A meeting of the University Court was held on 20 April 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, Mr J Elliot, Mr IC Howie, Mr I MacKinnon, Ms B Malone, Ms CA Potter, Dr AD Reeves, Mr KA Richmond, Mr D Ritchie, Mr D Taylor, Mr RJ Van Mulders, and Mr IDM Wright.

In Attendance: Vice-Principal (Learning & Teaching), Vice-Principal (Research) and Head of the College of Medicine, Dentistry and Nursing (CMDN) (Minute 58); Vice-Principal and Head of the College of Arts & Social Sciences (Minute 53(1)); University Secretary; Director of External Relations (Minute 53(1)); Director of Finance; Director of Human Resources; Director of Policy, Governance & Legal Affairs; Director of Strategic Planning (Minute 59), and Clerk to Court.

Apologies: Professor Gj Mires, and Lord Provost Mr R Duncan.

The Chair welcomed Mr David Ritchie to his first meeting of the Court following his election by the non-teaching staff. Noting that Mr Robin Van Mulders had provided apologies for the meeting of the Court on 8 June and was therefore attending his last meeting as the Independent Student Member on Court, members thanked Mr Van Mulders for his contributions to the Court and the Governance & Nominations Committee over the past year.

49. MINUTES

The Court decided: to approve the minutes of the meeting on 16 February 2015.

50. MATTERS ARISING

Welfare & Ethical Use of Animals Committee (Minute 48)

The Court decided: to note that the Convener of the Welfare & Ethical Use of Animals Committee would attend the Court during the academic year 2015/16 to provide an overview of the work of the Committee.

51. CHAIRMAN’S REPORT

The Court received the regular report from the Chairman outlining his activities since the last meeting. In his report the Chairman detailed his attendance at a HEPI conference which had focussed on research funding and also his attendance at meetings of the Committee of University Chairs (CUC) and Committee of Scottish Chairs (CSC).
The Chairman highlighted the recent commitment by the CSC to achieving a minimum of 40% of each gender within the lay membership of University governing bodies. He also highlighted the likelihood of legislation in relation to the consultation on Scottish HE governance, and in particular the concerns raised in responses to the consultation with regard to proposals for the election of Chairs of Court. The Chairman went on to confirm arrangements for the 3 year review by the CSC of the Scottish Code of Good HE Governance (due in 2016) and members noted the Chairman’s commitment to the ongoing development of the Code.

The Court also noted that the CSC and Universities Scotland had developed guidance for remuneration committees following the recent publication of the CUC Code and the Convener of the Remuneration Committee undertook to consider this guidance at the next meeting of the Committee. Members were also interested to note the Chairman’s observations on sector-wide student recruitment trends following the introduction of Rest of UK (RUK) fees.

The Court decided: to note the report.

52. **PRINCIPAL’S REPORT**

The Court received a report from the Principal (Appendix 1) which focussed on the development of the budget for 2015/16, the financial outlook for the HE sector, the potential for legislation by the Scottish Government in relation to HE Governance, emerging student recruitment patterns, and recent league table announcements. The Court was pleased to note that the University had retained its position as number one for student experience in Scotland in the Times Higher Education (THE) Student Experience Survey and also the strong ratings in the International Student Barometer. Members joined the Principal in congratulating DUSA on being ranked number 2 Students’ Union in the UK in the THE Student Experience Survey.

The Court decided: to note the report.

53. **STRUCTURES REVIEW**

(1) **Update and Proposal**

The Court received a paper from the Principal and Senior Management Team (SMT) outlining proposals for the future organisation and management structure of the University including recommendations in relation to the composition and remit of the SMT, the future academic structure, professional services structure and delivery, and implementation considerations.

Discussions of the paper were preceded by a presentation from the Principal, in which he drew the attention of the Court to the reports from two of the Workstreams (WS), WS 1 (Academic Schools) and WS 2 (Professional Services), which had been established to consult with the University community and bring forward proposals to the Senate and Court for consideration. Members noted that following feedback on the two models proposed by WS 1 by the Senate and the Structures Review Steering Group, the Principal had presented a single proposal to the SMT as outlined in the paper. This proposal had been unanimously
supported by the SMT and had been subsequently approved by the Senate at its meeting on 15 April 2015.

With regard to academic structure, the Principal proposed the implementation of a model with the following nine Schools: Art & Design, Dentistry, Education & Social Work, Humanities, Life Sciences, Medicine, Nursing & Midwifery, Physical Sciences & Engineering, and Social Sciences. Members were supportive of the proposed structure and noted the specific arrangements proposed in relation to the Schools of Medicine, Dentistry, Nursing and Education & Social Work. The Court also noted that the names of certain Schools and disciplines within the Schools were subject to further discussion, and the Principal went on to highlight steps which were being taken to ensure that key brands were not lost within the new structure.

Finally, the Principal highlighted the next steps toward implementation of the revised structure should it be approved, and members noted the cost and risk analysis which had been undertaken along with proposals in relation to appointments.

Turning to the paper, the Court also noted proposals in relation to Vice-Principal roles, the replacement of the SMT with a new University Executive Group (UEG), the creation of a University Management Team consisting of members of the UEG along with Deans and Directors, and the discontinuation of the role of Deputy Principal within the new structure. The Court was strongly supportive of the proposals presented - in particular the interdisciplinary approach and the proposed structure for the professional services. Members were also appreciative of the consultative approach which had been pursued in the development of the proposals. Through discussion the Court explored the potential for future savings once the transition to the new structure was complete, the need to ensure the prominence of the University brand while also maintaining brands which were important in the marketing of established programmes, and the justification for the proposed structure. Members noted that the proposed configuration had been designed with the aim of providing the necessary infrastructure to support the achievement of the University’s key strategic goals while promoting the culture change required to support these strategies.

In response to questions the Principal confirmed that in addition to the remits outlined for the four proposed Vice-Principal (Vice-Principal (Academic Planning & Performance), Vice-Principal (International), Vice-Principal (Learning & Teaching), and Vice-Principal (Research, Knowledge Exchange & Wider Impact)), each of the Vice-Principal would be expected to take responsibility within their corporate roles for other key strategic agendas as he required, including student experience, equality & diversity and employability.

The Court decided: 

(i) noting the approval of the Senate, to approve the alteration of the organisation and management of the academic disciplines of the University as outlined in accordance with Statute 9(5)(m);

(ii) noting that the roles of the Vice-Principal would be discussed under minute 53(2), to otherwise approve the proposals as set out in
relation to the University’s Senior Management; and

(iii) to note and approve the reports and recommendations therein from the Structures Review Workstreams.

(2) Vice-Principal Appointments

[Secretary’s note: The Vice-Principals in regular attendance of the Court, those being the Vice-Principal (Learning & Teaching), and the Vice-Principal (Research) & Head of the College of Medicine, Dentistry & Nursing, declared a conflict of interest in relation to this item and absented themselves from the meeting for the duration of the item].

The Court noted the proposal as part of the University restructuring process for the reduction of the number of Vice-Principals from five to four, and for the Vice-Principal roles to be realigned to lead corporate portfolios as follows: Academic Planning & Performance, International, Learning & Teaching and Research, Knowledge Exchange & Wider Impact. Members noted that the current Vice-Principals (International) and (Learning & Teaching) were recent appointments with corporate roles which aligned to the proposed roles within the new structure, but that the outlined Vice-Principal (Academic Planning & Performance) and (Research, Knowledge Exchange & Wider Impact) roles were considered to be new positions.

In considering the appointment process for each of the roles, some members considered that they should be advertised on an internal basis in the first instance, but through discussion it was noted that the requirements of the University’s Redundancy Avoidance Policy were such that existing Vice-Principals should be matched to the roles where appropriate (in the case of the VP (International) and VP (Learning & Teaching) roles). Members also noted the proposal that, again in accordance with the Redundancy Avoidance Policy, current Vice-Principals should be invited to apply for the new roles of Vice-Principal (Academic Planning & Performance) and Vice-Principal (Research, Knowledge Exchange & Wider Impact), using a process equivalent to that used for external appointments. In response to questions the Director of Human Resources confirmed that should the interview process not result in an appointment then the position would be advertised more widely. The Director also confirmed that a consistent approach would be pursued in relation to other roles within the new structure.

The Principal told the Court that in line with good HR practice he had consulted with each of the current Vice-Principals in relation to the proposals set out and their interest in the positions within the new structure. Noting that from this consultation no interest had been expressed in relation to permanent appointment as Vice-Principal (Research, Knowledge Exchange & Wider Impact), but that Professor John Connell had indicated an interest in leading this portfolio through the transition period of structural change, the Court indicated its support for an interim appointment to be made on this basis with the role being advertised in due course.
The Principal advised that the consultation had indicated that a single candidate interview was likely for the role of Vice-Principal (Academic Planning & Performance). The Court agreed that the interview process should be as robust as for an external appointment and expressed a preference that if any vacancies remained following the matching and interview process they should be advertised on an internal basis in the first instance.

The Court decided:

(i) to approve the creation of four Vice-Principal roles as follows: Vice-Principal (Academic Planning & Performance), Vice-Principal (International), Vice-Principal (Learning & Teaching), and Vice-Principal (Research, Knowledge Exchange & Wider Impact);

(ii) to approve the proposal that as the roles of the current Vice-Principal (International) and Vice-Principal (Learning & Teaching) substantially matched the equivalent roles within the new structures, the current incumbents, Ms Wendy Alexander and Professor Karl Leydecker, be matched to these roles;

(iii) to approve the proposal that a formal appointment process be undertaken in relation to the role of Vice-Principal (Academic Planning & Performance), noting that the role would in the first instance be opened to existing Heads of College who were also Vice-Principals;

(iv) to approve the proposal that an interim arrangement for the role of Vice-Principal (Research, Knowledge Exchange & Wider Impact) be explored with Professor John Connell, pending the permanent role being advertised.

(v) to note that if the Vice-Principal Academic Planning & Performance and Research, Knowledge Exchange & Wider Impact roles remained vacant following the initial process outlined they would be formally advertised on an internal basis in the first instance; and

(vi) to delegate the responsibility for the appointment of the Vice-Principals to an appointing panel composed as follows:
- the Principal (as Chair);
- the President of the Dundee University Students’ Association, or his or her nominee;
Two lay members of the Court, on this occasion being Mr Eric Sanderson and Ms Bernadette Malone;

Three members of staff as follows: one senior academic member of staff, a member of academic staff serving on Court, and a senior member of staff from the professional services, on this occasion being Professor Paul Crocker, Ms Janice Aitken, and Dr Jim McGeorge respectively; and

an external assessor from another institution who was at least at Vice-Principal level (or equivalent), with a proposal that Professor Anne Anderson from the University of Glasgow be approached.

54. TRANSFORMATION: UPDATE AND NEXT STEPS

The Court considered a paper from the Director of Finance and Director of Human Resources outlining the current position in relation to a number of projects and external factors influential in the University achieving a sustainable position, including: staff reductions, student recruitment for entry in the 2015/16 academic year, pension costs, Research Excellence Grant funding allocations following the Research Excellence Framework 2014 exercise, initial budget setting for 2015/16, and the recently approved Business Transformation Project.

Discussions largely focussed on progress with the reviews of academic staffing in the School of Medicine and the College of Arts & Social Sciences (CASS) which had been previously approved by the Court and were designed to deliver the respective reduction targets of at least £1.55m (~15 FTE) and £1.2m (around 17 FTE) respectively. The Director of Human Resources also highlighted the outcome of the Voluntary Severance (VS) scheme for academic staff in relation to these areas at the time of its closure on 31 March 2015.

In relation to the CASS review, members noted that the consultation process had previously been extended, and that a further report and proposal in relation to this project would be provided to the June meeting of the Court. Turning to the School of Medicine project, members noted the overview provided of the consultation process undertaken and that reports had been provided to the School and College Boards and the Senate as appropriate. The Court heard that despite the non-replacement of staff in a number of vacancies arising, the opening of the VS scheme, and the use of redundancy avoidance processes during the course of the project, the reductions target at this point seemed unlikely to be achieved. As a result, while all redundancy avoidance opportunities would continue to be pursued the Court was invited to establish a Redundancy Committee to consider the cases of those staff remaining in the ‘at risk’ pool at the end of the process.

The Court was sympathetic to the impact of the process on members of staff and reiterated its position that redundancies should be avoided wherever possible. Some members expressed a preference that the Redundancy Committee be established at a later date given redundancy avoidance processes were still being pursued. However,
noting the requirements of University Statutes in relation to the establishment of Redundancy Committees, and the need to achieve the agreed savings targets within the current academic financial year, the Court noted that a Redundancy Committee would need to be established by the Court in time to allow recommendations to be made by the Committee to the meeting of Court on 8 June 2015. The Director of Human Resources confirmed that in the event that a Redundancy Committee was approved, every effort would continue to be made to avoid the need for the Committee to meet. In this vein, the Director highlighted management’s request for the Voluntary Severance Scheme to be reopened to those within the ‘at risk’ pool for a further period of two weeks.

