.

The outcomes of the REF will also be used internally as a valuable external assessment of research quality and impact to inform our strategy for the development of research at the University of Dundee for the 5 years until REF 2020. Key to our approach will be the development at a School level of strategic plans which focus on research capable of delivering 3*/4* outputs, supported by mentoring and publication strategies aimed at achieving the highest possible ratio of 4* research. We must also look to the overall environment in which research is performed, and in particular consider the benefits of research clusters where numbers within a unit of assessment are small.

Student Recruitment

The Finance & Policy Committee considered an interim report of our overall performance in relation to taught postgraduate student recruitment for 2014/15 following the January intake and initial patterns of undergraduate recruitment for 2015/16 entry, and while I do not intend to replicate either the data or discussion here in my report I have included an overview of key observations to provide the Court with context to its financial discussions.

With regard to taught postgraduate recruitment for 2014/15 we have seen that the overall number of matriculations was equivalent to that of the previous cycle. Members will no doubt recall that this was a key area for projected growth, and as such while we are encouraged to see that the measures we have taken have halted the decline of recent years, we nevertheless need to remain focused on the delivery of the required growth. The undergraduate recruitment pattern for entry in 2015/16 is beginning to emerge, though it is still early in the cycle. There are encouraging signs in terms of the initial pattern of applications and offers, including the slight increase in Rest of UK (RUK) applications in uncontrolled subject areas, and significantly improved rates in the speed at which offers are made to applicants. However, the impact of our enhanced strategies on the conversion
of offers to matriculations cannot yet be predicted, and there remain significant risks within the budget in relation to achieving the year on year growth required.

This is of course a key area for the University to address, and the arrival of the new Director of External Relations and new Head of Marketing at the start of the month will see additional capacity and leadership in this respect. The Court will also no doubt have noted from recent correspondence that interviews for the position of Vice-Principal (International) are scheduled for 10 February 2015. I will update the Court on the outcome of the interviews at the meeting on 16 February, however this position is also pivotal to the University’s future strategy and approach to growth in this area.

Conclusion

We have reasonable confidence in achieving a break-even budget for 2015/16 providing that the necessary planned savings and income growth are achieved and the outcome of the REG is not unfavourable – something which remains a significant risk at this time. We must also remain mindful of the longer-term picture, and the impact of increased pension and National Insurance costs on the 2016/17 budget makes it imperative that we act quickly to secure our future financial sustainability.

Professor Pete Downes
Principal & Vice-Chancellor
### University of Dundee REF Outcome by Unit of Assessment

<table>
<thead>
<tr>
<th>UOA Name</th>
<th>2014 intensity weighted GPA rank order</th>
<th>2014 rank order by GPA</th>
<th>Number of Institutions Submitting in the UOA (all REF institutions)</th>
<th>Quartile intensity weighted GPA rank order</th>
<th>Quartile GPA rank order</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clinical Medicine</td>
<td>26</td>
<td>23</td>
<td>31</td>
<td>Q1</td>
<td>Q2</td>
</tr>
<tr>
<td>Public Health, Health Services and Primary Care</td>
<td>14</td>
<td>28</td>
<td>32</td>
<td>Q3</td>
<td>Q1</td>
</tr>
<tr>
<td>Allied Health Professions, Dentistry, Nursing and Pharmacy</td>
<td>46</td>
<td>42</td>
<td>94</td>
<td>Q3</td>
<td>Q3</td>
</tr>
<tr>
<td>Psychology, Psychiatry and Neuroscience</td>
<td>54</td>
<td>27</td>
<td>82</td>
<td>Q2</td>
<td>Q3</td>
</tr>
<tr>
<td>Biological Sciences</td>
<td>8</td>
<td>2</td>
<td>44</td>
<td>Q4</td>
<td>Q4</td>
</tr>
<tr>
<td>Mathematical Sciences</td>
<td>5</td>
<td>8</td>
<td>53</td>
<td>Q4</td>
<td>Q4</td>
</tr>
<tr>
<td>Computer Science and Informatics</td>
<td>43</td>
<td>22</td>
<td>89</td>
<td>Q3</td>
<td>Q4</td>
</tr>
<tr>
<td>Civil and Construction Engineering</td>
<td>4</td>
<td>3</td>
<td>14</td>
<td>Q3</td>
<td>Q4</td>
</tr>
<tr>
<td>General Engineering</td>
<td>32</td>
<td>7</td>
<td>62</td>
<td>Q2</td>
<td>Q4</td>
</tr>
<tr>
<td>Architecture, Built Environment and Planning</td>
<td>24</td>
<td>42</td>
<td>45</td>
<td>Q2</td>
<td>Q1</td>
</tr>
<tr>
<td>Geography, Environmental Studies and Archaeology</td>
<td>44</td>
<td>38</td>
<td>73</td>
<td>Q2</td>
<td>Q2</td>
</tr>
<tr>
<td>Business and Management Studies</td>
<td>53</td>
<td>83</td>
<td>101</td>
<td>Q2</td>
<td>Q1</td>
</tr>
<tr>
<td>Law</td>
<td>44</td>
<td>34</td>
<td>67</td>
<td>Q2</td>
<td>Q2</td>
</tr>
<tr>
<td>Politics and International Studies</td>
<td>38</td>
<td>49</td>
<td>56</td>
<td>Q2</td>
<td>Q1</td>
</tr>
<tr>
<td>Social Work and Social Policy</td>
<td>22</td>
<td>37</td>
<td>62</td>
<td>Q3</td>
<td>Q2</td>
</tr>
<tr>
<td>Education</td>
<td>39</td>
<td>30</td>
<td>76</td>
<td>Q2</td>
<td>Q3</td>
</tr>
<tr>
<td>English Language and Literature</td>
<td>43</td>
<td>41</td>
<td>89</td>
<td>Q3</td>
<td>Q3</td>
</tr>
<tr>
<td>History</td>
<td>28</td>
<td>53</td>
<td>83</td>
<td>Q3</td>
<td>Q2</td>
</tr>
<tr>
<td>Philosophy</td>
<td>17</td>
<td>33</td>
<td>40</td>
<td>Q3</td>
<td>Q1</td>
</tr>
<tr>
<td>Art and Design: History, Practice and Theory</td>
<td>19</td>
<td>23</td>
<td>84</td>
<td>Q4</td>
<td>Q3</td>
</tr>
</tbody>
</table>

Data taken from Times Higher Analysis of REF (downloaded 08/01/2015)
Senior Management Team Meetings (SMT)

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

Since the last report to the Court, the Senior Management Team met on 17th December 2014 and 4th & 28th January 2015 when the following matters were considered:

**Corporate & Finance Issues**
- Management Accounts
- Key Performance Indicators
- SFC Financial Memoranda
- Budget Setting
- Report on Estate Strategy

**HR Issues**
- Race Equality Charter Mark
- Living Wage
- Workload Modelling
- UCU Industrial Action

**Academic Management Issues**
- REF Results
- SFC Outcome Agreement
- University Structure
- Employability, Enterprise & Entrepreneurship Strategy
- Sustainability Projects in CMDN & CASS
- Forensic Science Innovation Gateway
Vice-Principal's Highlights

As with my previous report, I have asked the five Vice-Principal 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.

More information on the achievements of staff and students within the Colleges can be found at:
- 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/
- College Arts & Social Sciences: http://www.cass.dundee.ac.uk/news/
- College of Art, Science & Engineering: http://www.dundee.ac.uk/case/
- The University's press releases can be found at http://www.dundee.ac.uk/news/.

Dundee Energy Summit 2015: The Dundee Energy Summit 2015 took place on Saturday 31st January 2015 on campus. It was founded by graduate students from the Centre for Energy, Petroleum and Mineral Law and Policy with the commitment to offer an open discussion on UK Energy Future Mix. The initiator formed a team with young inspired individuals with the aim to form an effective exchange and enlightenment between delegates and leaders to foster a broader view on UK affairs.

The Scholarship – Guardian Awards: The Graduate School Initiative, The Scholarship, has been submitted for The Guardian Awards 2015 in the category, 'International Projects', awarded to an outstanding project, venture or collaboration – in teaching, research or student attraction – that shows the university operating with global vision and ambition. Entries will be judged by a representative panel from across the UK higher education sector, winners will be announced at a prestigious ceremony in London, March 2015, and shortlisted entries will be profiled across the Guardian.

Technology Innovation Module: A team of computing students were awarded a £500 prize as winners in a “Technology Innovation Module” hosted jointly by the University and by industry. Teams had been given 11 weeks to develop a product, and a supporting business plan, that supported product managers in the workplace. The all-female winning team were Applied Computing students Stephanie Lee, Kari McMahon, Wu Xingue and Jade Woodward.

Dundee ultrasound expertise to boost major US nanoscale science project: A University of Dundee research team - Dr Mike MacDonald, Professor Sandy Cochran and Dr Christine Demore - which is among the world leaders in developing new uses for ultrasound, is to look at the potential to develop nano-robots as part of a major study in the USA. The Dundee team is one of only a handful of international partners to be selected to take part in the prestigious US government-funded project. The Dundee researchers, whose work on an acoustic tractor beam was named one of the top 10 breakthroughs of the year by Physics World, will add their expertise to a six-year $15million research project on materials at the nanoscale, which is being led by the Pennsylvania State University in the USA.

