# UNIVERSITY COURT 2014/15

**MINUTES OF MEETING HELD ON 8 JUNE 2015**

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A meeting of the University Court was held on 8 June 2015.

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

In Attendance: The Rector; University Secretary; Vice-Principal (Learning & Teaching); Vice-Principal (Research) and Head of the College of Medicine Dentistry & Nursing; Vice-Principal (International); Director of Finance; Director of Organisational Change; Director of Policy, Governance & Legal Affairs; Director of Strategic Planning (Minute 79); Mr K Burns; Mr T Hustler; Mr K MacLeod (Minute 65); Professor T Kelly; Ms J Marshall and Clerk to Court.

Apologies: Mr RJ van Mulders.

The Chair welcomed the Rector, Dr Brian Cox, and Mr Kevin Burns, Mr Tim Hustler, Professor Tim Kelly and Ms Jane Marshall who were attending in a shadow capacity following their recent appointment / election to Court from 1 August 2015.

[Secretary’s note: a member declared an interest in Item 75].

65. ANNUAL REPORT OF THE SPORTS UNION

The Sports Union President, Mr Keith MacLeod, presented the Union’s annual report. In doing so, he highlighted the success of the pre-season training camp held in September, the move to online matriculation for students registering with sports clubs and the addition of a new staff member to the Sports’ Union office.

In welcoming the report, the Principal highlighted the role of the Sports Union and its members as ambassadors for the University, the contribution of the Sports’ Union to the overall student experience and that the health and wellbeing of students related directly to the University’s Vision.

The Court decided: to thank the President for his report, congratulate him on a successful year and to wish him well for the future.
66. **DUNDEE UNIVERSITY STUDENTS’ ASSOCIATION - ANNUAL REPORT**

The Court received a report from Mr Iain MacKinnon, the President of the Students’ Association (DUSA). The report set out the achievements of DUSA relative to its 2014/15 manifesto and the goals presented at the annual Court Retreat in September 2014, along with other key highlights including: the continued success of DUSA Media, the review of student representation, the addition of a new sabbatical Vice-President for Representation and the refurbishment of Level 4 of the Students’ Association Building. The report also summarised the Association’s financial position and it was noted that DUSA was projecting a surplus for the current financial year.

In response to questions, Mr MacKinnon provided an overview of the arrangements in place to agree DUSA’s annual subvention and access to capital funds.

The Court noted the importance of the continued strong and cooperative relationship between the University and DUSA in maintaining the quality of the student experience, advancements in pastoral care, the contribution of DUSA to the University’s league table position and that DUSA had maintained its position as the number one Students’ Union / Association in Scotland.

**The Court decided:**

(i) to thank the President for his report and congratulate him and his executive team on a successful year; and

(ii) to wish the President well for the future noting that his term of office would expire on 30 June 2015.

67. **MINUTES**

The Court decided: to approve the minutes of the meeting of 20 April 2015.

68. **CHAIRMAN’S REPORTS**

The Chairman presented his regular report to the Court outlining his activities since the last meeting. In doing so, he highlighted his recent attendance at a Higher Education Policy Institute (HEPI) briefing on student engagement issues and the funding situation across the sector. The Chairman also updated the Court on his involvement in the appointment process for the post of Vice-Principal (Academic Planning & Performance). The Chairman updated Court on the process and discussions which led to the creation of the 2015/16 budget and three-year financial plan to be considered later on the agenda. The Chairman presented his annual report to Court. In his report he focused on two matters: the likely implementation of legislation relating to governance and the institution’s financial direction. The Chairman also detailed his external involvement with the Committee of University Chairs (CUC), the Committee of Scottish Chairs (CSC) and HEPI. He also reminded members of his schedule of individual meetings with members of the Court.
The Court decided: to note the reports

69. **ANNUAL REVIEW OF PERFORMANCE & EFFECTIVENESS**

(1) **Annual Review of Performance and Effectiveness of the Court**

As with previous reviews, the discussions focussed on the areas of: effective governance, strategic role, conduct and spread of business, quality of communication and information, opportunities for participation and support for members.