A number of members expressed concern at the non-strategic approach taken of achieving savings targets through the non-filling of vacancies arising and, while recognising this was one mechanism by which the University was seeking to avoid redundancies, the potential impact on excellence and the achievement of key strategic goals was highlighted.

The Court decided:

(i) to approve the reopening of the Voluntary Severance Scheme for academic staff ‘at risk’ of redundancy in the School of Medicine for a further period of two weeks;

(ii) to approve the establishment of a Redundancy Committee under the terms of Statute 16 paragraph 10 and on the basis that it had decided that it was desirable that there should be a reduction in the academic staff of the School of Medicine as provided for in paragraphs 10 (2) (a) and (b) of Part II of that Statute;

Ms Janice Aitken, Mr David Ritchie, Mr Iain MacKinnon, Professor Luc Bidaut and Dr William Boyd asked that their dissent be formally recorded in relation to Court’s decision to establish a Redundancy Committee;

(iii) to approve the remit for the Redundancy Committee as outlined, noting that in terms of Part II of Statute 16 paragraph 11 (3)(a) the Redundancy Committee should be chaired by a lay member of Court not being a person employed by the University; and

(iv) to delegate to the Chair of Court the approval of membership of the Redundancy Committee as outlined in the remit, and to ask members willing to serve on the Committee to contact the University Secretary in the first instance.

[Secretary’s note: the composition of the panel was subsequently confirmed as: Mr Andrew Richmond (Chair), Mr Iain Howie (Court), Ms Shirley Campbell (Court), Professor Inke Nathke (Senate), Professor Georgina Follett (Senate)]
55. **FINANCE**

(1) **Finance & Policy Committee**

The Court received a report of the meeting of the Committee on 23 March 2015 (Appendix 2). In introducing the report the Convener highlighted updates to the Treasury Management Policy, the Research funding training session provided by the Director of Finance, and the summary of the financial performance of Scottish HEIs in 2013/14. Members also noted the update to the management accounts and student recruitment figures for entry in 2015/16.

The Court decided: to approve the report.

(2) **Main SFC Grant Letter**

The Court noted that the Main Grant Letter from the Scottish Funding Council (SFC) had not been received at the time of the meeting and would therefore be circulated to the Finance & Policy Committee when received.

The Court decided: to note the update.

56. **AUDIT COMMITTEE**

The Court received a report of the meeting of the Committee on 3 March 2015 (Appendix 3), and members noted reports from the internal auditors in relation to Core Financial Systems, Risk Management, and two investigations. Members noted the importance of the University’s policy on public interest disclosures (whistleblowing) and asked that officers consider how awareness of the policy could be further highlighted.

The Court decided: to approve the report.

57. **GOVERNANCE**

(1) **Governance & Nominations Committee**

The Court received a report of the meeting of the Committee on 23 March 2015 (Appendix 4). Members noted the proposed changes to Statute 9 and the proposed creation of a new Ordinance 63 which had been designed to implement the previously approved proposal to replace of the role of Chancellor’s Assessor with the new role of Deputy Chairperson & Senior Independent Member of Court.

The Court also asked that officers review potential IT solutions to support communications between members of the Court in between meetings.

The Court decided: (i) to approve in principle the changes proposed to Statute 9 (The Court) subject to the endorsement of the Senatus, ratification at a subsequent
meeting of the Court, and the formal approval by, and any further changes required by the Privy Council;

(ii) to approve the creation of a new Ordinance 63 (Deputy Chairperson of Court) subject to the endorsement of the Senatus and ratification at a subsequent meeting of the Court; and

(iii) otherwise, to approve the report.

(2) Court Membership

The Court noted the election of Mr David Ritchie as the member of Court elected by the non-academic staff in terms of Statute 9(1)(i), effective from 10 March 2015. Members also noted the appointment of Ms Jane Marshall as the member of Court appointed by the Graduates’ Association in accordance with Statute 9(1)(f), effective from 1 August 2015. The elections of Mr Tim Hustler as Dundee University Students’ Association President from 1 July 2015, and Mr Kevin Burns as the Independent Student Member on Court in terms of Statute 9(1)(k) effective from 1 August 2015 were also noted. The University Secretary confirmed that the election process to Court by the Senate had been extended and was due to close on 27 April 2015.

The Chairman highlighted to the Court the advertisement of the lay vacancy arising on the Court from 1 August 2015 and asked that members circulate the details of the vacancy as widely as possible.

The Court decided: to note the appointments and elections to Court as outlined above.

(3) Consultation on HE Governance

The Court noted the publication of the analysis of written responses to the Scottish Government’s Consultation on Higher Education Governance on 9 April 2015. Members reiterated their concerns that the proposals could in their current format lead to the election of a chairperson who could not be dismissed by the governing body if circumstances arose where it would be necessary or appropriate to do so. Members noted that a draft Bill was expected by June 2015.

The Court decided: to note the publication.

58. RESEARCH EXCELLENCE FRAMEWORK (REF) ANALYSIS

The Vice-Principal (Research) and Head of College of Medicine, Dentistry & Nursing introduced a paper which provided a detailed analysis of the University’s performance in the Research Excellence Framework 2014 (REF 2014). The report also highlighted a number of recommendations relating to the submission strategy, sectoral comparisons, and funding impact along with a Schools-based analysis of the outcomes.

The Court noted the national overview of submissions as published by REF, and while members noted that direct comparisons between the REF 2014 and the
Research Assessment Exercise (RAE 2008) were difficult as a result of the differences in the way the assessments were carried out, it was also noted that the overall quality of research outputs had been found to have improved significantly during this time.

In outlining the results the Vice-Principal highlighted the impact of the number of staff with research contracts who were not included in the submission on the grade point average and the Court noted recommendations for REF 2020 preparations in relation to the strategic modelling of future submissions. The Vice-Principal also reiterated the impact of the Research Excellence Grant (REG) allocation model on research funding to the University as previously circulated to the Court and detailed in the Transformation Update elsewhere on the agenda.

Discussions focussed on the need to achieve a financially sustainable balance to the levels of research and teaching across the University, and members highlighted the need to invest in excellence in teaching to generate income to support the necessary growth. Members thanked the Vice-Principal and his team for the detailed analysis and asked that further updates on the recommendations within the report, and strategic proposals from the Vice-Principal (Research) be provided to the Court at regular intervals.

The Court decided: to note the report.

59. UNIVERSITY STRATEGY TO 2017: LEARNING & TEACHING KEY PERFORMANCE INDICATORS

The Vice-Principal (Learning & Teaching) introduced the annual Key Performance Indicator (KPI) report relating to the Learning & Teaching Strategy and members were pleased to note progress in relation to the majority of targets. The Vice-Principal highlighted for consideration by the Court measures relating to: Retention and Progression, Promotions for Learning & Teaching, Articulation, and Unregulated Learning & Teaching Income. Discussions focussed on retention and progression rates as an area where the Vice-Principal was targeting progress, and members noted that a Retention & Progression Committee was leading the development of a strategy and action plan to drive improvements in this area.

The Court decided: to note the report.

60. REMUNERATION COMMITTEE

The Court received a report from the meeting of the Remuneration Committee meeting on 16 February 2015 as verbally reported to the Court at its meeting on the same date. In response to questions members noted that equality and diversity matters would in future be an integral aspect of the corporate role of the Vice- Principals, and would also be included in the responsibilities for Deans within the new structure.

The Court decided: to approve the report.
61. **NINEWELLS CANCER CAMPAIGN: UPDATE**

The Court received an update from the Ninewells Cancer Campaign (NCC), and members were pleased to note that the £2m fundraising target had almost been reached.

The Court also noted that the future and membership of the NCC Committee would be reviewed once the current campaign was concluded and that a revised structure would be presented to the Court in due course.

**The Court decided:** to note the report and await future updates.

62. **COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

(1) **Senate Meeting 25 March 2015**

The Court received a report of the meeting of the Senate on 25 March 2015 (Appendix 5). Members noted the Senate’s discussions in relation to the reports and proposals from the workstreams considering University Restructuring. Members also noted that the Senate had endorsed the ELIR One Year on Report (see also minute 62(3)).

**The Court decided:** to note the dates of meetings contained in the academic calendar.

(2) **Extract from the Academic Calendar**

The Court received an extract from the Academic Calendar for 2015/16 highlighting provisional dates for meetings of the Court and its Committees.

**The Court decided:** to note the dates of meetings contained in the academic calendar and indicate as soon as possible to the Clerk to Court any concerns arising in relation to the proposed dates to enable the calendar to be finalised.

(3) **ELIR One-Year-on Report**

The Court received the Enhancement-led Institutional Review (ELIR) Follow-up Report from the University. Members noted that all institutions were required to produce a 1-year on response to the review outlining action taken in relation to recommendations made as part of the review. The Court also noted that the report would be published on the QAA Scotland website (http://www.qaa.ac.uk/about-us/scotland) and would be submitted to the Scottish Funding Council following endorsement by the Court.

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

(4) **Senate Meeting 15 April 2015**

The Court received a report of the additional meeting of the Senate held on 25 March 2015 to consider recommendations relating to the proposals for University restructuring (Appendix 6). Members noted that the Senate had
considered the proposals in terms of academic coherence and had recommended to Court the approval of the proposed alteration of the organisation and management of the academic disciplines of the University in accordance with Statute 10(4)(l)(vii).

The Court also noted that the Senate had considered the report from the extraordinary meeting of the College of Arts & Social Sciences College Board, and that the Senate had noted that the Court would, at its meeting on 20 April 2015, be asked to establish a Redundancy Committee in relation to the project in the School of Medicine.

The Court decided: to note the approval of the University restructuring proposals by the Senate.

63. OUTCOME AGREEMENT WITH THE SFC

The Court considered the Outcome Agreement with the SFC which had been updated for 2015/16. The Court noted that the agreement had been approved by the SFC.

The Court decided: to endorse the agreement.

64. ACADEMIC COUNCIL

The Court received a report from the meeting of the Academic Council on 2 March 2015. The Court noted discussions relating to the transformation agenda, University restructuring and the outcomes of the Research Excellence Framework 2014.

The Court decided: for its part, to note the report
APPENDIX 1

PRINCIPAL’S REPORT
(Minute 52)

Foreword

In preparing my regular report to the Court I am mindful of the extensive agenda for the meeting ahead, and that, as reflected in the papers before members today, a number of proposals which are key to the future direction and future financial sustainability of the University are now reaching crucial stages of consideration by the Court. I shall therefore try to keep my report as brief as possible.

Common to my reports over the last 18 months have been references to the need for the University to achieve a financially sustainable position while faced with an increasingly challenging external funding environment and increasing competition in key income growth areas. As a result the need to reduce costs to limit the deficit in the current financial year, to improve income from unregulated markets, and to provide headroom for the generation of income in future years have been at the forefront of discussions by the Senior Management Team (SMT) and the Court over this period, and this is again a theme which is carried through this report and the agenda for today’s meeting. It is important however that while we consider our approach to the financial challenges which we face, we also remind ourselves of the significant achievements made by the University, its staff and its students, and that we maintain our commitment to sustaining the qualities which have enabled these achievements.

Budget

The processes for the development of the 2015/16 budget and longer term projections are now well underway, with further detail on the budget setting process being provided in papers elsewhere on the agenda. Despite significant improvements to the bottom line following the first round of budget review meetings, and a stringent approach to expectations of costs, savings and income growth, at present the achievement of a break-even budget for 2015/16 looks challenging. While every effort will be made to improve upon this position, it is important that we remain committed to delivering the proposals previously approved within the transformation agenda while ensuring that areas which need investment to support the longer term development of the University are adequately resourced.

HE Sector Financial Outlook

In my last report, I referred to evidence that the majority of Scottish Institutions saw weakened financial results for 2013/14, and this was further explored by the Finance & Policy Committee at its meeting in March. The recent publicity around the proposed cost and staffing reductions at the University of Aberdeen, including the launch of a voluntary severance scheme there will not have come as a surprise to members, but is further evidence of the impact of the difficult financial environment facing the Scottish HE Sector.

The modelling of the Research Excellence Grant, as circulated to members on 10 March, and its impact on the budget are discussed in more detail in papers elsewhere on the agenda and therefore do not require detailed discussion in my report. I am however sure that the significance of this £1.4m reduction (phased over three years) on top of the previously announced withdrawal of the Global Excellence Fund (£1.1m per annum) despite our strong performance in the Research Excellence Framework 2014 (REF 2014) will not be lost on members. With other Scottish Universities such as Edinburgh, Glasgow, and Aberdeen all experiencing greater overall (combined REG and GEF awards) reductions than ourselves, this loss is nevertheless a significant issue at a time of financial pressure. There are also questions to be asked by the sector in terms of the inequality of research funding approaches in England (HEFCE) and in Scotland (SFC) and its impact on the ability of Scottish Universities to remain competitive in driving economic and social agendas.