Hack the University’ – inaugural event to change the future: Students from all corners of the University of Dundee were called upon to help improve the institution at its inaugural ‘Hack the University’ session. Using skills and perspectives from different disciplines, students came together to develop and build services for several University services, including Dundee University Students’ Association (DUSA), Library & Learning Centre, IT and the Institute for Sport and Exercise. They were also asked to help rethink the way the curriculum is developed and delivered.

Student Forensic Research Symposium to be held in Dundee: The second annual Scottish Student Forensic Research (SSFR) symposium will be held on March 27, 2015 in the University of Dundee’s Scrymgeour Hall. Following on from a successful first year at the University of Strathclyde, the event brings together students from across the wide field that is forensic science to showcase the depth and variety of research being undertaken within Scotland. This year’s symposium has been organised by current postgraduate students at - the Centre for Anatomy and Human Identification, in association with the University of the West of Scotland.

Nursing revalidation scheme: The school of Nursing, in partnership with NHS Tayside, is pioneering a revalidation scheme for nurses that has been commissioned by the Nursing and Midwifery Council. This will eventually support nurse training and professional standards across the UK, and will have a major impact on the way in which nurse education is developed.

Go-SHARE: 50,000 members of the public have signed up to participate in Go-SHARE, a pioneering exercise led by Professor Colin Palmer and colleagues, to engage the public in Tayside and across Scotland in medical
research, permitting use of blood samples and routinely collected medical data. This has already been highly commended by the MRC and supported by the Wellcome Trust, and is an excellent example of leadership in an area where public cooperation is essential.

**Academic Skills Week: 20 – 24th October 2014**

The Academic Skills Week stemmed from a request from the DUSA Executive responding to feedback received from students. After discussion with Stefan Tomov DUSA Deputy President, the Academic Skills Centre and colleagues in CASTLE agreed to host a series of lecture-style workshops during week six in Semester One: Reading Week for some Schools. The theme for each workshop again came from the feedback DUSA had received from students. These were: Essay Writing, Referencing, Report Writing/Dissertations, Presentation Giving, Exam Revision. Promotion of the Academic Skills Week was led by DUSA Media, supported by CASTLE. Posters, social media and DUSA Student Reps network ensured that the week was well supported. The support of the DUSA Exec extended beyond the promotion of the workshops to the participation of a member of the Exec in each session, lending their public support as well as their experience to the activities. This was a key feature of each workshop. Workshops were delivered by colleagues from the Library & Learning Centre and CASTLE. In terms of the future, there is real value in repeating such an event in conjunction with DUSA.
People & Prizes

Professor Emeritus Christopher Whatley was made an Officer of the Order of the British Empire (OBE) for his services to Scottish history education.

Honorary Professor Dilip Nathwani was made an Officer of the Order of the British Empire (OBE) for his services to the treatment of infectious diseases.

Jenny Miller has been appointed the new Chief Executive Officer of the University of Dundee-based charity PAMIS.

Professor Andrew Hopkins of the College of Life Sciences at the University of Dundee, has been named one of this year’s winners at the prestigious Scottish Enterprise Life Sciences Awards.

Three DJCAD students were named as award winners in January 2015: Samantha Wilson (MFA Art & Humanities) won the Royal Scottish Society of Painters in Watercolours Alexander Graham Munro Travel Award, Laura Hope (MFA Art & Humanities) won the Saltire Society Arts Bursary and Ruth Niven (Graphic Design) won a design competition for the Angus Open Studio Event 2015.

Chris McCann, a 3rd year Medical student, was awarded £40k of funding in the recent Edge Funding awards to develop his business idea Snap40 – a wristband that monitors patient’s indicators to reduce cardiac arrest. http://www.scotedge.com/finalists-support-pack-winners-announced/

HRH The Princess Royal formally opened the Farr Institute of Health Informatics Research at the Ninewells Campus on 15th January 2015.

The University’s Five Million Questions (5MQ) initiative and the FIRST team led by Alyson Leslie were the joint winners of the Stephen Fry Award for Excellence in Public Engagement with Research and received their awards as part of the University’s annual Discovery Days event.

Lindsay Macgregor, poet and graduate of the MLitt in Writing Practice and Study, has been awarded a New Writers Award from the Scottish Book Trust. The New Writers Awards winners receive a £2,000 cash award, allowing them to focus on their work, plus mentoring from writers and industry professionals, training in PR; performance and presentation training, and the opportunity to showcase work to publishers and agents.

Professor Sue Black included in line up of extraordinary women. The Guardian will celebrate International Women’s Day with a line-up of extraordinary women talking about their lives, achievements and inspirations. Taking place at the Royal Geographical Society in March, Sue will join author and illustrator Judith Kerr, historian Jung Chang, activist Nimko Ali and DJ Annie Nightingale, on the panel.

Lorraine Anderson, Head of CASTLE, has been appointed Deputy Chair of the current sector-wide QAA Enhancement Theme - Student Transitions http://www.enhancementthemes.ac.uk/enhancement-themes/current-enhancement-theme

The College of Medicine, Dentistry and Nursing Learning and Teaching Awards 2015

Held in January, awards were presented as follows: Postgraduate – Excellence in Teaching – Tom Fardon; Undergraduate – Excellence in Teaching - Linda Orr and the Managing Complex Care Module Team; Undergraduate – Innovation in Teaching – (1) Shihab Khogali, Alisdair Smithies and the Technology and Innovation Learning Team and (2) Tom McConnachie
Major Grants and Awards

The following represents 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 the achievements of the staff involved, the breadth of our success, and the value of collaboration across the University. In all, the regular report from Research & Innovation services on grant awards since the last meeting of Court details 70 awards amounting to £6.27m with overhead awards in the region of £980k. Any joint awards with other institutions state the University of Dundee value only. In response to requests from members of Court, where an award is overhead bearing the level of overhead is indicated.

**Dr A Dinkova-Kostova** (Division of Cancer Research) **£791,341** from Cancer Research UK for ‘The Role of the Keap1/Nrf2 Pathway in Tumour Metabolic Adaptation’ (Joint with University of Cambridge and University College London).

**Professor T Palmer** (Molecular Microbiology) **£595,617** from the Medical Research Council for ‘Characterisation of the Ess Protein Secretion System of Staphylococcus Aureus a Key Virulence Factor’. Overhead £280,281.

**Professor J R Swedlow** (Gene Regulation and Expression) **£806,568** from Biotechnology and Biological Sciences Research Council for Building a Next Generation Image Repository: Molecular Annotation and Cloud-based Data Processing and Analysis (Joint with EMBL-EBI and University of Cambridge).

**Professor P R J Birch** (Plant Sciences) **£285,655** from Biotechnology and Biological Sciences Research Council for A Synthetic Biology Approach to Develop Durable Disease Resistance in Crops. Overhead £120,018.

**Professor R McCrimmon** (Division of Cardiovascular & Diabetes Medicine) **£280,305** from Diabetes UK for NRF-2 Based Approaches to Preventing Cognitive Impairment in Diabetes.

**Dr FL Short** (Molecular Microbiology) **£250,000** from Wellcome Trust for Deciphering the Second Messenger Regulatory Network(s) in Pseudomonas Aeruginosa that Control Persistent Infection.

**Professor M Klaes** (Economic Studies) **£214,779** from EC Horizon 2020 – Energy for Crowd Fund RES. Overhead £118,665.

**Dr D R Coghill** (Division of Neuroscience) **£154,526** from EC FP7 Health for Multidisciplinary Approaches to Transitional Research in Conduct Syndromes (MATRICS). Overhead £92,909.

**Dr L Unterholzner** (Cell Signalling and Immunology) **£86,576** from EC FP7 People/Marie Curie for Innate Immune Sensing of Intercellular DNA.

**Professor P T Donnan** (Division of Population Health Sciences) **£77,207** from EC FP7 Health for PERS: Paediatric European Risperidone Studies (joint with 20 partners). Overhead £28,953.
APPENDIX 2

FINANCE & POLICY COMMITTEE
(Minute 37)

A meeting of the Committee was held on 26 January 2015.

Present: Mr KA Richmond (Convener), Principal Professor CP Downes, Professor RJ Abboud, Deputy Principal Professor SM Black, Mr IC Howie, Mr I MacKinnon (President, Students’ Association), Mr EF Sanderson, and Mr D Taylor.

In Attendance: Vice-Principal Professor K Leydecker; University Secretary; Director of Finance; Director of Policy, Governance & Legal Affairs; Director of Business Transformation (Minute 2); Director of Strategic Planning; Chief Technology Officer (Minute 2); Mr A Jackson (Head of Science, Innovation and Climate Dept/FCO Deputy Chief Scientific Adviser); and Clerk to Court.

Apologies: Mr R Bowie, Mr J Elliot.

1. MINUTES

Resolved: to approve the minutes of the meeting of 17 November 2015.