Some members expressed the opinion that the Court should identify ways to spend more time discussing strategic issues outside of the annual Court Retreat. Members also discussed the information and papers received for meetings, noting their quality but suggesting that officers provide executive summaries wherever possible as an aid to understanding. In considering the representative nature of the Court, members identified the need to continue to improve gender balance. The Chair noted that this issue had been discussed at the Governance & Nominations Committee.

Overall, members were satisfied that the Court was effective as a governing body, noting that the collegial attitude of the members had led to improvements in governance.

(2) **Annual Review of Performance and Effectiveness of the Chairperson**

[Secretary’s note: The Chair of Court and officers (except for the University Secretary and the Clerk to Court) withdrew from the meeting for discussions on the effectiveness of the Chair of Court. The session was chaired by the Chancellor’s Assessor, Ms Christina Potter. Those members attending in a shadow capacity were invited to remain for the duration of the discussions].

The Court considered the performance of the Chairman of Court under the following four sub-headings: stewardship, communication, challenge and sectoral awareness.

The Chancellor’s Assessor detailed the process by which views had been sought from the Court on the effectiveness of the Chair, especially the use for the first time of a questionnaire, and led a discussion on the results of that process. In doing so, members highlighted areas of good practice and also made a number of suggestions for the Chair with regard to the conduct of meetings that they felt would further improve the performance of the Court.

The University Secretary and the Chancellor’s Assessor undertook to report the outcomes of the discussions to the Chair of Court.
The Court decided: to ask that the Chair provide a response in relation to the feedback provided by members on his own performance and that of the Court, which would be considered by the Governance & Nominations Committee in the first instance.

70. MATTERS ARISING

(1) (a) Vice-Principal Appointments (Minute 53(2))

The Court noted the appointment of Professor Nic Beech as the Vice-Principal (Academic Planning & Performance) in accordance with the powers delegated by the Court to the appointing panel.

The Court decided: to congratulate Professor Beech on his appointment as Vice-Principal (Academic Planning & Performance).

(b) Vice-Principal Appointments (Minute 53(2))

The Court received an update from the Director of Organisational Change in relation to the advertisement of, and appointment to, the position of Vice-Principal (Research).

The Court was invited to establish an appointing panel for the position of Vice-Principal (Research) and to delegate authority for the appointment of members to such a panel.

The Court decided: to delegate authority to the Chair and University Secretary for the appointment of members to the panel for the post of Vice-Principal (Research).

(2) Governance & Nominations Committee (Minute 57(1))

The Court decided: to ratify the decision taken at its meeting on 20 April 2015 and endorsed by the Senatus at its meeting on 27 May 2015 to approve changes to Statute 9 (the Court), subject to approval by, and any further changes required by, the Privy Council, and to approve the creation of Ordinance 63 (Deputy Chairperson of Court).

(3) Court Membership (Minute 57(2))

To note the election to Court of Professor Mairi Scott and the re-election of Dr Alison Reeves by the Senate for the period 1 August 2015 to 31 July 2019, in accordance with Statute 9(1)(g).
The Court decided: to congratulate both Professor Scott and Dr Reeves on their election and re-election, respectively, to serve on Court for the period 1 August 2015 to 31 July 2019.

71. **PRINCIPAL’S REPORT**

The Court received a report from the Principal (Appendix 1). In his report the Principal highlighted that the implementation of the new Schools-based University structure was on schedule and would come into effect from 1 August 2015. The Principal also provided an update to the Court on the appointment process for the new Deans and School Managers.

The Principal highlighted the challenging financial position of the University and stressed the importance of financial sustainability in realising the aims of the University’s Vision.

The Principal provided an update on proposed legislation pertaining to Higher Education governance. He informed Court that legislation was under preparation and he expected a Bill to be published by the end of June and enacted within a year. Universities Scotland was of the opinion that the proposed legislation would include proposals that would require trade union representation on University Courts and that the appointment of Chairpersons of Scottish Courts would involve some form of election process.

In response to a question from the Rector regarding post-study visas, the Principal explained to the Court that immigration was not a devolved matter under the purview of the Scottish Parliament, however representations on the issue had been made to the Home Office.