Governance

Members will note the discussion at the Governance & Nominations Committee of the Scottish Government Consultation on Higher Education Governance, and in particular concerns in relation to proposals to elect the Chair of governing bodies, and to introduce membership on governing bodies by individuals on the basis of representation that they represent the mandate of a specific group.

On 9 April 2015, the government published the long awaited analysis of written responses to the consultation. The report shows that the majority of responses, including many from outside the Higher Education sector, raised concerns in relation to some or all of the Scottish Government’s proposals. It is now hoped that these concerns will be reflected in the response from the Scottish Government to the consultation, and that there will
be the opportunity for university leaders and Universities Scotland to work with the government to find appropriate solutions that will support transparent and effective governance avoiding the introduction of highly prescriptive legislation with the potential to damage the autonomy and competitiveness of the sector. No doubt this will be a key area for discussion at the meeting, and in the mean-time I will, on behalf of the University and Universities Scotland, engage with those responsible for the passage of the Bill to protect and enhance good governance in the sector.

**Student Recruitment**

The Finance & Policy Committee have continued to pay close attention to the emerging student recruitment figures for entry in 2014/15, and while it is early in the cycle, there are promising signs in the undergraduate recruitment data with respect to Rest of UK (RUK) and MD40 offers. The international market however continues to be challenging, and the University will, through the recent appointment of Ms Wendy Alexander as Vice-Principal (International) and Mr Thomas Veit as Director of External Relations, be seeking improvements in this area. With regard to postgraduate recruitment, the latest figures suggest that overall applications, offers and acceptances are now more or less on a par with last academic year, although again, international applications are currently reduced. For both undergraduate and postgraduate figures, we expect significant movement in the coming months and I will keep the Court apprised of developments in this respect. In the mean-time a range of possible recruitment figures has been used in developing the budget forecast to ensure a realistic figure for fee income.

**Student Metrics**

Over the last couple of weeks there have been a number of announcements which I would like to draw to the attention of the Court. The latest is the publication of the Times Higher Education (THE) Student Experience Survey where the University has for the 6th year running been rated first in Scotland for student experience. The University was ranked 12th overall in the UK, and the poll comes on the back of the International Student Barometer (ISB) Survey where the University was ranked number one in Scotland, 7th in the UK, and in the World Top 20. There are also positive indications in relation to the THE 100 under 50 rankings which will be published at the end of the month, and I will update the Court in this respect when I am able to do so. It is also worth highlighting that the latest figures issued by the Scottish Funding Council in relation to widening access to higher education for students from the most deprived sections of society have shown that the University has made the biggest improvements in this respect in Scotland, with strong improvements noted in competitive subjects.

It is important that as an institution we strive to sustain our achievements in terms of student experience and the provision of access to excellence through our approach, but in order to do so we must address the financial strength of the University through our plans to grow unregulated income and bear down on costs.

**Congratulations**

I would like to finish my report by offering my congratulations to the Dundee University Students’ Association which was once again ranked number 2 in the UK in the THE Student Experience Survey, and Christina Potter on her recent success in winning two awards, ‘Public Sector Director of the Year’ and ‘Tayside Director of the Year’ from the Institute of Directors’ Scotland Director of the year awards.

Professor Pete Downes  
Principal &Vice-Chancellor
Senior Management Team Meetings (SMT)

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

Since the last report to the Court, the Senior Management Team met on 11 & 25 February, 11,18 & 25 March, and 8 April 2015 when the following matters were considered:

**Academic Management Issues**
- REF Results
- University Restructuring
- Future Strategy/Sustainability
- Transnational Education
- Learning & Teaching KPI report
- Research Degree Fees
- Strategic Alliance for the Medical Healthcare Industry of China

**HR Issues**
- Staff Survey: timing of next survey
- Work-Life Balance Policies
- Internal Communications
- UCEA Pay Negotiating Round 2015/16
- Equality & Diversity Reports
- Voluntary Severance Applications
- DUCU Ballot on industrial action
- Vacancies
- Academic Promotions Timetable
- Appointment of a veterinary surgeon

**Corporate & Finance Issues**
- 2015/16 budget
- Management Accounts
- TRAC Return
- Medical School MRI Scanner Investment
- Draft Capital Programme for 2015/16

**Other Business**
- UoD Nursery Expansion
- Environmental Task Group
Vice-Principal’s Highlights

As with my previous report, I have asked the five Vice-Principal’s 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 Arts, Science & Engineering [http://www.dundee.ac.uk/case/]; College of Arts & Social Sciences [http://www.lifesci.dundee.ac.uk/news/2013/]; College of Medicine, Dentistry & Nursing [http://www.cmdn.dundee.ac.uk/main-news/]. The University’s press releases can be found at [http://www.dundee.ac.uk/news/].

Enterprise and Entrepreneurship link with the RSA

The presence of the University network of Fellows of the RSA (Royal Society of Arts & Manufactures) has led to a number of recent initiatives in the University developed in conjunction with the RSA. This includes_work led by Louise Valentine in DJCAD to develop a framework to support engagement with Enterprise and Entrepreneurship drawing on the RSA’s ‘Manifesto for Youth Enterprise’ and a Great Recovery Workshop, organised by Zero Waste Scotland and the RSA and hosted by the University. This practical ‘tear-down’ and ‘design-up’ session involves students, staff and local RSA Fellows in designing for a more sustainable circular economy.

CLS Good Practice in Teaching Awards 2014/15

Audrey Duncan and Helen Weavers in ISE won an award for “The use of a Sports Biomedicine Facebook page to enhance the student experience”.

Next Generation of Life Scientists (Graduate Employer Event)

This month, the Careers Service co-hosted an event with Life Science Learning and Teaching and BioDundee, aimed at showcasing their new undergraduate programme. Employers from different areas of Life Sciences attended the event and were very impressed with the new curriculum. Guests heard from teaching staff, students and an employer forum will be set up in order to gain regular feedback and insight into the sector.

Election to the Executive Board of British Universities Iraq Consortium (BUIC) [http://www.buic.ac.uk]

Fahd Ali Asif, Senior International Officer in Admissions & Student Recruitment has been elected to BUIC, a Consortium representing a group of British universities working to support Higher Education in Iraq. One of its main objectives is to facilitate mobility of students and staff from Iraq to the UK to undertake research and build links with Britain. This new appointment will open up new partnership and recruitment opportunities across the Middle East for the University of Dundee.

SiDE

Around 90 older adults from across Scotland visited the University for a Special Event to celebrate their work with researchers to develop more inclusive technologies, marking the culmination of a £12million, five-year investment by the UK Research Councils. The Social Inclusion through the Digital Economy (SiDE) User Pool, based in Dundee but including members across Scotland, has supported around 30 academics to complete 50 research projects over the last five years. SiDE is an interdisciplinary research collaboration between the University of Dundee and Newcastle University.

CASS Teaching and Good Practice Awards event – Monday 23rd March 2015

The CASS Teaching and Good Practice awards, intended to recognise excellence and success in teaching and learning and to exemplify best practice in CASS, took place recently. The winners were:

- **Early Career Lecturer Award** – Dr Matthew Graham, School of Humanities
  - Highly Commended – Yvonne Evans, School of Law

- **Creative Teaching: Recognising Innovative Practice Award** – Sarah King, School of Law
  - Highly Commended – Pete Glen and Regan Shaw, School of ESWCE
  - Highly Commended – Mary Knight, School of ESWCE

- **Quite Amazing Award** – Martin Farnworth, GSNRLPM and Dr Aliki Varvogli, School of Humanities
  - Highly Commended – Dr Jodi-Anne George, School of Humanities
  - Highly Commended – Dr Abdullah Yusuf, School of Humanities

- **The CASS Public Engagement Award** was presented to Professor Colin Reid, School of Law.
Psychology, Humanities and DJCAD Funding Success
A multi-disciplinary team from comics, art and psychology has been awarded £350,000 from the Economic and Social Research Council (ESRC) to use eye-tracking technology to figure out how page composition relates to understanding of the story. The project starts in June and provides a good demonstration of the cross over between arts and science research.
People & Prizes

Alyson Leslie has been named as Social Work Lecturer of the Year 2014 by the Scottish Association of Social Workers at their annual awards ceremony.

Professor Tracy Palmer, of the College of Life Sciences, has been elected a Fellow of the American Academy of Microbiology.

Professor Niamh Nic Daeid, of the Centre for Anatomy and Human Identification (CAHID), and Professor Colin Palmer, from the University’s School of Medicine, have both been elected Fellows of the Royal Society of Edinburgh.

Social Work students Diane Murray and Kari Gallacher have been named as the first winners of the Susan Reid Memorial Prize, named in honour of the former librarian at the University of Dundee and awarded for achieving the highest overall grade in the third year of the BA Social Work programme.

Kieran Duncan, Tom Paxton and Steph Flynn, who graduated last year from the MSc Animation & VFX course at Duncan of Jordanstone College of Art & Design, part of the University, were amongst three nominations in the Animation category of the BAFTA Scotland New Talent Awards 2015 for their film ‘Mitigating Circumstances’.

Professor Andrew Hopkins, of the College of Life Sciences at the University of Dundee, has been named Commercial Innovator of the Year at the BBSRC (Biotechnology and Biological Sciences Research Council) 2015 Innovator of the Year Awards. Professor Hopkins was also the recipient of the Life Sciences Entrepreneurial Business Leadership award at this year’s Scottish Enterprise Life Sciences Awards.

Dundee University Students’ Association’s DUSA TV has been crowned Best Broadcaster of 2015 at the 42nd National Student Television Association (NaSTA) awards conference in Preston.

University of Dundee student Christopher McCann has been awarded £10,000 to develop his business idea at this year’s Scottish Institute for Enterprise Student Summit in Edinburgh.

Students at the University of Dundee’s Duncan of Jordanstone College of Art and Design have won eight awards at the Royal Scottish Academy’s (RSA) New Contemporaries show. DJCAD winners include Ellis O’Connor, RSA Landscape Award, Samantha Wilson, Friends of the Royal Scottish Academy Award, Emma Jolly, Peacock Visual Arts Award for Moving Image, Moira Watson Edinburgh Printmakers Award, Craig Wright, Glasgow Print Studio Award and Jeppe Nielsen / Alan McIlrath, the RSA Chalmers-Jervise Prize. Graduate Edward Humphrey won the £14,000 Fleming-Wyfold Bursary and the RSA Art prize – the second year in a row that a DJCAD graduating student has won this award.

Duncan of Jordanstone College of Art and Design (DJCAD) graduate Jamie Kunka has been named one of the three winners of this year’s £15,000 Sports Innovation Challenge. The Sports Innovation Challenge is a business development programme and competition, run by the University of Stirling, for entrepreneurial students and recent graduates across Scotland. The winners will each receive £5000, desk space at Stirling University Innovation Park and a year’s access to a business mentor. Jamie graduated in 2013 with a degree in Product Design.
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 88 awards with values ranging from £500 - £794,670, which amount to a total of £9.23m. Please note, 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.

**Professor J R Swedlow** (Gene Regulation and Expression) £794,670 from Wellcome Trust for The Open Microscopy: Integrated Informatics for the Biological Sciences (Joint with Imperial College London, Universities of Edinburgh and Oxford and European Bioinformatics Institute).

**Professor M Ferguson** (Biological Chemistry and Drug Discovery) £700,000 from the Medical Research Council for The Innovative Targets Portfolio: Basic Life Sciences Research to Novel Therapies, Through a Portfolio of Small Molecule Translational Projects (Confidence in Concept award).

**Professor A I Lamond** (Gene Regulation and Expression) £685,651 from Wellcome Trust for Human IPS Cell Collection (Joint with King's College London, Sanger Centre and European Bioinformatics Institute) (2 Year Extension) (Total Overhead Value £13,943)

**Dr AG Bengough** (Civil Engineering) £639,894 from the Engineering and Physical Sciences Research Council for Rooting for Sustainable Performance (Joint with University of Southampton).

**Professor GM Gadd** (Molecular Microbiology) £364,380 from the Natural Environment Research Council for Cobalt: The Roles of Geology Geomicrobiology and Geometallurgy in its Mineral Formation and Recovery (CoG3) (Joint with Natural History Museum and Universities of Manchester, Bangor, Exeter and Southampton).

**Dr AM McFadden** (Nursing & Midwifery) £350,559 from the Department of Health for Enhancing Gypsy/Travellers’ Trust: Using Maternity and Early Years’ Health Services and Dental Health Services as Exemplars of Mainstream Service Provision (Policy Research Programme) (Joint with University of York and Leeds Gypsy and Traveller Exchange).