2. BUSINESS TRANSFORMATION

The Committee received a paper from the Senior Management Team setting out business transformation proposals which had been developed out of a recently commissioned review by external consultants, PricewaterhouseCoopers (PwC). The report from the review had highlighted that support structures and processes could be significantly enhanced, and had recommended: the development of the University’s core business systems; implementation of common standard processes across Colleges, Schools and Directorates; consideration of the ownership of key datasets; and the development of a common data environment capable of delivering management information from multiple sources.

The Director of Business Transformation introduced the proposals and the Committee noted that while they went well beyond matters relating to IT modernisation, investment in key IT systems was nevertheless an important element. The Committee considered the business case presented and noted the potential benefits, investment cost ranges, and options proposed for the introduction of a new operating model. In response to questions the Director confirmed that implications for technology, processes, structures, people and data had been carefully considered in developing the proposal, and members noted that it represented a major programme of transformation which was dependent upon continued investment in improved systems, processes and management information; and that the required level of change could not be achieved by incremental operational changes.

The Committee considered the report from PwC, and noted that a formal tender process would be required to confirm the costs relating to the proposed new IT systems which would be necessary to underpin the transformational change outlined. The Committee was supportive of the proposal, and provided feedback on aspects of the report and recommendations, requesting in particular additional information in relation to the financial impact on the budget/accounts year by year, a risk analysis for the project, and links to existing transformation projects. Members were also keen for information to be provided in relation to how the benefits of the project might be tracked.

Resolved: to strongly endorse the proposals to the Court for approval, subject to the additional information requested.

3. MATTERS ARISING

1. Dundee Student Villages Update (Minute 3(1))

[Secretary’s note: The Committee noted that the University Secretary and Director of Finance were members of the DSV Board of Directors, but that the Director of Finance would shortly be replaced on the Board by the Director of Policy, Governance & Legal Affairs].
The Director of Finance provided the Committee with an update on discussions relating to the Dundee Student Villages (DSV) model and performance and was requested to provide further updates at future meetings.

Resolved: to note the position and await further updates.

(2) Dasman Diabetes Institute (Minute 11)

The Director of Finance provided the Committee with an update on the financial performance of the Dasman contract. The Committee noted that the University had been prudent in making provisions within the accounts for the project to date and that this position should be reviewed.

Resolved: to note the update.

(3) Student Recruitment (Minute 6)

The Vice-Principal (Learning & Teaching) provided the Committee with an update on 2014/15 postgraduate taught recruitment figures following the January 2015 intake and an interim report into undergraduate recruitment patterns for entry in 2015/16.

In relation to undergraduate recruitment matters, the Committee noted a small increase in undergraduate applications, and in particular the steady-state in relation to Rest of UK (RUK) and overseas applications for uncontrolled subjects relative to the previous cycle. Members were pleased to note improvements to the speed with which offers were made to applicants, and highlighted the importance of early engagement in improving applicants’ experience and perception of the institution. Members also drew attention to the importance of both increasing application numbers and improving conversion rates if proposed growth levels were to be achieved, and the University Secretary confirmed that this would be a significant focus of the new Director of External Relations when he took up post in early February 2015.

Turning to the taught postgraduate recruitment update, members noted that final numbers for 2014/15 entry were equivalent to those for the previous cycle, but that there had been a decrease in home taught postgraduate numbers and an increase in overseas numbers. In response to questions the Vice-Principal reminded the Committee of the offer strategy approved for the current cycle, and he went on to confirm that consideration had been given to the approach to courses where the University could be considered a unique provider.

Resolved: to note the update.

4. UPDATE ON TRANSFORMATION

The Director of Finance presented his regular report into the progress of key projects which had a financial impact on the University’s transformation and financial outlook. In doing-so he highlighted the launch of Voluntary Severance (VS) schemes for academic and support staff. He also provided an update on national negotiations relating to Universities Superannuation Scheme (USS) pension costs, discussed the outcomes of early modelling of the Research Excellence Grant following the Research Excellence Framework (REF) results, and summarised the overhead recovery from secured major grants relative to the budget.

Resolved: (i) noting that overhead recovery was behind budget, to request a training and information session on research funding and overhead recovery calculations; and

(ii) otherwise, to note the report.

[Secretary’s note: A training session was subsequently arranged for 23 March prior to the next meeting of the Finance & Policy Committee].

5. MANAGEMENT ACCOUNTS (PERIOD 5)

The Director of Finance presented the management accounts for the period to the end of December 2014. The Committee noted that the year-end forecast was for a deficit of £2.87m, a negative variance of £171k relative to the budget. Members noted a strong performance from the College of Medicine, Dentistry & Nursing against budget, and that a detailed budgetary review might show some further improvement to
forecasts within the directorates. Members also discussed the impact of exchange rates on student fees and recruitment levels.

Resolved: to note the accounts.

6. SCOTTISH FUNDING COUNCIL (SFC) FUNDING UPDATE

Members noted that the indicative funding letter from the SFC had not been received at the time of the meeting, and the Director of Finance undertook to circulate the funding update when received.

Resolved: to note the update.

[Secretary's note: The letter was subsequently received and circulated to members of the Finance & Policy Committee].

7. BUDGET SETTING

The Director of Finance introduced a paper outlining progress so far in the preparation of the budget for 2015/16. The Committee noted the initial three-year projection which included estimates of tuition fee income and investment in IT and infrastructure. In response to questions, the Director confirmed that additional costs relating to National Insurance and USS employer contributions would come into effect in April 2016 and had a strong bearing on the declining budget projections at that point along with aspects of the projected IT infrastructure investments. Members also considered a summary of the financial performance of Scottish Universities in 2013/14 relative to 2012/13, and noted that the financial result had weakened for the majority.

Resolved: to note the report and await a further update at the meeting on 23 March 2015.

8. ESTATES & BUILDINGS REPORT

The Committee considered a report from the Director of Campus Services which focussed on the University’s energy strategy. Members noted that, with monitoring and targeting software in place, energy usage reports were now being provided to Colleges and Schools. The Senior Management Team was reviewing how the planning and resources model would operate following the forthcoming restructuring of the University and the devolution of energy costs would be considered as part of that process.

The Director also updated the Committee on negotiations with Dundee City Council in relation to a potential land swap.

Resolved: (i) to approve progression of negotiations with Dundee City Council; and

(ii) otherwise to note the report.

9. FRS102

The Director of Finance provided the Committee with a paper outlining the impact of the introduction of Financial Reporting Standard 102 (FRS102) on University accounts, and preparations underway at the University with regard to its implementation. Members noted that FRS102 would first affect University accounts from the year ended 31 July 2016, but that it would need to be applied to the balance sheet as at 31 July 2014 and 31 July 2015.

The Committee noted the significant impact on reporting figures as a result of FRS102, and highlighted the need for communication and training to ensure that progress toward financial targets could continue to be monitored after the new standard was applied, and to avoid confusion and misinterpretation of changes to the accounts. The Director of Finance told the Committee that internal reporting options were being explored to provide this consistency.

Resolved: to note the report.

10. ENDOWMENTS SUB-COMMITTEE

The Committee received a report of the Sub-Committee’s meeting on 18 November 2014.
Resolved: to note the report

11. **PENSION SUB-GROUP**  
The Committee received a report from the meeting of the Sub-Group on 17 November 2014.

Resolved: to note the report

12. **FINANCIAL MEMORANDUM BETWEEN THE SFC AND HE INSTITUTIONS**  
The Committee received a copy of the SFC’s Financial Memorandum with Higher Education Institutions as published in December 2014.

Resolved: to note the Memorandum.

13. **V&A AT DUNDEE**  
The Principal updated the Committee on the V&A at Dundee project. Members noted that discussions with Design Dundee Ltd (DDL) in relation to revenue contributions by partners had concluded within the parameters previously agreed by the Court, and that the University had not been approached in relation to recently publicised increases to the capital expenditure element of the project. The Committee was pleased to note the strong relationship between the University and Dundee City Council.

Resolved: to note the update.
APPENDIX 3

GRADUATES’ ASSOCIATION

CHANGES TO CHARTER, STATUTES, ORDINANCES AND REGULATIONS
(MINUTE 39(3))

Charter

[…] 4.1 There shall be a Chancellor of the University who shall be the head of the University, and shall preside over all Academic Ceremonies of the University at which he is present

 […]

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

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

 […]

17 Subject to the provision of this Our Charter, the Statutes and Ordinance, the Court, the Senatus, the Graduates’ Association and the Academic Council respectively may from time to time make regulations for governing their proceedings, and may amend, add to or repeal any regulations theretofore made.

 […]

Statutes

6 The Secretary

(1) The Court shall appoint a Secretary with such duties, at such remuneration and (subject to Statute 16) upon such terms and conditions as it shall think fit. The Court, however, shall make such an appointment only after considering a report from a Joint Committee of the Court and Senatus.

(2) The Secretary shall be responsible for providing secretarial services for the Court, the Senatus, the Academic Council, and the Graduates’ Association and, under the direction of the Principal, for the administration of the University.

9 The Court

(1) […]

(f) Two members of the Graduates’ Association appointed by the Graduates’ Association, to be known as Graduates’ Association Members.

 […]

(f) Seven other persons, not holding full-time appointments from Court, as may be co-opted by the Court.

Provided always that no matriculated full-time student of any university, other than the President of the Students’ Association of the University of Dundee or the member appointed under sub-paragraph (k) of this paragraph, shall be a member of Court.
Provided also that no full-time member of the staff of the University may serve as a nominated or elected Assessor or representative save as provided for under sub-paragraphs (g), (h) and (i) of this paragraph.

Provided further that no former member of staff of the University or former student of the University may serve on Court either as an assessor in terms of sub-paragraphs (c), (d) and (e), as a Graduates’ Association Member in terms of sub-paragraph (f) or as a co-opted member in terms of sub-paragraph (l) of this paragraph until four years have elapsed from the point at which that person ceased to be a member of staff or a student of the University. This provision, however, shall not apply to any members serving on Court at the point at which it comes into force.

(2) (a) The Chancellor of the University shall have the right to receive Court papers and to attend Court meetings, but shall not be a member of the Court and shall not be entitled to vote at Court meetings.

(b) The Principal and the Rector shall hold office as long as they continue to occupy the positions named respectively.

c) The manner of appointment and period of office of the Graduates’ Association Members of Court shall be as prescribed in the Ordinances.

d) The manner of election of the members of Court elected by the Senatus, by the Academic Council and by the non-academic staff and their respective periods of office shall be as prescribed in the Ordinances.

e) The manner of identification and respective period of office of the student member appointed under sub-paragraph (k) of paragraph (1) shall be as prescribed in the Ordinances.

(f) The Assessor nominated by the Chancellor shall hold office for a period of four years from the date of nomination and shall be eligible for further nomination, but shall not hold office continuously for a longer period than eight years:

Provided always that in the event of the Chancellor ceasing to hold office the serving Assessor shall continue to be a member of the Court until an Assessor is nominated by the new Chancellor and no longer.

(g) Where, under sub-paragraph (c) of paragraph (1) above, the Rector elects not to hold office as a member of Court, but to appoint an Assessor, the Rector shall nevertheless retain the right to receive Court papers and attend Court meetings, but shall not be a member of Court and shall not be entitled to vote at Court meetings. An Assessor so nominated by the Rector shall hold office until the expiry of the term of office of the Rector by whom he or she was nominated and shall be eligible for further nomination, but shall not hold office continuously for a longer period than six years:

Provided always that on the expiry of a Rector’s term of office any serving Assessor shall continue to be a member of the Court until a new Rector is elected and joins the Court as a member or nominates a new Assessor to hold office as a member of the Court in his or her place.

(h) A co-opted member shall hold office for a period of four years from the date of co-option and shall be eligible for further co-option, but shall not hold office continuously for a longer period than eight years.

(i) The maximum total continuous period of office of a person serving as an assessor, a Graduates’ Association Member or a co-opted member of Court who serves consecutive periods of office under a combination of any of the terms of clauses (c) to (f) and (l) of paragraph (1) above is eight years.

(j) Where a particular skill or expertise might otherwise be lost, the Court may exceptionally agree to extend by a maximum of two years the period of office of members serving under the terms of sub-paragraph (l) or as an assessor in terms of sub-paragraphs (c) or (d) of paragraph (1) above. Graduates’ Association Members of Court who have reached their maximum term of office in that category may, for the same reason, be co-opted for an additional maximum period of two years under the terms of sub-paragraph (l) of paragraph (1) above, if such a vacancy exists.
(k) On expiry of their maximum period of office on Court, members having served as an assessor, or as an appointed, elected or co-opted member in terms of sub-paragraphs (a), (c), (d), (f), (i) or (l) of paragraph (1) above shall not be permitted to seek re-election, re-nomination or re-appointment in any category until a period of at least four years has elapsed from the date on which their membership ceases.

(l) Casual vacancies among the members of the Court shall be filled as soon as conveniently possible by the body which or person who nominated or elected the person whose place has become vacant, and the person nominated or elected to fill the vacancy shall be a member for the unexpired portion of the period of office of his or her predecessor and shall be eligible for further nomination or re-election.

(m) Any member of the Court, not being an ex officio member, may resign at any time by writing addressed to the Secretary.

(n) (i) The Court shall have the power after due investigation to remove the Chairperson or any other member of Court on the grounds of serious personal misconduct, abuse of the rights and privileges of membership of Court, bringing the University into disrepute, persistent absenteeism, medical incapacity or legal impediment.

(ii) When an investigation of the case for dismissal of a member of Court has been instigated the individual concerned shall be suspended from Court membership pending the outcome of the investigation and the Court’s decision thereon.

(iii) In all proceedings under this paragraph the Court shall ensure that the requirements of human rights legislation are observed.

(3) (a) A Chairperson of Court shall be elected from among its members who are not students or salaried staff of the University.

(b) The Chairperson so elected shall begin a new term of office on the Court and shall hold office for a period of three years whereafter the Chairperson shall cease to be a member of the Court. Provided always that the Chairperson shall be eligible for re-election but shall not serve continuously for more than six years in that office.

(c) The vacancy created as a result of the election of a new Chairperson of Court shall be filled in accordance with either sub-paragraph (l) of paragraph (1) or sub-paragraph (k)(l) of paragraph (2), as appropriate.

20 Graduates’ Association

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

(a) Graduates of the University as defined by Ordinance

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

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

(d) Honorary Graduates.

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

(3) The Graduates’ Association shall have power to make representations to the Court on all matters affecting the well-being and prosperity of the University.
(4) The Graduates’ Association shall appoint a Business Committee with such membership and such functions as may be prescribed by Ordinance or in the Regulations. The Business Committee shall appoint a Convener who shall act also as the Chairperson of the Graduates’ Association.

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

(6) The period of office and manner of appointment of the Graduates’ Association Members of Court shall be as prescribed by Ordinance.
INSTRUMENTS NOT REQUIRING PRIVY COUNCIL APPROVAL

(provided for information)

Ordinances

20 - Graduates' Association

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

2 The appointment of the Graduates' Association Member of Court shall be conducted according to procedures laid down in the Graduates' Association Regulations.

3 Such graduates shall hold office for a period of four years and shall be eligible for re-appointment but shall not hold office continuously for a longer period than eight years, except as may be permitted under Statute 9 The Court.

39 - Degrees, Diplomas and Certificates

[1-5 Unchanged]

6 A graduate of the University of Dundee is a person who has been awarded one or more of the degrees or qualifications given in paragraph 1(1) and 2 above, or who has been awarded the Diploma of Higher Education or the Certificate of Higher Education; provided that as a condition of graduation and in accordance with paragraph (2) of Statute 20 they shall pay a registration fee. Such persons shall be members of the Graduates' Association.

[7 Unchanged]

Graduates' Association Regulations

(Note: Regulations made under Ordinance 20.)

1 The Secretary of the University shall maintain a register of members of the Graduates' Association recording their full names, addresses, degrees and year of conferment of their first degree. This duty is disappplied to the extent that (1) such information may be unavailable; (2) any consent required by law or by any code of practice, etc of individuals is not forthcoming for any reason; (3) where compliance with this duty would breach data protection or other legislation, regulations or case-law.

2 The register may be consulted only by officers of the University and those delegated by them and to the extent, if any, permitted under data protection or other relevant legislation, regulations or case-law.

3 Notices of all meetings of the Association shall be advertised by the Secretary not less than ten weeks before the dates of the meetings. The notices shall include information relating to any vacancies requiring to be filled either by election or appointment as set out in these regulations. They shall also call for any other competent business to be considered at the meeting to reach the Secretary not less than four weeks before the dates of the meetings.

4 The papers for each meeting shall be available to all members of the Graduates' Association not less than two weeks before the date of the meeting.

5 Twenty members of the Graduates' Association shall form a quorum.

6 The Chairperson shall have a deliberative vote and in the case of an equality of votes the Chairperson shall also have a casting vote, provided that this Regulation shall not apply to votes for elections.
7 Every matter of business except where otherwise specially provided shall be determined by the majority of members present and voting on the matter.

8 The Chairperson shall determine all matters of competence and relevancy. When a point of order is raised the Chairperson shall rule at once. When the Chairperson’s ruling is challenged, the Chairperson shall ascertain the mind of the Association by a vote taken without debate.

9 The Chairperson shall have power to adjourn a meeting, provided that only unfinished business shall be transacted at an adjourned meeting.

10 The Graduates’ Association shall appoint a Business Committee with the following membership:

a) The Graduates’ Association Members of Court, that being those appointed by the Graduates’ Association (ex officio);

b) The Convener of the Business Committee (ex officio);

c) Eight members of the Association to be elected at the annual meeting of the Association;

d) Such other persons not exceeding two in number, as may be co-opted from time to time by the Business Committee. Such persons shall usually, but not necessarily, be Graduates of the University as defined by Ordinance;

e) The President of DUSA or his/her nominee;

f) A member nominated by the Academic Council;

11 (1) The period of office of the elected members of the Business Committee shall be four years at the end of which they shall be eligible for re-election, but shall not hold office continuously for a period longer than eight years.