**Professor R McCrimmon** (Division of Cardiovascular & Diabetes Medicine) £342,975 from Chief Scientist Office for Scottish Diabetes Research Network

**Professor A Gartner** (Gene Regulation and Expression) £295,334 from Wellcome Trust for Combined Genetic and Biochemical Approaches to Uncover and Characterize Redundant Factors Involved in Late Stages of Recombinational Repair

**Dr D Lockhart** (Molecular Microbiology) £275,375 from the Wellcome Trust for Inhibition by Proxy Targeting Fungal Citin Synthesis through Sugar Nucleotide Biosynthesis (Clinical Postdoctoral Research Training Fellowship).

**Mr A Allan** (UNESCO Centre for Water Law, Policy & Science) £268,286 from International Development Research Centre (IDRC) for CARIAA Project (Joint with University of Southampton)

**Dr M K Saville** (Division of Cancer Research) £186,598 from DEBRA International for The Development of Therapies for Squamous Cell Carcinoma in RDEB Patients

**Dr KG Wilcox** (Electronic Engineering & Physics) £140,169 from Knowledge Transfer Partnerships for Advanced mode-locked VECSELs for multi-photon imaging
A meeting of the Committee was held on 23 March 2015.

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

In Attendance: Mr J Elliot, Vice-Principal Professor K Leydecker; University Secretary; Director of Campus Services; Director of Finance; Director of Policy, Governance & Legal Affairs; Director of Strategic Planning; and Clerk to Court.

The Meeting was preceded by a short training session on Research Finance which was led by the Director of Finance.

1. MINUTES

Resolved: to approve the minutes of the meeting of 26 January 2015.

2. MATTERS ARISING

(1) Business Transformation (Minute 2)

Members noted that further documentation relating to the management of the Business Transformation project, including milestones, expected benefits and tracking arrangements, and full risk register were under development and would be provided to the Committee once available.

Resolved: to note the update.

(2) Dundee Student Villages (Minute 3(1))

[Secretary’s note: The University Secretary and Director of Policy, Governance & Legal Affairs declared an interest in this item as members of the DSV Board and left the meeting for the duration of this item].

The Director of Finance updated the Committee with regard to the commissioning of independent advice in relation to Dundee Student Villages. Members noted that the advice would be made available to the Committee in due course, and members encouraged the Director to maintain close dialogue with the bank and DSV partners in the meantime.

Resolved: to note the update.

3. MANAGEMENT ACCOUNTS – PERIOD 6/7

The management accounts for the period to the end of January 2015 were provided in advance of the meeting, and the Director of Finance tabled the accounts to the end of February 2015 at the meeting. The Committee noted that the year-end forecast was for a deficit of £2.41m, an improvement of £461k since period 5, and positive variance of £290k relative to the budget. Based upon trends in the budget the Director indicated that an out-turn deficit of £2m might be achievable for 2014/15. The Director also told the Committee that the University’s cash position had decreased by £10.7m in Period 7 due to an expected decrease in payments received in advance, largely in relation to research funding.

The Committee went on to explore variances within the College and Directorate budgets and provisions made in this respect. Members also reviewed the 2013/14 TRAC return and in response to questions it was confirmed that within the new structure it was proposed that the Vice-Principal (Research) would be extensively involved in setting policies and targets to seek to improve the balance of funding from various sources, recognising that different funding bodies paid different proportions of full economic cost. The Committee highlighted the need to consider the current and future approach to the strategic management of grant applications and noted that the corporate oversight of key areas by the four proposed Vice-Principal roles would better position the University to drive income and improve the University’s financial performance.
4. **STUDENT RECRUITMENT UPDATE**

The Committee received an update from the Head of Admissions & Student Recruitment and the Vice-Principal (Learning & Teaching) which outlined trends in undergraduate and postgraduate recruitment for the current cycle. Although it was early in the cycle, members noted that there were positive signs for undergraduate Rest of UK (RUK) recruitment, but that at this point overseas offers were presently lower relative to the previous year. It was also noted that although it was too early in the postgraduate recruitment cycle to establish a pattern, international applications were lower than at the same point in the previous cycle. This was likely due to both issues common across the sector in relation to UKVI policies, and also due to the impact of external factors such as Ebola and oil prices on traditional overseas markets for the University.

In response to questions the Vice-Principal highlighted steps being taken to optimise the University’s website and marketing, and the Committee asked that regular recruitment updates be provided to each meeting, with an additional report in July to ensure appropriate oversight of the impact of the University’s initiatives on recruitment figures. Members also suggested changes to the format of the standing reports, and noted that there was a possibility that the outcome of the UK general election might impact on fees in relation to the RUK market.

Resolved: to note the report and await future updates.

5. **FINANCIAL PERFORMANCE OF SCOTTISH HIGHER EDUCATION INSTITUTIONS**

The Director of Finance presented a summary of the accounts of Scottish Universities for 2013/14 and projections for the current academic year. Members noted that institutions appeared to be projecting a decline for the coming year, and that National Insurance costs, pension costs and Research Excellence Grant allocations were expected to further impact on the financial outlook of Scottish HEIs, but that the University of Dundee did not have the same level of reserves as many other Scottish institutions.

Resolved: to note the accounts analysis.

6. **MAIN SFC GRANT LETTER**

The Director of Finance told the Committee that the main grant letter was expected to be received in April once the Outcome Agreements with the SFC had been finalised. Members noted the summary of expected Research Excellence Grant (REG) allocation across the sector for 2015/16-2017/18, and the Director confirmed that when taken together with the removal of the Global Excellence Initiative funding, and the indicative teaching grant figures previously presented, a reduction in funding from the SFC of £961,358 was expected for 2015/16. The Committee also noted that this reduction would have been lower were it not for the University’s positive achievements in delivering on the widening access funding stream.

Resolved: to note the update.

7. **BUDGET SETTING UPDATE**

The Committee received a paper from the Director of Finance highlighting arrangements for the preparation of the budget for 2015/16 and the financial plans for the two subsequent years. Members noted the revised approach taken to develop student fee income projections, and that there had been greater involvement from Deans given the on-going review of management and organisational structures.

The Director told the Committee that the draft budget would be presented to the Committee on 7 May 2015, and that a longer term plan and sensitivity analysis would be developed alongside the budget and financial plans to 2017/18 and would be presented at the same meeting. The Director also highlighted the complexity of the budget in relation to IT given the scale of reorganisation.

Resolved: to note the update.

8. **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 updated the
Committee on the number of applications received to the Voluntary Severance (VS) schemes for academic and support staff. Noting that the VS scheme for support staff had closed and that the applications were to be reviewed on 24 March, members highlighted the need to ensure that reductions in staffing levels in the support services did not have a detrimental impact on the University’s ability to deliver the services required to underpin income growth and excellence.

The Director also provided an update on the Universities Superannuation Scheme (USS) pension consultation and the approach and risks in relation to tendering and procurement for the Business Transformation project, and members noted that the tendering process may take the remainder of the calendar year to complete. In response to questions, the University Secretary confirmed that the governance and oversight of the project were currently being considered, with the Audit Committee likely to have a role alongside lay representation on the overarching Project Board; and that the resourcing and timing of the three concurrent strategic projects was being carefully considered, with appropriate costs factored in to ensure that the required expertise was available.

Resolved: to note the update.

9. ANNUAL SUMMARY OF SPIN-OUT COMPANIES
[Secretary’s note: Mr Jo Elliot declared an interest in one of the companies listed].

The Committee received a summary from Research & Innovation Services which outlined the University’s current investment in spin-out companies. Members requested that future reports also include an overview of the portfolio held by the University, clarification of areas of profit and deficit, initial investment and write-up costs, current value, and dividends for the companies listed.

In response to questions the University Secretary confirmed that this was an area where it was foreseen that the new corporate Vice-Principal (Research) role would bring about enhanced leadership and a re-focused strategic approach.

Resolved: to note the report.

10. ANNUAL REVIEW OF TREASURY POLICY

The Director of Finance introduced the annual review of the Treasury Policy, in doing so members noted the summaries provided in relation to: current counterparty risks and limits, liquidity risks, available facilities, currency risk and currency swaps, refinancing risk, and inflation risk. Members noted that the policy had been updated relatively recently and was deemed to be fit for purpose.

Resolved: (i) to approve the continued use of RBS as a deposit taking institution, noting that their rating from two of the three rating agencies fell below the Treasury Policy’s standards; and

(ii) otherwise, to recommend to Court that it approve the amended policy (http://www.dundee.ac.uk/finance/procedures/tmp/treasuryindex.htm).

11. ESTATES & BUILDINGS

(1) Estates & Buildings Report

The Director of Campus Services provided the Committee with a paper outlining the current condition and approach to maintenance of the estate. Members noted that the KPI for building condition had decreased in 2013/14, and that significant investment would be required to address the condition of buildings on the city campus. The Committee noted that, in light of funding levels available, systems had been put in place to address maintenance primarily on the basis of the management of risk. Members noted that the Director would provide further information on potential future capital expenditure needs which could be considered in the context of revenue available.

Resolved: to note the update.
(2) Draft Capital Expenditure Report

The Committee considered the draft Capital Expenditure Report, noting that it would be considered further by the Senior Management Team, and that priority projects would be included in the budget and any projects requiring Committee approval returning at a future date. Members were pleased to note that a mix of estates maintenance and student centred projects had been included in the plan.

Resolved: to note the report.

12. UODSS VALUATION AS AT 31 JULY 2014

[Secretary’s note: Mr Iain Howie and Dr Neale Laker declared an interest in the item as members of the Board of Trustees for the University of Dundee Superannuation Scheme (UoDSS).]

The Committee noted the provisional valuation of the University of Dundee Superannuation Scheme (UoDSS) as at 31 July 2014, along with subsequent estimates based on the monthly tracker prepared by the scheme actuary. Members noted that the next step would be to agree a recovery plan, and that the University would consult its own actuaries in this respect. The Committee proposed that a meeting of the pensions sub-group be scheduled to further consider the matter once changes to the Universities Superannuation Scheme (USS) were also confirmed.

Resolved: to note the update and schedule a meeting of the Pensions Sub-Group at an appropriate time.

13. DATE OF NEXT MEETING

Noted: that the next meeting was scheduled for 1pm on 7 May 2015 in the Fairlie meeting room of the University Library.
APPENDIX 3

AUDIT COMMITTEE
(Minute 56)

A meeting of the Committee was held on 3 March 2015.

Present: Mr J Elliot (Convener), Mr R Bint, Dr WGC Boyd, Ms B Malone, Ms SS Morrison-Low, Mr I Stewart.

In Attendance: Mr KA Richmond; University Secretary; Director of Finance; Mr C Brown (Scott-Moncrieff); Mr D Eardley (Scott-Moncrieff); Ms L Paters on (PricewaterhouseCoopers (PwC)); Ms S Perry (Scott-Moncrieff); and Clerk to Court.

Apologies: Director of Policy, Governance & Legal Affairs.

1. MINUTES

Resolved: to approve the minutes of the meeting of 1 December 2015.

2. CONVENER’S REPORT

Members noted that the Convener had, as usual, met with the internal and external auditors in relation to the agenda items and that there were no other matters to raise.

Resolved: to note the update.

3. INTERNAL AUDITORS

(1) Core Financial Systems

The Auditor presented the report from their review of the University’s core financial systems. Members noted that the review had focussed on three key areas: financial planning and forecasting, budgetary control, and treasury and cash management, and that the auditor had been satisfied that there were no major weaknesses.

The Committee reviewed the nine recommendations made, all of which were grade 2 ‘limited risk exposure’ or grade 3 ‘moderate risk exposure’, and noted that management had agreed to action all but one recommendation. In response to questions the auditor told the Committee that the recommendation not accepted by management related to a proposed enhancement of existing practice which was of limited risk and that as such they were content to accept management’s position.

The Committee reviewed the management responses and indicated that it would be helpful for tracking purposes if future responses were structured to provide further clarity on status of the acceptance of each element of each recommendation made.

Resolved: to note the report.

(2) Risk Management

The Auditor presented the report of their review of risk management which had focussed on strategic risk management, operational arrangements in colleges and directorates and the linkages between strategic and operational risk management. The Committee reviewed the eight recommendations made, all of which were grade 2 ‘limited risk exposure’ or grade 3 ‘moderate risk exposure’, and noted that management had agreed to action all recommendations, focussing in the first instance on those graded 3.

In introducing the report the auditor told the Committee that the majority of the recommendations represented enhancements which could be made to existing practice, and that in reviewing the management responses and prioritising the recommendations they had taken into account the capacity of the risk management team at the University and the value which would be achieved by the enhancements.
Discussions largely focussed on the need to further develop the risk management strategy to include an indication of the risk appetite of the Court. Members recognised the benefit of the Court providing greater input into the identification of strategic risks, and agreed that a dedicated, facilitated session with Court members and senior officers be scheduled, perhaps for the Court Retreat in September 2015. Members also suggested that in addition to revision of the risk register to facilitate the Court’s focus on the top 10 strategic risks and to make it more forward-thinking, the Audit Committee could consider each of the risks in greater detail across the course of each academic year and refer them to the Court as appropriate for further in-depth discussion. One member suggested that the exploration of risk appetite be coupled to the further discussion by Court of the University’s ambition.

Resolved: to note the report.

(3) Status Update

The Committee noted progress in relation to audit the reviews scheduled within the 2015/16 annual internal audit plan and was satisfied that the reviews were on track. Members suggested that the development of the planned ICT value for money audit scope be closely monitored to avoid unnecessary overlap with the business transformation agenda.

Resolved: to note the update.

4. TRANSPARENT APPROACH TO COSTING (TRAC) RETURN

The Committee reviewed the University’s TRAC return for 2013/14, which had been submitted at the end of January 2015. Members noted that the TRAC process had been reviewed in March 2014 by KPMG who had been content with the process arrangements and that the time allocation survey had subsequently been updated as part of this year’s TRAC process. Members considered the adjustments contained within the return and noted the impact of the balance of overhead-bearing and charitable research income on the University’s financial position. In response to questions the Director of Finance confirmed that the previously shared financial review of the year provided data on the balance of research income relative to the comparator group, and that the University had a high proportion of research funding from non-overhead bearing sources relative to its competitors.

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

5. 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. The Committee noted that the introduction of FRS102 had been discussed at the last meeting of the Finance & Policy Committee, but that there were a number of matters where it was appropriate for the Audit Committee to be consulted. In particular, the Committee considered options for the treatment of government and non-government grants and for a one-off revaluation of land and buildings at the point of introduction of FRS102, and members noted the likely approach of the sector to these matters.

Resolved: (i) to endorse the use of a performance based model for all types of research income;

(ii) to endorse the proposal that a one-off valuation of land and buildings be carried out at the point at which FRS201 is introduced; and

(iii) otherwise to note the report.

6. MANAGEMENT FOLLOW-UP TO INTERNAL AUDIT RECOMMENDATIONS

The Committee received a report from the Policy Officer (Corporate Governance) which outlined the status of recommendations made previously by the internal auditors where the implementation date had passed. Members noted that the statistical report had been provided to assure the Committee of progress in the follow-up of management responses to recommendations, and that the information from the follow-up exercise would feed into the annual review by the internal auditors. Members discussed a number of recommendations where the recommendation or proposed management response had been subsumed by the proposals contained within the business transformation project. It was confirmed that
appropriate interim measures had been put in place to address these recommendations and that the auditors would be consulted on how to reflect the business transformation agenda in the response and agreed timeframes.

Resolved: to note the report.

7. BUSINESS TRANSFORMATION

(1) Statement from PricewaterhouseCoopers

The Committee received a paper from the external auditor, PricewaterhouseCoopers (PwC), which set out their framework and approach to the provision of non-audit services relative to the maintenance of their independence as external auditors. Members noted that PwC had consulted their ethics partner prior to the submitting a tender for the work carried out as part of the business transformation project and that they had been satisfied that there was no threat to independence. The Committee indicated that it was satisfied that the involvement of PwC with the business transformation project had been appropriate and had been reported by the auditors in the ISA 260 in December 2014.

Following discussion the Committee recommended that the remit for the Audit Committee be updated to ensure a proactive approach to the oversight and consideration of the involvement of the external auditor in non-audit work by the Committee, in line with best practice outlined in the Committee of University Chairs (CUC) Handbook for Members of Audit Committees in Higher Education Institutions (2008/06).

Resolved: (i) to circulate to members for approval a process for involvement of the Convener and/or Committee in oversight of the provision of non-audit services by the external auditor; and

(ii) to otherwise note the report.

(2) Oversight of Business Transformation Project

The Committee discussed the relative roles of the Audit Committee and the Finance & Policy Committee in the oversight of the business transformation project approved by the Court on 16 February 2015. In particular, members agreed that in relation to such an ambitious project it would be appropriate for the Audit Committee to have oversight of the controls and progress toward key deliverables – in particular in relation to corrective action taken in the course of project management.

Resolved: (i) to request a paper for the next meeting of the Committee describing the model for control and oversight by the Court through the Audit Committee and Finance & Policy Committee; and

(ii) to request that the risk register for the business transformation project be reviewed at the next meeting of the Committee on 20 May 2015.

8. LEGAL MATTERS

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

Resolved: to note the report.

9. RESERVED BUSINESS: REPORT 1 FROM INTERNAL AUDITORS

The Audit Committee received a report from the internal auditors into a review relating to the administration of EU grants. The University Secretary provided an overview of the review, with members noting that the regulations for this source of funding were complex and that following the review further work had been subsequently commissioned in this area. The University Secretary went on to update the Committee on the status of related matters, and members were supportive of the involvement of the appropriate authorities at an early stage.
The Committee also discussed the current whistleblowing policy and suggested that the private email address of the Convener of the Audit Committee be included in future revisions of the policy.

Resolved: (i) to note the report and request an update at the next meeting of the Committee on 20 May 2015; and
(ii) to ask officers to review the current whistleblowing policy in light of the findings of the report.

10. RESERVED BUSINESS: REPORT FROM INTERNAL AUDITORS 2

The Audit Committee received a report from the internal auditors into a review commissioned by the University Secretary in response to the receipt of a public interest disclosure. The Committee noted that the auditors had concluded that the findings of their review did not support the claims within the public interest disclosure, but that a number of areas had been identified by the review where improvements could be made to existing practice in relation to the enhancement of internal controls and the management of conflicts of interest. Members also noted that it was recommended that guidance on the handling of public interest disclosures which were not centrally submitted would be beneficial, and that both aspects could be explored within future internal audit reviews within the 2015/16 annual audit plan.

Resolved: (i) to note the report; and
(ii) to ask officers to consider how the existing approach to management of conflicts of interest, and in particular the communication of responsibilities in this respect, could be enhanced.

11. PRIVATE MEETING WITH OFFICERS

The auditors withdrew from the meeting at this point so that the Committee could speak in private with the officers. The Committee noted that the relationship with both internal and external auditors continued to be positive and that the number and level of recommendations and clarity in responses to recommendations from internal audit work, as discussed under minute 3(1) would be discussed with the internal auditor.

12. PRIVATE MEETING WITH AUDITORS

The officers withdrew from the meeting at this point so that the Committee could speak in private with the external and internal auditors. At the conclusion of the discussion, officers were re-admitted, and the Convener advised them that no issues of concern had been raised by the auditors.
A meeting of the Committee was held on 23 March 2015.

Present: Mr EF Sanderson (Convener), Principal Professor CP Downes, Professor RJ Abboud, Ms J Aitken, Dr WGC Boyd, Ms B Malone, and Mr R Van Mulders

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

Apologies: Ms CA Potter.

1. MINUTES

Noting the poor attendance at the previous meeting, members asked that a paper be brought to the next meeting which proposed the introduction of a quorum for all Committees of Court.

Resolved: to approve the minutes of the meeting of 17 November 2014.

2. MATTERS ARISING

(1) Committee Membership (Minute 2(2))

The Committee noted that the Court had approved the membership of Ms Janice Aitken as a member of the Governance & Nominations Committee for the remainder of the year, and members welcomed her to her first meeting.

Resolved: to note the approval by Court.

(2) HE Governance Consultation (Minute 4)

Members noted that the University’s response to the Scottish Government Consultation on HE Governance had been submitted on 30 January 2015. The Convener and Rector’s Assessor updated the Committee on meetings they had attended since the consultation closed which had focussed on the potential for legislation in this area, and the Principal outlined the position of Universities Scotland in this respect. The Committee noted areas which were likely to prove contentious including the election of Chairs of Court, the role of the Rector, and the suggested introduction of membership of governing bodies on the basis of representing a trade union mandate. Members were particularly concerned that the introduction of the latter would be in breach of the Nolan principles and would also reduce the number of freely elected staff positions on the Court.

Resolved: to note the submission of the University’s response to the consultation.

(3) Court Arrangements (Minute 8)

Noting that a number of options for the electronic distribution of Court papers were being explored, members also asked that consideration be given to ways in which Court members could securely discuss matters via electronic communications.

Resolved: to ask officers to consider options to support electronic communications between Court members in a secure manner.

(4) Report of the Review of the Effectiveness of the Court (Minute 12)

The Committee noted that proposals in relation to the enhancement of the induction process for members of Court and the timing of future meetings of the Court would be brought to a future meeting once consultations had been concluded. Feedback had already been obtained on induction from a number of recently appointed/elected members.

Resolved: to note the update
(5) Graduates’ Council Assessor on Court (Minute 13)

Members noted that following the formal approval by the Privy Council of changes to the Charter and Statutes relating to the Graduates’ Council, interviews had been scheduled for 27 March 2015 with four applicants to identify a successor for Mr Iain Wright. The successful candidate would be appointed as the ‘Graduates’ Association member of Court’ for the period 1 August 2015 until 31 July 2019.

Resolved: to note the update and await the outcome of the interview process.

3. ELECTION OUTCOMES

The Committee received a summary of the outcomes of recent elections to the Court.

Members noted the election of Mr David Ritchie by the non-academic staff effective from 10 March 2015 until 31 July 2016, that being the remainder of the term of office of Ms Sheila Krawczyk who had indicated her resignation from the Court at the meeting of Court on 16 February 2015. Following discussion it was recommended that Mr Ritchie be invited to serve on the Human Resources Committee for the remainder of the academic year. In response to questions the Director of Policy, Governance & Legal Affairs confirmed that Work stream 4 (Governance and Management) of the Review of Organisational & Management Structures would examine the current election practice relating to the use of full and half votes for full-time and part-time staff respectively and that a proposal would be brought to the Governance & Nominations Committee in due course to update the relevant Ordinances and Regulations.

The Committee also noted the election of Professor Tim Kelly to Court by the Academic Council for the period 1 August 2015 to 31 July 2019, the election of Mr Tim Hustler as the DUSA President from 1 July 2015 – 31 June 2016, the election of Mr Kevin Burns as the Independent Student Member on Court for the period 1 August 2015 – 31 July 2016, and arrangements for elections to the Court by the Senate.

Resolved: to note the report and recommend to the Court that Mr Ritchie be invited to serve on the Human Resources Committee for the remainder of the academic year.

4. CHANGES TO STATUTES

The Director of Policy, Governance & Legal Affairs outlined amendments to Statute 9 and the creation of a new Ordinance 63 which had been designed to facilitate the implementation of changes agreed previously by the Court to the process for the appointment of the Chair of Court and the discontinuation of the position of Chancellor’s Assessor, the latter being replaced by the position of Deputy Chairperson who would also serve as the Senior Independent Member (SIM) of Court.

The Committee noted that changes to the process for the selection of the Chair were contingent on legislation by the Scottish Government in this respect and as such suggested that the changes relating to the selection of the Chair and to the Rector’s Assessor/Deputy Chairperson be disaggregated and submitted to the Court and the Privy Council for approval separately.

Resolved: to recommend to the Court the approval of the changes to Statute 9 and the creation of a new Ordinance 63 (annex)).

5. CHANGES TO CHARTER, STATUTES AND ORDINANCES AS A RESULT OF STRUCTURAL CHANGE

The Director of Policy, Governance & Legal Affairs introduced a paper which set out the findings of an initial review by Work-Stream 4 (Governance and Management) of the Review of Organisational & Management Structures of changes which were likely to be required to the Charter, Statutes, and Ordinances of the University as a result of the dissolution of the Colleges. The paper also highlighted a number of additional changes proposed by the Workstream to enhance current practice.

The Committee noted that the Senate was to undertake a review of its own effectiveness, and that in relation to this the Senate would be asked to consider at its meeting on 25 March 2015 a paper proposing how the membership of the Senate might be composed under a Schools-based organisational structure and that also suggested a reduction of the size of the Senate. Members noted that the Academic Council would also be encouraged to consider its own composition and operation.
Members highlighted the important role of the Senate, and those elected to the Senate, in the governance of the University and in the provision of guidance for the academic development of the University, and encouraged the Senate to consider ways in which it could improve its effectiveness. The Committee also discussed the benefits and disadvantages of a reduction of the size of the Senate and ways in which attendance at meetings might be improved.

Resolved: to note the report and await further updates in due course.

6. LAY COURT VACANCY

Members received a paper outlining the proposed process for the advertising of the lay vacancy arising on the Court following the impending departure of Ms Christina Potter on 31 July 2015. The paper provided a summary of responses to past advertising rounds, and members noted the exploration of opportunities to engage with additional bodies such as Women on Boards and Public Appointments sites. Members suggested that the vacancy could also be brought to the attention of local public bodies such as the local councils and NHS Tayside for further circulation.