(2) The period of office of members co-opted in terms of Regulation 10 shall be two years. Such co-opted members retiring shall be eligible for further co-option provided that no co-opted members shall serve continuously for more than four years in that capacity.

(3) The maximum total continuous period of office of a person serving as an elected, nominated or co-opted member, or in a combination thereof shall be eight years. On expiry of their maximum period of office, such persons shall not be permitted to seek re-election, be co-opted or nominated until a period of at least four years has elapsed from the date on which their membership ceases.

12 (1) The Business Committee shall at the meeting next before the annual meeting of the Association elect a Convener from those elected or co-opted to membership of the Business Committee in terms of sub-paragraphs c) and d) of Regulation 10, provided always that the Convener so elected shall be a Graduate of the University, as defined by Ordinance. The Convener shall begin a new term of office on the Committee and shall hold office for one year whereafter the Convener shall cease to be a member of the committee. The Convener shall be eligible for re-election but shall not serve continuously for more than four years in that office.

(2) If the member elected Convener would otherwise not be due to retire from the Business Committee at the next annual meeting of the Council, his or her election shall be deemed to create a vacancy, which may be filled by co-option.

(3) The Convener so elected shall also be the Chairperson of the Graduates’ Association

(4) The Business Committee may at any time appoint a Vice-Convener from among its members. The period of office of the Vice-Convener shall be fixed by the Business Committee but shall not exceed the period for which the person appointed would otherwise have served as a member of the Committee.

(5) In the absence of the Convener and the Vice-Convener, if any, from any meeting a chairperson for the time being shall be elected by the meeting.

13 Two members of the Committee shall be elected each year. A casual vacancy may be filled by co-option at any meeting of the Business Committee and the person co-opted shall be a member for the unexpired period of office of his or her predecessor.

14 Elections for the Business Committee shall be held at the annual meeting of the Association. The Secretary shall invite nominations in the papers issued for the annual meeting. Nominations may be made by a proposer and seconder in writing accompanied by the candidate’s consent in writing and shall reach the Secretary before the hour of the annual meeting. Nominations duly proposed and seconded of persons present may also be made.
at the meeting. The election shall be by ballot on voting papers provided at the meeting. In the event of a tie the elections shall be decided by the drawing of lots.

15 Five members of the Business Committee shall form a quorum.

16 The Secretary of the University shall be responsible for providing secretarial services to the Business Committee.

17 The Business Committee shall deal with any matters on behalf of the Association and may act on behalf of the Association and report thereon to the Association. The Committee shall frame the programme of business to be submitted to the annual meeting of the Association subject to the addition of items received in terms of Regulation 3. The Business Committee shall have the power to establish a Convener’s Sub-Committee or other Sub-Committees to act on its behalf.

18 The Business Committee shall define the limits of the powers of the Sub-Committee which shall report on the exercise of the powers to the Committee.

19 (1) When a vacancy is due to occur in the office of the Graduates’ Association Members on Court the Secretary of the University shall intimate this in the business paper for the annual meeting immediately preceding the annual meeting following which such an appointment will take effect. The vacancy shall also be advertised on the University’s web site, and by such other means as the Secretary may consider appropriate.

(2) Applications by graduates of the University to be considered for appointment to the Court shall be submitted to the Secretary of the University by 30 September preceding the annual meeting following which the appointment shall take effect. Applications must be accompanied by a curriculum vitae and a supporting statement, along with details of the degrees or diplomas held and the year obtained. Potential candidates for appointment on Court are strongly encouraged, to speak on a private informal basis with the Convener or Vice-Convener of the Business Committee or with one of the sitting graduates on Court in order to ensure they are fully briefed about the requirements and expectations of the role and to assist in approaching their candidacy submission on an informed basis.

(3) Following receipt of applications for the appointment to Court, the Secretary shall make arrangements for a selection panel to consider them. The panel shall consist of the Convener, the Vice-Convener, a current Graduates’ Association Member of Court and a member of the University’s Governance & Nominations Committee, and any such other persons that the panel may itself co-opt, upon the advice of the Secretary of the University. Where any of the Convener, Vice-Convener or current Graduates’ Association Members on Court are prevented from acting in this capacity, or where any of the positions are vacant, the Graduates’ Association Business Committee may identify individuals from within its membership to serve on the panel. The panel, on the advice of the Secretary of the University, shall determine for itself the process for selection, but such process shall normally include an interview with the panel and informal meetings with the Principal and Chairperson of Court.

(4) In making its selection, the panel shall have regard to the criteria for appointment to the role of Graduates’ Association Member of Court that the Business Committee shall from time to time devise. It shall also have regard to the balance of skills already exhibited by the entire membership of the University Court.

20 In any year in which no application for appointment to Court by a graduate comes forward by the deadline of 30 September as set out in regulation 19, following consultation with the Secretary of the University, the Business Committee shall nominate a candidate who shall be appointed, subject to ratification by the University Court.

21 In the event of a casual vacancy occurring, following consultation with the Secretary of the University, the Business Committee shall nominate a candidate who shall be appointed as a Graduates’ Association Member of Court, subject to ratification by the University Court, for the remainder of the term falling vacant.

22 These Regulations may be suspended (except insofar as doing so would result in a breach of data protection or other legislation, regulations or case-law) by a resolution passed by a two-thirds majority of members present and voting.

Amended November 2014
Dr Neale Laker
A meeting of the Committee was held on 27 January 2015.

**Present:** Mrs C Potter (Convener), Professor Luc Bidaut, Dr W Boyd, Ms S Campbell, Professor K Leydecker, Dr A Reeves, Mr D Taylor, Professor G Mires

**Apologies:** Mrs S Krawczyk

**In Attendance:** Director of Human Resources & Organisational Development, Deputy Director of Human Resources & Organisational Development, University Secretary

1. **MINUTES**

   The minutes of the meeting of 30 September 2014 were approved subject to an amendment to the attendees list and the inclusion of the University Secretary to this list.

2. **MATTERS ARISING**

   **HR Operational Plan**

   The Committee was apprised that following discussions at previous meetings regarding the HR Operational Plan, work had been undertaken to better define the process, framework and communication of the operational plan to enable key activities and priorities to be highlighted and to increase awareness of current and future work for the Directorate. It was noted that a traffic light system had been developed in the first instance to establish key priorities and to highlight in a comprehensive way, work that had been completed as part of the 2013-14 operational plan and what had been identified as priorities for 2014-17. It was noted that this exercise had promoted greater understanding and appreciation within the team of current priorities and future workload particularly in relation to supporting organisational change projects (People Strategy Aim 6); this was now a shared document available to all staff within the Directorate.

   It was agreed that this was a useful management tool and that this could now be developed further to focus on impact and demonstrate links to key performance indicators. It was highlighted that it was important to ensure that on-going operational service commitments were also captured and other dependencies considered.

   **Resolved:** to note updated SWOT analysis and Operational Plan.

3. **HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT**

   **(1) Organisational Change/Strategic Initiatives**

   **(a) The Committee noted the communication that had been circulated to staff advising on arrangements that had been put in place to co-ordinate the development and approval of the University re-structuring based on academic schools. Overseeing the work was a Steering Group, chaired by the Principal and 4 strategic work-streams had been established, ensuring a broad representation across the University, led by senior staff, to focus on specific aspects of the change (i.e. Academic Schools, Professional Services, Culture & Communication and Governance & Management). It was reported that all 4 groups were now meeting on a regular basis to discuss, consider and develop specific aspects of the change process and would be reporting back to the Steering Group at the end of February.**

   **Resolved:** to update the Committee on progress and outcomes from the Work-streams and Steering Group respectively.

   **(b) School of Medicine and College of Arts & Social Sciences**

   It was highlighted that two key strategic projects were underway in the School of Medicine and the College of Arts & Social Sciences as outlined in the respective Organisational Change
proposals. It was noted that having achieved savings of around 55 posts across the University by 31 July 2014, further staff savings were required in these areas to contribute to the overall target of reducing academic staffing by 80 to 120 posts that had been approved by University Court in 2014. Following a review of the University’s financial position in November 2014, it was agreed that to achieve the target financial savings, a further reduction of 15 academic staff in the School of Medicine and 17 academic staff in the College of Arts & Social Sciences was required. The Director of Human Resources & Organisational Development confirmed that both proposals had been (and would continue to be) discussed through the collective consultation process with the campus unions, were currently being discussed at School and College Boards and that one-to-one consultation would be taking place with potentially affected staff in due course.

Confirmation was given that the number of academic staff stated in the paper as employed at the University within the School of Medicine reflected all academic staff irrespective of the source of funding. There was a concern raised that there may have been an increase in staffing levels in the School of Medicine following the last Voluntary Severance Scheme. However, reassurance was given that the University was not recruiting at the same rate in this area. It was highlighted that there may have been new appointments made over this period reflecting the fact that there was not a complete recruitment freeze and that such appointments could be funded by external sources (e.g. MRC, Welcome etc.). It was agreed that it would be helpful if data on the number of academic staff employed over the period concerned could be circulated to the Committee.