While the Committee did not wish to use recruitment consultants in the search process on this occasion, members were supportive of the increased emphasis placed in the process on the improvement of the equality and diversity balance of applications received. Members were also supportive of the use of the skills matrix for Court members in refining the proposed advertisement. Turning to the selection process, members were happy to continue with the recent practice as outlined in relation to the shortlisting, interview and selection of candidates, including the balance and composition of the interview panel.

Resolved: (i) to approve the advertisement of the vacancy arising subject to further refinement; and
(ii) to ask officers to make suitable arrangements for the shortlisting and interview of candidates.

7. EQUALITY AND DIVERSITY FORM

Members noted that an equality and diversity monitoring form had been circulated to members of Court for completion by 25 March 2015.

Resolved: to note the circulation of the form.

8. CUC HIGHER EDUCATION CODE OF GOVERNANCE

The Committee noted that the Committee of University Chairs ‘Higher Education Code of Governance’ was published on 17 December 2014 (http://www.universitychairs.ac.uk/wp-content/uploads/2014/12/Published-Version.pdf), and that officers were considering the implications of the publication on the external audit process, and that a paper would be provided to a future meeting.

Resolved: to note that a paper would be provided to a future meeting.

9. APPOINTMENT OF VICE-PRINCIPALS

Following the circulation to Court of proposals relating to the role and appointment process for Vice-Principals within the new University Structure, the Committee considered the matter in further detail. In doing so, the Committee noted a paper tabled by the Director of Policy, Governance & Legal Affairs which outlined the proposed appointment process.

In introducing the item and discussing recent communications, the Convener provided an overview of communications to the Court in relation to the proposed Vice-Principal positions including references to the movement toward corporate Vice-Principal roles within the report of the Review of Management and Organisational Structures led by Professor Karl Leydecker and details within the presentation by the Principal at the meeting of Court on 15 December 2015 which outlined the number of positions and respective portfolios envisaged. The Committee considered that given the Court’s recorded endorsement for the proposals, including the approval of the Vice-Principal (International) position, it was entirely reasonable that the Principal had subsequently sought approval for the implementation of the remainder of the proposal via circulation to Court. However, having noted the concerns raised by a small number of members, the Principal proposed that the item be brought to the meeting of the Court scheduled for 20 April 2015 – a position which was supported by the Committee.
The Committee was however keen not to delay the process unduly given the importance of maintaining momentum and providing leadership to the restructuring process and asked that a provisional interview panel be set up in advance of the Court meeting on 20 April. Following consideration of the proposed interview panel, the Committee recommended the following composition:

- The Principal (as Chair);
- The President of the Students’ Association, or his or her nominee;
- Two Lay members of the Court, to include the Chair of Court;
- Three members of staff, being:
  - one senior academic member of staff (normally a Vice-Principal, however in this case this would be inappropriate and an individual senior member of academic staff would be sought);
  - a member of academic staff serving on the Court;
  - and a relevant senior member of staff from the Professional Services
- An external assessor from another institution or organisation who is at least at Vice-Principal level (or equivalent).

Resolved: to note that the Chair of Court would advise members of Court of the outcome of discussions, and that the item would be considered at the meeting of Court on 20 April 2015.

10. DATE OF NEXT MEETING

Resolved: to note that the next meeting would be held on 11 May 2015.
Annex

Changes to Statutes and Ordinances

At the meeting on 27 October 2014, the Court, as a result of the recommendations of the Court Effectiveness Review, agreed that the role of Chancellor’s Assessor should be discontinued and replaced by a Deputy Chairperson, to be appointed from among the lay members, and who would act as the senior independent member of Court. The attached draft amendments to Statute 9 and the supporting new Ordinances provide the statutory framework for these changes. In light of the Scottish Government’s consultation on HE Governance, changes to the process for the selection of the Chair of Court will be taken forward separately.

The amendments to Statute 9 will require the approval of the Privy Council, the changes to the Ordinances can be amended within the institution; both Statutes and Ordinances require approval by Senate and by two consecutive meetings of the Court.

The changes can be summarised as follows:

- Changes to Statute 9 in relation to the role of Deputy Chairperson to:
  - Remove the role of Chancellor’s Assessor and institute the role of Deputy Chairperson;
  - Invest in the Deputy Chairperson the role of senior independent member;
  - Make clear that the role and manner of appointment of the Deputy Chairperson will be defined in Ordinance;
  - Make clear that the Deputy Chairperson will preside over meetings of the Court, when the Chairperson is absent or requires to absent him- or herself.
  - Make clear that the role is undertaken within the maximum period of eight years, unlike the role of Chairperson where a new term is begun;

- Changes to Statute 9 in relation to casual vacancies to:
  - Ensure that all terms of office resulting from casual vacancies formally end on 31 July by regarding all such appointments as beginning formally on the 1 August prior to or following the actual start date, whichever is closer;
  - Allow appointments, nominations or elections following casual vacancies to begin a full term of office rather than only complete the remaining term of the immediate previous incumbent.

- A new Ordinance to set out the appointment processes for the Deputy Chairperson and to define the role of senior independent member. This Ordinance uses as its basis the paper setting out principles for the appointment of the Chair which Court approved at its meeting on 15 December 2014.

Statutes

9 The Court

(1) The Court shall consist of the following persons, namely:

(a) A Chairperson (in terms of paragraph (3) below)
(b) A Deputy Chairperson, who shall also be the senior independent member, (in terms of paragraph (4) below)
(c) The Principal or, in the absence of the Principal, a Vice-Principal
(d) The Rector or an Assessor nominated by him or her, after consultation with the Students’ Association, to serve throughout the Rector’s term of office
(e) The Lord Provost of Dundee City Council or an Assessor nominated by him or her to serve throughout the Lord Provost’s term of office.
(f) Two members of the Graduates’ Association appointed by the Graduates’ Association to be known as Graduates’ Association Members.
(g) Two Professors and two Readers, Senior Lecturers or Lecturers elected from among its members by the Senatus.
(h) Two members of Academic Council elected by the Academic Council.
(i) A member of non-academic staff elected by the non-academic staff.
(j) The President of the Students’ Association of the University.
(k) A matriculated student of the University.
(l) 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 Chairperson in terms of sub-paragraph (a), Deputy Chairperson in terms of sub-paragraph (b), an assessor in terms of sub-paragraphs (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) Where, under sub-paragraph (d) 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.

(g) 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.

(h) The maximum total continuous period of office of a member of Court serving under the terms of sub-paragraphs (b), (f) to (i) or (l) or as an assessor in terms of sub-paragraph (d) of paragraph (1) above or under a combination thereof is eight years, subject to the terms of sub-paragraphs (i) and (k) below of paragraph (2).

(i) 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-paragraphs (b) or (l) or as an assessor in terms of sub-paragraphs (d) or (e) 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.

(j) On expiry of their maximum period of office on Court, members having served as an assessor, or as an appointed, elected or coopted member in terms of sub-paragraphs (a), (b), (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.

(k) Casual vacancies among the members of the Court shall be filled as soon as conveniently possible by the body which or person who appointed, nominated or elected the person whose place has become vacant, and the person appointed, nominated or elected to fill the vacancy shall begin a full term of office and shall be eligible for re-appointment, re-nomination or re-election in accordance with the relevant paragraphs of this Statute and respectively with the appropriate Ordinances.
Provided that where such an appointment begins at a time of year other than the 1 August, for the purposes of regulating the length of the term of office it shall be deemed to have begun on the 1 August preceding the actual appointment where this is before 1 February and on the 1 August following the actual appointment where this is on or after 1 February.

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

(m)  
(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 appointment of a new Chairperson of Court shall be filled in accordance with either sub-paragraph (l) of paragraph (1) or sub-paragraph (k) of paragraph (2), as appropriate.

(e) The Chairperson shall preside over any meeting of the Court but in the absence of the Chairperson from a meeting of the Court or, in the event of the business of the Court making it inappropriate for the Chairperson to preside over any meeting or part thereof, the Deputy Chairperson shall preside over the meeting. In the absence of both the Chairperson and the Deputy Chairperson another member shall be elected from among its members who are not students or salaried staff of the University to preside over the meeting.

(f) The person presiding over any meeting of the Court shall have a deliberative vote and also a casting vote in case of equality.

(4) 

(a) A Deputy Chairperson shall be appointed by the Court from amongst its members who are not students or salaried staff of the University in such a manner as shall be defined in Ordinance.

(b) The Deputy Chairperson shall be the senior independent member of Court. The duties of the Deputy Chairperson and of the role of senior independent member shall be as set out in Ordinance.

(c) The Deputy Chairperson so appointed shall begin a new term of office on the Court, shall hold office for a period of four years and shall be eligible for re-appointment.

Provided always that the person so appointed may not exceed the maximum total continuous period of office on Court as set out in sub-paragraph (h) of paragraph (2) except as a result of an extension in terms of sub-paragraph (i) of paragraph (2).

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

(5) Seven members of the Court shall constitute a quorum. In the absence of a quorum, no business shall be transacted other than the adjournment of the meeting. At the adjourned meeting, the business for which the original meeting was called may be completed in the absence of a quorum. The manner of summoning the adjourned meeting and the period of notice to be given shall be prescribed in the Regulations.
(6) Subject to the provisions of the Charter and these Statutes, the powers and functions of the Court shall, in addition to all other powers vested in it by the Charter and these Statutes, include the following:

[...]

NEW Ordinance 63 Deputy Chairperson of Court

(An Ordinance made in terms of Statute 9(3)(a) and 9(4)(a-b))

1. (1) The Deputy Chairperson of Court shall be appointed by the Court on the recommendation of the Governance & Nominations Committee. Before making its recommendation, the Committee shall:

   (i) Establish a job description and person specification for the role, which shall take account of sub-paragraph (2) below;

   (ii) Consult with all members of Court eligible for the role in terms of Statute 9(4)(a) in order to establish their candidacy;

   (iii) Consult with all members of Court to obtain their views on the appointment.

(2) The Deputy Chairperson of Court shall preside over any meeting of the Court in the absence of the Chairperson or in the event of the business of the Court making it inappropriate for the Chairperson to preside over any meeting or part thereof.

(3) The Deputy Chairperson of Court be the senior independent member of Court and shall act as intermediary for members of Court who might wish to raise concerns about the conduct of the Court or of its Chairperson. He or she shall, at least annually, chair a meeting of the Court to discuss the performance of the Chairperson in the Chairperson’s absence.
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.

(i) **Research Excellence Grant**

The Principal explained how the Research Excellence Grant (REG) allocation decided by the Funding Council had given considerable weighting to performance in REF 2014 over both research council and charity funded research volume indicators and noted that this, combined with the withdrawal of the Global Excellence Fund, had resulted in the disappointing reduction in REG funding that would further add to concerns around financial security for the University in the short to medium term. The Principal reassured Senate that representations on this issue had been made to the Funding Council and the case for more recognition of the volume of charity funded research undertaken in institutions would continue to be made.

(ii) **University Restructuring**

The Principal welcomed the progress made in relation to the planned restructuring of the University and noted that detailed information from the Workstreams would be provided as presentation items to the current meeting of Senate (under Item 5).

(iii) **VS Update**

Senate received the latest information on the number of applications for Voluntary Severance that had been received and noted that so far one application had been submitted from the College of Medicine, Dentistry and Nursing, ten from the College of Arts and Social Sciences and one hundred and forty one from support staff. The Principal explained that the applications were now being evaluated in accordance with agreed procedures.

(iv) **DUCU Dispute and ballot**

Senate was asked to note that the Dundee University and College Union (DUCU) had entered into a formal dispute with the University and were balloting their members on industrial action on the issue of potential redundancies.

(v) **Election to Court**

Senate noted the call for nomination of members to serve on University Court. The Principal explained that one professorial and one non-professorial academic vacancy would be filled in an election to be held on 20 April 2015.

(vi) **Congratulations**

The Principal asked Senate to join him in congratulating Professor Niamh Nic Daeid, and Professor Colin Palmer, named as Fellows of the Royal Society of Edinburgh, Alyson Leslie, named as Social Work Lecturer of the year, and Professor Tracy Palmer elected a Fellow of the American Academy of Microbiology.

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

2. **UNIVERSITY COURT**

The Senatus received a communication from the meeting of 16 February 2015.

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

(i) Workstream 3: Culture & Communications

Senate heard a presentation from the Director of External Relations that outlined plans to reinvigorate communication, public relations and marketing activity of the University. The Director set out both short term aims and long term goals focussing on the One Dundee and transformation agendas as powerful messages to inspire improved branding, recruitment, digital presence and internal communication.

In response to a question the Director agreed that a solution to a perceived weakness in the University’s online presence required new approaches that were audience driven and spanned the range of current and future digital opportunities.

Members discussed aspects of culture and communication in the context of restructuring and emphasised the need to find new ways of working together, the important role of professional services provided in a coordinated and efficient way and a culture of mutual respect that values the contribution of all staff.

Some members noted that the University already had many areas of excellence and many examples of interdisciplinary approaches upon which to build. The Director agreed that there had been a tendency to underplay achievements and that the Workstream wanted to foster and encourage positive change in organisational culture and behaviour while building on existing excellence.

(ii) Workstream 1: School Structures

Senate heard a presentation from the Vice-Principal and Head of College of Arts & Social Sciences in his capacity as lead of Workstream 1. In his introduction to the presentation the Vice-Principal located the issue of academic organisation in a theoretical context that emphasised the strong social function of organisational structures to represent underlying cultural assumptions and priorities. The Vice-Principal explained that the Workstream had, for this reason, resolved to recommend a structure that had a clear performance orientation and that was dynamic, adaptive and enabled active strategic decisions to be made and implemented.

The Vice-Principal then outlined the process of wide and open consultations that had taken place and reported that the key message that had emerged from the process was the need for balance in enabling connections and removing barriers on the one hand but also in accommodating different discipline-specific research frameworks, pedagogical approaches and common high levels of ambition on the other.

The Vice-Principal explained that models for the new School structure had been defined by the key messages that had emerged from the consultation and the workstream had recognised that the need for a home base could be met without imposing barriers to new ways of working by encouraging accessibility and flexibility through the use of transparent business models to drive transformation.

Senate then discussed the assignment of disciplines to the new Schools as proposed in two possible configurations in the Vice-Principal’s presentation and noted the unresolved questions relating to (i) the place of education and social work within a new School of Social Sciences (ii) the suggestion of a new Interdisciplinary Taught Postgraduate unit and (iii) the possibility of three separate schools emerging from the former College of Medicine, Dentistry and Nursing.

Members expressed some reservations over the operation of a possible TPG unit and questioned its status within the overall structure. Some members argued that a central business development and support resource would be more useful than a unit that might become disconnected from research activity and that simply arranged teaching delivery for TPG programmes. Some members pointed out that splitting activity might weaken some disciplines in terms of the REF and that a strategic approach to grouping disciplines was needed.

Members also debated the disparity in size of the proposed new schools, across a number of measures, and expressed concern that existing excellence in some disciplines might become diffuse in a very large grouping. The Vice-Principal argued that relative size was less important than the coherence of the academic activity in the new schools but agreed that existing valuable academic
branding would need to be maintained for an external audience. Some members were sensitive to potential conflicts that could arise between promotion of premium brands and a One Dundee approach.

Members reported that many staff and students were uncertain about the proposed changes and of the consequences for them personally. Senate heard that some students had expressed concern about discipline-specific identities being lost in large multi-discipline Schools and that debate on the most suitable home school continued in some disciplines where different academic approaches and allegiances were possible.

Senate heard that the options for medicine, dentistry and nursing in the new structure had split opinion and that some of the issues, particularly in relation to external professional accreditation and the continuing relationship with NHS partners, needed an early resolution. Members from the College emphasised the need for a risk assessment of each of the options for change and argued that the current project timetable did not seem to allow enough time for this to happen. The Principal noted that input from NHS partners was imminent and would be carefully considered as proposals were finalised.

Members of Senate asked for clarification on the possible impact on University core systems from the restructuring and if there had been a fully costed business case prepared and approved as part of the project. The Secretary explained that the impact on University systems had been taken into account to allow for an early launch. The Principal noted that the business case had been put forward in the Structures Review Report that had made a compelling case for change and had presented a set of recommendations considered and accepted by SMT and the One Dundee Board before being approved by Senate and Court.

The Principal welcomed the open and consultative approach taken by the Workstream, thanked the Vice-Principal for his presentation and indicated that proposals would be put to a special meeting of the Senate to be held on 15 April 2015.

(iii) Workstream 4: Composition of the Senatus Academicus

The Director of Policy, Governance & Legal Affairs introduced a proposal from Workstream 4 that outlined possible changes to the size and composition of Senate in the restructured University. Senate was asked to comment on the specific proposals to reduce the size of Senate from 80 to fewer than 50 members with the aim to improve focus, relevance and attendance. The Director explained that some of the new members, such as Deans/Heads of School would be ex officio but that the majority would be elected and would also serve on School Boards to strengthen the links and improve communication between School and Senate.

Members of Senate discussed the proposal and noted that any changes would need to be examined in the context of the Scottish Code of Good HE Governance and would require Privy Council approval. Some members argued for a wider membership and for the business of Senate to be much more transparent and consultative.

Senate welcome the proposal in general terms but members agreed that the changes would need to be examined as part of the wider package of structural and organisational changes before any firm decisions could be made. In particular, members suggested that the relative proportions of non-elected to elected members in the current Senate should remain in any newly composed Senate.

The Senatus decided:

4. INTERNATIONALISATION COMMITTEE

The Senatus received a report from the Internationalisation Committee meeting of 17 February 2015.

The Deputy Principal (Internationalisation) highlighted the need to maximise international student recruitment and improve conversion rates and noted the strategic overseas visits in support of these objectives. Senate was also asked to note that the Committee would submit its Annual Report to the May meeting.

The Senatus decided:

to approve the report.
5. **RESEARCH COMMITTEE**

The Senatus received a report from the Research Committee meeting of 5 March 2015.

The Deputy Principal (Research Governance) highlighted the Committee’s discussion of the revised Policy on acceptance of external research funding that introduced a requirement to consider the possible dual purpose of research outputs.

**The Senatus decided:** (i) for its part to approve the Policy; and

(ii) to approve the Report.

6. **LEARNING & TEACHING COMMITTEE**

The Senatus received a report from the Learning & Teaching Committee meeting of 9 March 2015.

The Vice-Principal reported on the ongoing work to revise the **Assessment Policy** and introduced the **ELIR One Year on Report**, which required Senate approval, thanking the Director of Quality Assurance who had taken a leading role in both developments.

The Vice-Principal also introduced the **L&T Strategy Implementation Report** (Performance Indicators) that had been discussed by the Committee. The attention of Senate was drawn to the need to improve retention and progression performance and the intention to ask the internal auditors to review the effectiveness of current policy and practice.

The Vice-Principal highlighted the University’s excellent response to the challenge of recruiting higher numbers of students from the most disadvantaged areas of Scotland and praised the progress made on wider participation in the College of Medicine, Dentistry and Nursing, in particular.

In response to a question the Vice-Principal acknowledged that some of the indicators did seem to focus on undergraduate matters although many of the issues also related to taught postgraduate and distance learning students. The Vice-Principal indicated that he would welcome further feedback and comments from members and noted that the Report would be circulated to all Schools to enable further analysis and for local action to be formulated.

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

7. **ELECTIONS TO COURT**

(i) **Notification of Election: 2 Members of the Senatus to serve on Court**

An election will take place on 20th April 2015 to fill two vacancies on the University Court elected by the Senatus with effect from 1 August 2015 (for a four year term).

(ii) **Election Result: 1 Member of Academic Council to serve on Court**

Professor T Kelly was elected to serve as an Academic Council Member on Court from 1.8.2015 to 31.7.2019

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

8. **DUSA EXECUTIVE ELECTIONS**

**The Senatus decided:** to note the results of the DUSA Executive Elections held in March 2015.

DUSA President: Tim Hustler
Deputy President: Leia Farnam
Vice President Representation: Rebecca McCall
Vice President Communications and Campaigns: Dominic Younger
Vice President of Student Welfare: Thara Packiahrajah
Vice President of Student Activities: Indre Urbanaviciute
Vice President Engagement: Omar Mostafa
Independent Member of Court: Kevin Burns
9. **ACADEMIC CALENDAR**

   The Senatus received the draft Academic Calendar for 2015/16 (annex).

   **The Senatus decided:** to forward the draft Calendar to the Court for approval.
ACADEMIC CALENDAR 2015-16

August 2015

7 Fri Last day for announcement of results
   Last day for issue of Termination letters

17 Mon C Finance and Policy Committee 2pm

21 Fri Last day for lodging appeals

25 Tues Directors’ and [College Secretaries’] Group 10am
   Learning & Teaching Spaces Sub-Committee 2.30pm

28 Fri Information Management Committee 11am
   First issue of Termination of Studies (Appeals) Committee agenda

September 2015

2 Wed Senate ToS (Appeals) Committee 9.15am

7 Mon Welcome Week Wk 0

8 Tues C Health and Safety Sub-C 10am
   Collaborative and Transnational Education Committee (CTEC) 2pm

10 Thurs C Court Retreat starts at 4pm

11 Fri Last day for Matriculation
   C Court Retreat ends at 4pm

14 Mon Semester 1 begins Wk 1

15 Tues S Postgraduate Taught Sub-Committee 10am
   S Research Governance and Policy Sub-Committee 3pm
   University Opening Service 5.15pm

16 Wed S Enterprise & Entrepreneurship Committee 2pm

17 Thurs C University/Unison Joint Committee 10am
   C University/Unite Joint Committee 11am
   S Employability Committee 2pm

18 Fri S Research Degrees Sub-Committee 10am

21 Mon S Quality Enhancement Sub-Committee 10am Wk 2

22 Tues S Internationalisation Committee 9am
   C Audit Committee 2pm
24  Thur  Directors’ and [College Secretaries’] Group  10am
     S  E-Learning Sub-Committee  2pm
25  Fri  C  University/UCU Joint Committee  11am
28  Mon  New [School] Boards to meet during Week 3  Wk 3
     C  Remuneration Committee  11am
29  Tues  S  Senate Business Committee  9am
     C  Human Resources Committee  10am
     S  Learning and Teaching Committee  10am

October 2015

5  Mon  Dundee Autumn Holiday  Wk 4
     C  Governance and Nominations Committee  10.00am
     C  Finance and Policy Committee  2pm
6  Tues  S  Student Recruitment and Admissions Committee  10am
     S  Research Committee  1pm
7  Wed  Personal Chairs Committee  2pm
     C  Welfare and Ethical Use of Animals Committee  2pm
12  Mon  Wk 5
14  Wed  S  Senate  2pm
19  Mon  Wk 6
26  Mon  C  Court  2pm  Wk 7
27  Tues  S  Quality Enhancement Sub-Committee  10am
     Directors’ and [College Secretaries’] Group  10am
28  Wed  S  Postgraduate Taught Sub-Committee  10am
     NSS Forum  2pm
30  Fri  S  Research Degrees Sub-Committee  10am
     Information Management Committee  11am

November 2015

2  Mon  Wk 8
3  Tues  Academic Council Standing Committee  1pm
       Learning & Teaching Spaces Sub-Committee  2.30pm
4  Wed  Enterprise & Entrepreneurship Committee  2pm
April 2015