The criteria relating to the project were discussed. For ‘Research and Teaching’ and ‘Research Only’ academic staff, one member felt that the criteria relating to research performance were contrary to previous messages from the University relating to valuing the contribution of members of staff irrespective of whether they had or had not been submitted to REF. The Committee however was satisfied that the criteria were not based on whether or not members of staff had been submitted to REF and that it was 3* and 4* research outputs being generated for future REF submissions, and other research measures that would be considered. It was however highlighted that it was reasonable and necessary that sources of information both external and internal to the University would be used as part of the review process.

For ‘Teaching and Scholarship’ academic staff it was clear that while the volume of teaching was important, the quality of teaching and a member of staff’s contribution to other wider discipline and teaching activities were also being taken into account. The Committee was satisfied that the criteria were not inexhaustible and, as stated, the full contribution made by each member of staff ‘in the round’ would be taken into account.

Resolved: (i) to provide the Committee with a report and analysis of academic staff numbers over the last 3 years and an indication of funding sources where possible.

(ii) to be updated on progress with the two projects in School of Medicine and the College of Arts & Social Sciences at the next meeting.

(c) UoDIT

The Committee was advised that another organisational change project was well underway in relation to UoDIT. It had been recognised for some time that there was need to have a radical look at provision of IT within the University, considering what the University needed both now and in the future and to develop the structures, systems and people to provide this. It had been identified that central to the delivery of a quality IT service, which avoided duplication and ensured consistency and alignment between all schools, colleges and directorates, was the creation of a unified approach to IT, following the hub and spoke model, with strong central operations and governance. It was anticipated that this approach would bring financial and service benefits created by larger economies of scale and technology rationalisation. The Director of Human Resources & Organisational Development confirmed that this was a significant project with the added dimension/complexity in relation to the identification of individuals in schools, colleges and directorates who potentially would be affected by the changes.

It was reported that the project was progressing well with key milestones being met as
outlined in the organisational change proposal and timeline. Senior posts in the new structure would be advertised at the end of January and one-to-one meetings with potentially in scope staff, were about to commence. It was noted that while the aim of the project was not to reduce staffing levels, the VS scheme for academic related and support staff was open to staff in this area. It was confirmed that the numbers of posts available in the new structure was similar to that of the number of posts within the scope of the project, though there were significant differences in the nature and levels of the various roles.

There was some surprise expressed by some members of the Committee that the organisational change proposal had not presented an opportunity to make significant savings in the new structure given the University’s financial position and an expectation that efficiencies that would be gained through the centralisation of service provision. The University Secretary was able to provide some context to the change proposal and confirm that the financial investment and the size of resource was appropriate in relation to the establishment of the required infrastructure and given its critical links to the Business Transformation agenda and the development of core business systems within the University.

It was acknowledged that the role of the HR Committee was in relation to the HR strategy and processes around the implementation of the IT strategy, but there was considerable interest in relation to the context of the proposed changes and so it was agreed that the IT Strategy would be circulated to committee members for information.

Resolved: to circulate the IT Strategy to members of the committee.

(d) Estates and Buildings

It was noted that this organisational change project was in its early stages and that there was still some discussion taking place about the shape and form of the new structure.

Resolved: to note that when the restructuring plans were more developed a paper would come forward to the Committee for consideration.

(e) Learning Points from the Biomedical and Life Sciences Undergraduate Teaching Review

The University and DUCU had committed to reviewing aspects of the Biomedical and Life Sciences Undergraduate Teaching Review project so that learning points could be assimilated into any future projects of a similar nature. The Director of Human Resources & Organisational Development confirmed that a series of meetings had taken place with DUCU, HR and those staff involved and had led to an agreed a set of learning points. These were discussed at a recent collective consultation meeting and consideration given to these points in advance of the new projects. It was highlighted that discussion had been taking place with OPD to identify appropriate training and development opportunities to support staff going through organisational change and information on existing sources of help for staff (such as Occupational Health, Counselling and First Call) were being pulled together so staff were aware of the services available to them.

The Committee felt that identifying ‘lessons learnt’ was a very positive step and demonstrated features of a learning organisation in its willingness to review practice and to learn from experience. It was suggested that it would be useful to extend this review further and to consider the impact on existing staff and obtain feedback at an appropriate stage from staff who were now working within the new structure. It had been reported that morale was good, with people energised and working well together as a new team.

Resolved: to request that the Director of Human Resources and Organisational Development:

(i) circulate the ‘lessons learnt’ paper to the Review Groups in the coming organisational change projects in the School of Medicine and the College of Arts & Social Sciences to ensure that the learning points identified had an impact on these projects;

(ii) identify how to effectively communicate to staff sources of support available to them during organisational change;
(iii) consider how ensure the learning points might be used effectively in subsequent reviews.

(2) Voluntary Severance Scheme

The Committee noted that 2 Voluntary Severance Schemes had recently been launched. The first was a scheme open only to academic staff in the School of Medicine and the College of Arts & Social Sciences and offered a severance package of 15 months. The scheme had been launched on 8 January 2015 and would close on 30 March 2015. The second was a voluntary severance scheme for academic related and other support staff in SASS, Schools and Colleges (offering a severance package of 12 months). This had been launched on 26 January 2015 and would close on 13 March 2015.

Resolved: to note the position.

(3) Staff Survey

The Director of Human Resources & Organisational Development highlighted that the proposed communication from the Principal that had been circulated to members was intended to give an update to staff on work that had taken place since the Staff Survey. It was confirmed that a number of issues had already been picked up locally and that some of the key issues raised at a University level had begun to be addressed by specific projects/interventions or by the work of the strategic work streams (specifically around improving communication within the University). It was noted that issues raised about management and leadership had coincided with an intensive Senior Leadership Development Programme for SMT and Deans and Directors and that a complete review of the University probation and promotion procedure for academic staff had recently been introduced to offer more transparent and supportive mechanisms for staff developing their careers within the University. The one key area still to be progressed, following the departure of Professor Stephen Decent (who had been project lead) was that of workload planning. The Committee was advised that this had been discussed at SMT and while it was recognised as an important piece of work that needed to be done, it was agreed that this would not be a priority project at this point in time.

It was felt that the communication captured the essence of what the University and the Principal was trying to achieve and that it was important that the communication went out as soon as possible to update staff. A number of suggestions were proposed to enhance the text to personalise it further, reflect that a period of time had lapsed since the survey had been conducted (e.g. bullet points should be replaced with some actual examples), take account of more recent developments such as the re-focusing of Academic Council as ‘Principal’s Question Time’ and make reference the projects about to begin in the School of Medicine and College of Arts & Social Sciences.

Resolved: to request that the Director of Human Resources & Organisational Development discuss proposed changes to the communication with the Principal and that the amended communication then be sent out to staff.

(4) Pay Negotiations

The Committee was advised that the national pay negotiations for 2015/16 were about to commence and that employers’ meetings were currently being organised. The Director of Human Resources & Organisational Development confirmed she would be attending the meeting taking place in Edinburgh in February.

Resolved: to note the position.

(5) Industrial Action

It was reported that the proposed industrial action scheduled to take place at the end of last year had been suspended to allow the employers’ side and UCU to reach some common ground on the USS pension reforms being proposed. In January a potential joint proposal had been agreed, which UCU was now consulting its members on. The proposal remained subject to consideration by the USS Trustee Board and the Pensions Regulator. If agreed there would be formal consultation on the proposed changes undertaken by USS employers with eligible employees.
Key changes to the scheme were noted as: final salary accruals would cease from 31 March 2016 (with benefits built up before this date protected); from 1 April 2016, all members would build future defined benefits in the Career Revalued Benefits (CRB), which would be increased annually in line with CPI; benefits in the CRB section would be based on the first £55,000 of a member’s pensionable salary with any pensionable salary over this threshold dealt with through a new Defined Contribution (DC) section of the scheme. It was noted that the changes that were being proposed would affect all eligible staff not just new entrants to the scheme.

Resolved: to note that industrial action has been suspended.

(6) Living Wage

The Committee was advised that the paper circulated had been discussed by SMT. There had been much debate at SMT and while there was support for paying the Living Wage there had been some concerns raised about the removal of salary differentials between certain staff groups, taking into account differences in roles and responsibilities. It was noted that 112 staff were currently being paid below the Living Wage threshold. The estimated cost to implement the Living Wage for 2014/15 was approximately £100,000 plus an additional amount for overtime payments. It was noted that, while not wishing to become an accredited employer, SMT had approved the implementation of the Living Wage for staff and the Committee was asked to approve SMT’s recommendation.

Resolved: to approve the implementation of the Living Wage at its current level and to inform the unions of this through the next round of Joint Committees.

(7) Policy Development: Work Life Balance Policies

It was noted that the University’s Work Life Balance Polices were currently being reviewed to incorporate recent legislative changes and to reflect change in practice being promoted through the Athena Swan Group. It was confirmed that a final draft would be circulated to the unions for consultation before being circulated to the Committee.

(8) Organisational and Professional Development (OPD)

A report from OPD highlighted some of the key activities that had taken place in the last 5 months. In addition to delivering the planned programme of events, workshops and bespoke sessions had been arranged to respond to specific needs within Schools, Colleges and Directorates and to support the organisational change programme. Significant activity had been focused in supporting and coordinating the new Developing Leaders Programme that had commenced in September 2014 and was an intensive programme of workshops, leadership dialogue and insight sessions and Action Learning sets for staff who had been identified as having leadership potential. Feedback on the course from the 32 participants has been very positive and a full report would be provided once the programme had been completed in June.

It was also noted that a significant amount of work was being undertaken to support the Researcher Development agenda with the University hosting the Lab 2 of the Scottish Crucible in May and the University’s HR Excellence in Research award due to be externally reviewed in September 2015. The Committee was advised that a gap analysis was currently being undertaken to establish key action points for the University over the next 7 months to ensure retention of the award and that any work would be progressed as appropriate through relevant individuals and groups under the direction of the Concordat Steering Group (chaired by Professor Doreen Cantrell).

4. edr/MEDIATION

The interim report from the Director of Legal Services was received. The Committee congratulated the team on the continued development of the service and the collaborative working taking place with other organisations.

5. EQUALITY & DIVERSITY

A report from the Head of Equality & Diversity was received and particular actions requested by the Committee noted. There was some discussion on the revised Equality Outcome Plan and a
recommendation was made that instead of listing actions under the 7 outcomes, there should be a statement on the impact of these outcomes, supported by a small number of indicators to measure those impacts. One member offered to provide advice to the Head of Equality & Diversity to take this forward. In relation to the Equality and Diversity Training completion rates, the Director of Human Resources & Organisational Development confirmed that previously it had been difficult to report on these due to technical constraints. These had now been resolved and the University was now in a position to report and monitor the uptake of the mandatory training. To address the low completion rates in some areas, all VPs/Heads of College, Deans and Directors would be provided with detailed reports relating to staff in their areas and following an agreed period of time would be asked to report back on completion rates.

The Dignity at Work and Study statistics were considered and the Committee noted that there had been no overall change in the average numbers of complaints. It was noted that cases were often reported directly to the University Secretary or the Director of Human Resources & Organisational Development and may not be captured in the E & D statistics, but instead would be recorded under the complaints received in these areas. It was highlighted that a review of the Dignity at Work and Study Policy was taking place and any issues relating to the reporting and recording of cases would be addressed through this process. The terms of reference, remit and current membership of the newly established Equality and Diversity working group were considered.

Resolved: (i) to request some revision to the Equality and Diversity Outcome plan and to note the offer of assistance from one member of the Committee;

(ii) to request that reports on completion rates of the mandatory E & D training modules were to be submitted to future meetings of the Committee;

(iii) to note the statistics relating to Dignity at Work and Study complaints;

(iv) to approve the terms of reference, remit and current membership of the newly established Equality and Diversity working group.

6. HEALTH & SAFETY

The Director of Human Resources & Organisational Development confirmed that the core group of key individuals with health and safety responsibilities from each College and SASS continued to meet as a Group on a frequent and regular basis. There was a strong commitment from SMT to support staff in these roles and it was noted that individual SMT members were now attending these meetings on a rotational basis with the Principal attending the last one. The on-line training health and safety package was now fully operational and completion of the training was mandatory to all new members of staff.

Resolved: (i) to note the support SMT was giving to the H&S contacts for each College and SASS.

(ii) to note that the new online Health & Safety training module was now available and that this would be mandatory training for staff.

(iii) to note that a report and minutes from the H&S Committee would be submitted to the next Committee in May.

7. ANNUAL REVIEW 2014 & CONTRIBUTION RELATED AWARDS (CRPs)

Reports and Equality Impact Assessments from the Annual Review Committees and CRP Committees in CASS, CASE, CLS, SASS were provided for information. It was noted that a number reports were still to be received and so an overview of the promotion round for academic staff and the CRP process would be provided at the next meeting.

Resolved: to note that an overview of the Annual Review and CRP process 2014 would be provided to the next meeting of the Committee.

8. LOCAL JOINT COMMITTEES

(1) Draft minute of the University/DUCU Joint Committee held on 26 September 2014

Resolved: to note draft minute.
APPENDIX 5

COMMUNICATIONS FROM THE SENATUS ACADEMICUS
(Minute 46)

Meeting of 4 February 2015

1. PRINCIPAL’S REPORT

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

The Principal welcomed the recent agreement between Universities UK (UUK) and the University and College Union (UCU) on the future of the Universities Superannuation Scheme (USS). The Principal noted that the complexity and importance of the issues involved had required a clear understanding of the financial issues and flexibility from all parties to the negotiations and that the positive outcome had meant that potential disruption to student assessment by industrial action had been avoided.

The Principal then outlined the University’s current financial position and noted the University was still on course to record a deficit in the current year at the levels forecast in the last financial update. Senate was asked to acknowledge the need for a rapid and sustainable return to surplus in the next academic year especially in the knowledge that further increases in fixed costs associated with pensions and National Insurance changes could be expected in academic year 2016/17. He reiterated the overriding need to reduce costs and to generate substantial additional marginal income as the only sustainable response to the situation and reminded Senate of both the measures that had been agreed by the University Court and of the central role of the Senate to ensure the academic coherence of the University’s programmes and research activity in the context of the required reduction in academic staff posts.

The Principal also restated the University’s commitment to avoiding compulsory redundancy if at all possible. He explained that voluntary severance had now been opened to academic staff in the College of Arts & Social Sciences and in the School of Medicine as part of specific projects that had a focus on excellence and contribution, to help deliver the reductions in staff numbers approved by Court. A scheme had also been opened to support staff across Schools, Colleges and Directorates.

The School-specific projects included draft criteria that would be used to assess excellence and contribution in the event that the necessary staffing reductions were unable to be achieved through voluntary severance and other redundancy avoidance measures. In response to a question the Principal explained that there would be appropriate consultation over these criteria, but that it was important that this process did not impact on the need to deliver the targeted levels of staff reduction within the timescales previously approved. He noted that as a result of feedback from the discussion of this issue at the Extraordinary CASS College Board meeting the Head of College would be presenting a specific proposal relating to further consultation on the criteria to be used in that College to the Senior Management Team for its consideration. The Director of Human Resources confirmed that staff had therefore not been issued at this stage with documentation relating to the process pending the discussions by the SMT and that staff in CASS would be informed accordingly.

The Dean of Medical Research asked Senate to note the progress already made in her College using the agreed excellence criteria as a set of reliable and objective measures to ensure difficult decisions are made as openly and fairly as possible. The Dean argued that a consistent approach was essential to reassure all parts of the University that processes were impartial and equitable.

The Principal explained the importance of the University taking the appropriate decisions as quickly as possible in the interests of morale and uncertainty, while ensuring all staff are treated in a fair and consistent way. Senate was asked to note that any further consultation agreed by the SMT should not introduce undue delays, as this would benefit neither staff who may be affected nor the University that had a duty to deliver the necessary savings within the current academic year.

The Principal was asked to comment on the likelihood of the Business Transformation project producing significant savings for the University. In response the Principal noted that although more efficient business processes and systems would underpin future financial performance and deliver savings, it was clear that initial investment would be required in order to maintain, improve or replace current systems. It was likely, however, that ‘quick wins’ in relation to non-systems related process improvements would contribute to the University’s ability to released support staff through the current V8 process.
The Principal was also asked to clarify the relationship between the proposed staff reductions and the
decision to restructure the University. It was suggested that using staff performance and contribution
rather than organisation restructuring as the basis for identifying staff reductions might be more
damaging. The Principal argued that it was important to keep the two issues separate as the need to
reduce costs had not been the motivation for academic restructuring.

Senate discussed the need for the projects to balance consistency against a contextualised approach both
across different Colleges and across the different disciplines within Colleges and Schools. In that regard a
distinction was made between the desirability of applying consistent overarching criteria across the
affected areas and the opportunity to adjust the metrics used to assess each criterion on the basis of the
specific context of individual Schools and disciplines.

Members were also concerned that effective communication with students was maintained during the
course of the sustainability projects and noted that the Vice- Principals had met with students and School
Presidents to discuss the process and to listen to student concerns. The President of the Students’
Association urged the University to work harder in this regard and noted the risk of rumours causing
students unnecessary anxiety.

The Dean of Medical Research reported that her College was confident that the design of current
programmes would ensure that there would be little negative impact on the delivery of teaching or in the
content of programmes. The Principal agreed that the impact of staff reductions on the delivery of
academic programmes should be minimal and also agreed that the University should continue to be as
open as possible with students especially during periods of substantial change and re-organisation.

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

2. UNIVERSITY COURT

The Senatus received a communication from the meeting of 10 December 2012.

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

3. REF RESULTS & ANALYSIS

The Senatus received a report and presentation from the Research Excellence Framework (REF) and
Policy Manager that explained the general framework and methodology of the REF 2014, gave an
overview of the University’s REF performance and a brief analysis of the possible financial impact of the
results.