5 Thurs S Employability Committee 2pm

9 Mon New [School] Boards to meet during Week 9 Wk 9

10 Tues S Honorary Degrees Committee 10am

11 Wed S Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures 10am

12 Thurs S Senate Business Committee – 9am

S Research Committee 1pm

S E-Learning Sub-Committee 2pm

16 Mon C Governance and Nominations Committee 10am Wk 10

C Finance and Policy Committee 2pm

17 Tues S Learning and Teaching Committee 10am

18 Wed Graduation

19 Thurs Graduation

20 Fri Graduation

23 Mon C Remuneration Committee 11am Wk 11

Academic Council 1pm

24 Tues Directors’ and [College Secretaries’] Group 10am

25 Wed C Endowments Sub-Committee 10am?

28 Sat Graduates’ Association Business Meeting 10.00am

30 Mon C Audit Committee 2pm Wk 12

December 2015

2 Wed S Senate 2pm

7 Mon Semester 1 examinations begin Wk 13

8 Tues Personal Chairs Committee 2pm

13 Sun University Carol Service 5pm

14 Mon Complaints Session Workshop 10am

C Court 2pm

15 Tues S Internationalisation Committee 9am

Directors’ and [College Secretaries’] Group 10am

S Collaborative & Transnational Education Committee 2pm

18 Fri Information Management Committee 11am
Semester 1 examinations end
End of Semester 1

24 Thurs University closed after business until start of business on Tuesday 5 January 2016

25 Fri Christmas Day

January 2016

5 Tues Start of business

11 Mon Welcome Week – January Intake

C University/UCU Joint Committee 10am

12 Tues S Senate Business Committee 9am

C University/Unison Joint Committee 10am

C University/Unite Joint Committee 11am

S Research Committee 1pm

C Health and Safety Sub-C 2pm

13 Wed C Welfare and Ethical Use of Animals Committee 2pm

14 Thurs Discovery Day (provisional)

15 Fri Discovery Day (provisional)

18 Mon New [School] Boards to meet during Week 15

Start of Semester 2

S Learning and Teaching Committee 10.00am

19 Tues Student Recruitment and Admissions Committee 10am

25 Mon Governance and Nominations Committee 10am

Wk 16

Academic Council Standing Committee 1pm

C Finance and Policy Committee 2pm

26 Tues Directors’ and [College Secretaries’] Group 10am

C Human Resources Committee 2pm

27 Wed S Research Governance & Policy Sub-Committee 2pm

February 2016

1 Mon Wk 17

2 Tues Collaborative and Transnational Education Committee 2pm

3 Wed S Senate 2pm
<table>
<thead>
<tr>
<th>Date</th>
<th>Day of Week</th>
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<tr>
<td>April 2015</td>
<td>Thurs</td>
<td>Employability Committee</td>
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<td>Fri</td>
<td>Information Management Committee</td>
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<td>Quality Enhancement Sub-Committee</td>
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<td>Learning &amp; Teaching Spaces Sub-Committee</td>
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<td>Enterprise &amp; Entrepreneurship Committee</td>
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<td>Internationalisation Committee</td>
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<td>E-Learning Sub-Committee</td>
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<td>PostgraduateTaught Sub-Committee</td>
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<td>Wed</td>
<td>Research Degrees Sub-Committee</td>
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<td>Thurs</td>
<td>Learning and Teaching Development Forum</td>
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<td>Mon</td>
<td>Academic Council – 1pm</td>
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<td>March 2016</td>
<td>Tues</td>
<td>Audit Committee</td>
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<td>Senate Business Committee</td>
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<td>Thurs</td>
<td>Research Committee</td>
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<td>New [School] Boards to meet during Week 22</td>
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<td>Learning and Teaching Committee</td>
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<td>Academic Council Standing Committee</td>
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<td>Governance and Nominations Committee</td>
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<td>Finance and Policy Committee</td>
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<td>Student Recruitment and Admissions Committee</td>
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<td>Tues</td>
<td>Directors’ and [College Secretaries’] Group</td>
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<td>April 2016</td>
<td>Mon</td>
<td>Dundee Holiday</td>
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Wk 18

Wk 19

Wk 20

Wk 21

Wk 22

Wk 23

Wk 24

Wk 25
13 Wed  C  Welfare and Ethical Use of Animals Committee  2pm
18 Mon  C  Court  2pm
19 Tues  S  Research Governance & Policy Sub-Committee  2pm
20 Wed  C  Endowments Sub-Committee 10am?
         S  Enterprise & Entrepreneurship Committee  2pm
21 Thurs Complaints Session Workshop  10am
         S  Employability Committee  2pm
22 Fri   Information Management Committee  11am
25 Mon   Examinations begin
         S  Quality Enhancement Sub-Committee  10am
         Academic Council  1pm
26 Tues  S  Postgraduate Taught Sub-Committee  10am
         Directors’ and [College Secretaries’] Group  10am
28 Thurs S  Research Degrees Sub-Committee  2pm
29 Fri   C  University/Unison Joint Committee  10am
         C  University/Unite Joint Committee  11am

May 2016

2 Mon   Dundee Holiday
3 Tues  C  University/UCU Joint Committee  10am
         C  Health and Safety Sub-C  2pm
         Collaborative and Transnational Education Committee  2pm
4 Wed   Personal Chairs Committee  2pm
5 Thurs S  Research Committee  1pm
         S  E-Learning Sub-Committee  2pm
9 Mon   New [School] Boards to meet during Week 28
         C  Governance and Nominations Committee  10am
         C  Finance and Policy Committee  2pm
10 Tues S  Learning and Teaching Committee  10am
11 Wed  S  Senate Business Committee  9am
12 Thurs S  Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures  10am
April 2015

14 Sat Graduates’ Association Business Meeting 10.00am
16 Mon C Human Resources Committee 2pm
17 Tues S Student Recruitment and Admissions Committee 10am
       Learning & Teaching Spaces Sub-Committee 2.30pm
18 Wed C Audit Committee 2pm
19 Thurs Learning and Teaching Development Forum 2pm
23 Mon Wk 30
24 Tues Directors’ and [College Secretaries’] Group 10am
25 Wed S Internationalisation Committee 9am
       S Senate 2pm
27 Fri Semester 2 examinations end
       End of Semester 2
30 Mon Dundee Holiday

June 2016

6 Mon C Court 3pm
21 Tues Graduation Ceremonies
22 Wed Graduation Ceremonies
23 Thurs Graduation Ceremonies
24 Fri Graduation Ceremonies
28 Tues Directors’ and [College Secretaries’] Group 10am
29 Wed Personal Chairs Committee 2.00pm

July 2016

1 Fri Information Management Committee 11am
4 Mon Resit examinations begin
8 Fri Last day of resit examinations
13 Wed C Welfare and Ethical Use of Animals Committee 2pm
24 Fri Last day for announcement of results
       Last day for issue of Termination letters
25 Mon Dundee Holiday
26 Tues Directors’ and [College Secretaries’] Group 10am

August 2016
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<tr>
<td>12</td>
<td>Fri</td>
<td>Last day for lodging appeals</td>
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<tr>
<td>15</td>
<td>Mon</td>
<td>C Finance and Policy Committee 2pm</td>
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<tr>
<td>19</td>
<td>Fri</td>
<td>First issue of Termination of Studies (Appeals) Committee agenda</td>
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<td>23</td>
<td>Tues</td>
<td>Directors’ and [College Secretaries’] Group 10am</td>
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<tr>
<td>24</td>
<td>Wed</td>
<td>S Senate ToS(Appeals) Committee 9.15</td>
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**September 2016**

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<tr>
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<td>Fri</td>
<td>Information Management Committee 11am</td>
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<td>5</td>
<td>Mon</td>
<td>Semester 1 Welcome Week Wk 0</td>
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<td>8</td>
<td>Thurs</td>
<td>C Court Retreat starts at 4pm</td>
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<td>C Court Retreat ends at 4pm</td>
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<td>12</td>
<td>Mon</td>
<td>Semester 1 Teaching begins Wk 1</td>
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<td>22</td>
<td>Thurs</td>
<td>Learning and Teaching Development Forum 2pm</td>
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C = Court Committee  
S = Senate Committee  
[College] = “or equivalent” in new structure  
[School] = “or equivalent” in new structure

NOTE: Court Committee Meetings have been moved from Holiday Mondays to Tuesdays of the same week wherever possible in 2015/16.
APPENDIX 6

COMMUNICATIONS FROM THE SENATUS ACADEMICUS

(Minute 62(4))

Extraordinary meeting held on 15 April 2015

1. UNIVERSITY RESTRUCTURING

The Senatus received a presentation from the Principal on the proposed restructuring of the University. The Principal detailed the process to date and informed Senate that discussions at the previous meeting had contributed to the development of the final proposals contained within Paper A. The Principal asked Senate to note that, following discussion at the meeting of 25th March 2015, an analysis of the potential management costs of the new structure compared to the current structure and a risk assessment for the project were available as Appendices 6.1 and 6.2.

Senate noted that following the feedback received at the last meeting of Senate and after detailed consideration by the Structures Review Steering Group it was proposed that the University will be restructured into the nine academic Schools set out in the paper. This proposal had received the unanimous support of the Senior Management Team.

The Principal advised that within the nine School model the majority of Schools currently existed beneath the College structure. Key recommendations in the proposal involved Dentistry, Medicine and Nursing & Midwifery becoming three separate Schools upon the dissolution of the College of Medicine, Dentistry and Nursing; and the formation of three Schools - Education & Social Work, Humanities and Social Sciences - from the current College of Arts & Social Sciences.

The Principal explained that the concept of an interdisciplinary taught post-graduate (TPG) School was still under active consideration. Due to the level of detailed work required for such a project it was proposed that a final decision on this issue was taken during the implementation stage of the restructuring process.

With regards to the identity of the new Schools the Principal explained that the names of the sub-School disciplines and cross-cutting Centres will be determined by an evidence-led and consultative approach during the next stage of the process. He emphasised that key ‘brands’ for the University (such as CEPMLP and CAHID) would not be lost, but rather emphasised and celebrated, within the new structure and used to best effect in future marketing activities.

The Principal reiterated that the primary purpose of the restructuring was to create structures which would facilitate innovative approaches and enhance communication and collaboration across the institution.

The steps towards final approval of the proposals were outlined to Senate. Subject to Senate’s recommendation, Court would be asked to consider and approve the new structure at its next meeting if so minded. Thereafter, the next stage would be the appointment of the Vice Principals, Deans and School Mangers in accordance with the procedures outlined in Paper A with the launch of the structure from 1 August 2015.

The Principal invited Senate to discuss the proposals in terms of academic coherence and, if so minded, to make recommendations to Court regarding the alteration of the organisation and management of the academic disciplines of the University in accordance with Statute 10(4)(i)(vii).

In the discussion which followed Senate members urged the importance of a quick transition to reassure internal and external stakeholders. It was noted that this is an issue of particular importance to Dentistry, Medicine and Nursing & Midwifery with regard to the NHS.

The Dean of Medical Research noted that the NHS had been consulted and was entirely satisfied that the new structure would have no detrimental impact on existing relations. The Principal concurred with this observation as it reflected his own communications with the NHS; and members noted that, as well as the existing Academic Health Partnership forming the basis for strong ongoing links with the NHS, the Deans of the relevant Schools had already begun early discussions on how they could work together to ensure a joined-up approach to the University’s relationship with this key partner.
A member of Senate reiterated that communication and organisational culture were driving forces for restructuring and not immediate financial savings. Nevertheless, members welcomed the fact that the appendix setting out the management and leadership costs of the new academic structure indicated a reduction compared to the existing structure.

In response to a question regarding the names of the proposed Schools the Principal responded that the achieving the right alignment of academic disciplines within a new School structure was of paramount importance and that subject to agreement on that high-level alignment, he was happy for the precise names of Schools to be further refined during the implementation phase.

Members strongly welcomed the proposal to establish an Educational Partnerships Unit to help support the drive for unregulated student income. However, some members of Senate observed that the absence of an interdisciplinary TPG School from the academic structure proposal could indicate that the University was not committed to growing this aspect of academic activity. While reinforcing the vital importance of taught postgraduate agenda, the Principal reminded Senate that a proposal in this regard had not been made as it was felt that the concept was insufficiently developed to be included in the formal proposals for implementation at this stage. There followed a debate, which highlighted a broad range of views and which the Principal suggested indicated why it was so important to think further on this specific issue.

The Principal therefore proposed that detailed discussions around the possible formation of a TPG School, and the wider issue of growing unregulated income, should begin as soon as possible and continue throughout the early implementation phase of the new University structure.

A member of Senate sought clarification on the arrangements for the appointment of the new School Deans and it was agreed that an additional stage be incorporated in the process to allow for an opportunity for internal applications to be sought prior to external advertising in the event that an existing Dean was not appointed to a particular School.

The Senatus decided: formally to recommend the proposed structure to the Court for its approval.

2. REPORT FROM CASS – EXTRAORDINARY MEETING 24TH MARCH 2015

Senate noted the report of the Extraordinary Meeting of the CASS College Board on 24 March 2015.

The Director of Human Resources then reported to Senate on the project currently underway in the College of Arts & Social Sciences and the progress made towards target reductions in academic staffing. In doing so she outlined the process and timescale for the project and undertook to continue to keep Senate informed of progress.

The Director of Human Resources also provided an update in relation to the School of Medicine project. It was explained that despite significant effort to avoid redundancies, it currently appeared likely that the target savings required would not be achieved without recourse to redundancies. She therefore advised that, at its next meeting on 20 April 2015, Court would be asked to establish a Redundancy Committee under University Statute 16, which would meet if it ultimately proved to be necessary to do so. She noted that Court would also be asked to re-open the VS Scheme for affected staff in the School of Medicine and that it was envisaged that the scheme would remain open until immediately prior to any meeting of the Redundancy Committee.

The Senatus decided: to note the position with respect to the two projects and that Court would be asked to form a Redundancy Committee at its next meeting on 20 April 2015.

3. DUNDEE UNIVERSITY COLLEGE UNION – INDUSTRIAL ACTION

The Director of Human Resources informed Senate that Dundee University College Union (DUCU) had notified the University that it had received a mandate for industrial action, up to and including local strike action. The University had not yet received notification of the form that the action would take or the dates when such action may occur.
4. OTHER BUSINESS

(1) University Governance

The Secretary informed Senate that due to the ongoing NHS Porters’ strike some Senate members had reported that they had not received ballot papers for the Senate election to Court. In light of this, the Secretary proposed extending the deadline for receipt of ballot papers by one week to 4pm on 27 April 2015.

The Senatus decided: to extend the deadline for receipt of ballot papers to 27 April 2015.

(2) Congratulations

The Principal asked Senate to join him in congratulating Dundee University Student’s Association on their excellent result in the Times Higher Student Experience Survey where they were judged as Best Union in Scotland and joint second in the UK.