Attention was drawn, in particular, to the University’s excellent scores for impact and a marked increase
in the amount of research rated as internationally excellent.

Senate noted that the University’s performance relative to other institutions and overall ranking appeared
to be similar to the previous assessment exercise in 2008 with some significant exceptions at discipline
level.

Senate considered some of the possible financial implications for the University and noted that the
combination of changes to the Scottish Funding Council methodology for calculating the Research
Excellence Grant along with the removal of the Global Excellence Fund and the relative improvement in
ratings for the newer Scottish universities would mean a neutral outcome for the University was likely.

The Senatus decided: to thank Dr Randall for his presentation.

4. STRUCTURES REVIEW UPDATE

The Senatus received an update on progress made by each of the Workstream set up as part of the
University restructuring project.

Workstream 1 reported that draft models of configurations were under development and that a wider
consultation and data gathering exercise was also underway.

Workstream 2 reported that development of a single, consistent alignment of professional and support
services to delivery at School level was being proposed. It was also noted that a well-managed transition
to the new model would also be required to reassure staff and students, avoid disruption and maintain ‘business as usual’ activities.

In response to a question the Secretary reiterated the University’s position to avoid agency or fixed term employment whenever possible and agreed to refer the question of agency staff to the Business Transformation Project for a co-ordinated response.

**Workstream 3** reported that there had been discussions on the possible roles of Vice-Principals, Heads of Schools and School Managers along with the functions of Schools Boards and Committees and that clear proposals would follow in due course.

**Workstream 4** reported that a clear focus on changing institutional culture and attitudes to communication had emerged from the group and a number of activities in support of this objective had been discussed, including workshops, and a blog to encourage wide engagement with staff and students.

**The Steering Group** reported that a general communication on progress and plans would be sent to all staff and students to reiterate the intention of the Group that everyone at the University would have the opportunity to actively participate in the restructuring process.

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

5. **STUDENT RECRUITMENT 2015**

The Senatus received a report and presentation from the Head of Admissions and Student Recruitment on applicant and admissions data for entry to undergraduate and taught postgraduate programmes.

Senate was asked to note in particular that the Rest of UK undergraduate applications had stabilised against a falling trend and that targeted scholarships and streamlined Clearing procedures had helped to improve conversion rates. It was also noted that the University has seen an increase in applications from students in the most economically-deprived areas of Scotland and that a continued decline of overseas undergraduate applications has been met with focused efforts to increase conversion rates and to improve the quality of both agents and applicants.

On the question of taught postgraduate applications it was noted that the national downward trend had continued and the number of overseas TPG applications to Dundee had fallen although it was hoped that better conversion will lead to a similar number of TPG matriculations in 2015/16. It was also noted that more needed to be done to recruit home students to TPG courses.

Senate was asked to note a number of positive steps to be taken to ensure maximum numbers of matriculating TPG students in the next session: a PG conversion event for programme leaders, the introduction of a new Applicant Portal, improvements to enquiry management and a review of the operation of scholarships and bursaries as conversion tools.

Senate then discussed a number of related issues including the introduction of UG Foundation Programmes, the challenges to overseas recruitment posed by immigration policy, using the International Student Barometer results more effectively, senior appointments to lead internationalization and marketing activity and the benefits of a truly international student body to the University and the City.

**The Senatus decided:** to thank Dr Collins for his presentation.

6. **ACADEMIC CEREMONY (KUWAIT)**

**The Senatus decided:** to note that Vice-Principal Professor John Connell will preside at an Academic Ceremony (Graduation) in Kuwait on 8 February 2015.

7. **GRADUATION TIMETABLE 2015**

**The Senatus decided:** to note the following draft timetable for Academic Ceremonies (Graduation) Summer 2015.
<table>
<thead>
<tr>
<th>Date</th>
<th>College</th>
<th>School</th>
</tr>
</thead>
<tbody>
<tr>
<td>10am, Wednesday 24 June</td>
<td>CASS</td>
<td>School of Business</td>
</tr>
<tr>
<td></td>
<td>CASS</td>
<td>School of Law</td>
</tr>
<tr>
<td>2.30pm, Wednesday 24 June</td>
<td>CASE</td>
<td>Duncan of Jordanstone College of Art &amp; Design</td>
</tr>
<tr>
<td></td>
<td>CASS</td>
<td>Graduate School of Natural Resources, Law, Policy and Management</td>
</tr>
<tr>
<td>10am, Thursday 25 June</td>
<td>CASS</td>
<td>School of the Environment</td>
</tr>
<tr>
<td></td>
<td>CASS</td>
<td>School of Psychology</td>
</tr>
<tr>
<td></td>
<td>CASS</td>
<td>School of Education, Social Work &amp; Community Education</td>
</tr>
<tr>
<td>2.30pm, Thursday 25 June</td>
<td>CASE</td>
<td>Centre for Anatomy &amp; Human Identification</td>
</tr>
<tr>
<td></td>
<td>CASE</td>
<td>School of Engineering, Physics and Mathematics</td>
</tr>
<tr>
<td></td>
<td>CLS</td>
<td>School of Life Sciences Learning &amp; Teaching</td>
</tr>
<tr>
<td></td>
<td>CLS</td>
<td>School of Life Sciences Research</td>
</tr>
<tr>
<td>10am, Friday 26 June</td>
<td>CMDN</td>
<td>School of Nursing and Midwifery</td>
</tr>
<tr>
<td></td>
<td>CASE</td>
<td>School of Computing</td>
</tr>
<tr>
<td></td>
<td>CASS</td>
<td>School of Humanities (ARMMS, Cont Ed)</td>
</tr>
<tr>
<td>2.30pm, Friday 26 June</td>
<td>CMDN</td>
<td>School of Dentistry</td>
</tr>
<tr>
<td></td>
<td>CMDN</td>
<td>School of Medicine</td>
</tr>
<tr>
<td></td>
<td>FOLM</td>
<td>Centre for Forensic &amp; Legal Medicine</td>
</tr>
</tbody>
</table>

8. **DUSA EXECUTIVE ELECTIONS**

   **The Senatus decided:** to note the following timetable for the DUSA Executive Elections:

   - Online nominations close: 6 February 2015
   - Campaigning Period: 23 February – 3 March 2015
   - Candidates' Briefing: 23 February 2015
   - Election Dates (voting): 4 - 6 March 2015
   - Results: 6 March 2015

9. **PROFESSOR EMERITUS**

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

   **Professor Nigel Johnson**

10. **OTHER BUSINESS**

   (1) **University Governance**

   A Senate member expressed concern about the perceived lack of academic staff influence over the management of the University and argued that Boards and Committees tended to rubber-stamp the decisions of University senior management, with contentious issue never put to a vote.

   The Principal acknowledged the concern but noted that at all staff were entitled and encouraged to express their views, that binary votes tended to produce oversimplification of issues and that there
needed to be consistency in corporate matters against a background of dissenting voices. The Principal argued that in this context the Senior Management Team needed to take a collective view and that some parties would have to cede.

(2) **Congratulations**

The Principal asked Senate to join him in sending congratulations to all those who were promoted in the recent exercise and to Professor Chis Whatley, School of Humanities and Professor Dilip Nathwani, School of Medicine, who were both awarded the OBE in the New Year Honours list.
A meeting of the Committee was held on 14 January 2015.

1. **POWER FAILURES AND OTHER RISKS**
   A draft risk register for Biological Services was presented to the Committee. The Director of Biological Services will liaise with the Secretaries of the relevant Colleges as to how this is integrated into their own registers and disaster recovery plans.

2. **HOME OFFICE PERSONAL LICENCES**
   The Committee noted that there were apparently significantly more licences in force than were actually being used to authorise procedures. At a future meeting, it will discuss how best the number of licences might be regulated and the continuing competence of every licence-holder reviewed.

3. **STUDY PLANS**
   As study plans are occasionally submitted that would not be in complete compliance with the authorities in the relevant project licences if they were allowed to proceed, the Committee noted the need to develop standard procedures for writing these plans, for having them reviewed and approved and for escalating the response to repeated breaches of these procedures. The University Code of Practice for the Use of Animals in Teaching and Research would be the best repository for this information and will be duly amended in the near future.

4. **APPLICATION FOR PROJECT LICENCES**
   One application for a project licence was reviewed at the meeting and was approved subject to certain amendments being made.

5. **REPORT FROM THE NAMED VETERINARY SURGEON**
   A system of auditing the resource units for their general state of cleanliness, tidiness and general repair has been put in place, with the audit of one unit having been completed and the others to follow soon. Any deficiencies that cannot be remedied promptly by the staff, the research community or Estates personnel will be flagged to the Establishment Licence-Holder.

6. **REPORT FROM THE DIRECTOR OF BIOLOGICAL SERVICES**
   The Director of Biological Services reported that, since the last meeting, four applications for project licences to authorise continuing programmes of work had been approved. One application for minor amendments to an existing licence had also been approved, as had a project involving the use of animals but not requiring legal regulation.