The Principal concluded his report by encouraging members of the Court to attend the forthcoming graduation ceremonies on 24 – 26 June.

The Court decided: to note the report.

72. **STRUCTURES REVIEW UPDATE**

The Director of Organisational Change provided an update on the progress of implementing the new University structure. The Director reported that the names of the new Schools had been agreed and that the four corporate Vice-Principal portfolios had been allocated, with the appointment of Professor John Connell as Vice-Principal (Research, Knowledge Transfer & Wider Impact) being made on an interim basis (paragraph 70(1)(b) above refers).

Court also noted that five Deans had been ‘matched’ to the new Schools under the process outlined at the Court meeting of 20 April 2015, with interviews for the
remaining Dean positions expected to have been completed by 18 June 2015. An internal appointment process for the new School Managers had been launched and the Director of Organisational Change expected the process to be completed by the end of June.

The Director informed Court of the work which was underway to ensure that management information systems would align to the new structure by 1 August, with priority being given to HR systems.

In response to questions regarding the culture change required to underpin the success of the restructuring the Vice Principal (Learning & Teaching) as Convener of the Culture & Communications Workstream, highlighted the work underway to develop key messages for staff and students based on the University’s core values and the importance of encouraging and enhancing the range of interdisciplinary teaching.

The Court decided: to note the report.

73. TRANSFORMATION: UPDATE AND NEXT STEPS

The Court considered a paper from the Director of Finance and the Vice-Principal and Head of College of Arts & Social Sciences (CASS) outlining the current position in relation to a number of projects aimed at enabling the University to achieve a sustainable position, including: staff reductions, student recruitment for entry in 2015/16 and the Business Transformation Project.

The Court heard that, in terms of undergraduate student recruitment, the number of firm acceptances to offers were on a par with the last recruitment cycle, with increases in the MD40 and RUK cohorts and decreases in the non-MD40 and Overseas cohorts. In relation to the CASS Academic Excellence and Sustainability Review, members noted the overview provided of the process and consultation arrangements since the last meeting of Court. The Director of Organisational Change, on behalf of the Vice-Principal and Head of CASS, sought the permission of Court to re-open the Voluntary Severance Scheme in CASS for the period 9 - 26 June 2015 for staff in areas affected by the review in order to avoid redundancies, where possible. In response to questions the Director of Organisational Change stated that the University’s Avoidance of Redundancy Policy would apply to any members of staff selected for redundancy.

However, the Court heard that it was at this stage considered unlikely that the reductions target would be met from voluntary measures alone. The Court was therefore invited to establish a Redundancy Committee, in the event that it should be required, in respect of the CASS Review to consider the cases of staff remaining at risk of redundancy at the conclusion of the Voluntary Severance Scheme. The Director of Organisational Change also informed the Court that a commitment had been made to the trade unions that in respect of the CASS Review no Redundancy Committee would meet before 31 August 2015.

The Court decided: (i) to approve the reopening of the Voluntary Severance Scheme for academic staff at risk of redundancy in the
to approve the establishment of a Redundancy Committee under the terms of Statute 16 paragraph 10 on the basis that it had decided that it was desirable that there should be a reduction in the academic staff of the College of Arts & Social Sciences as provided for in paragraphs 10 (2) (a) and (b) of Part II of that Statute;

Ms Janice Aitken asked that her dissent be formally recorded in relation to Court’s decision to establish a Redundancy Committee;

(iii) to note the commitment made to the trade unions that the Redundancy Committee would not meet before 31 August 2015.

74. FINANCE MATTERS

(1) Report of the Finance & Policy Committee

The Court received a report of the meeting of the Committee on 7 May 2015 (Appendix 2). The Chairman of Court drew members’ attention to discussions on the 2015/16 budget and the three-year financial projections for the Scottish Funding Council (SFC).

Following an intensive review of the targets, risks and projections contained in the budget, a significantly revised version of the budget had been developed my management following the meeting and circulated to the members of the Finance & Policy Committee on 25 May 2015. The Convener of the Finance & Policy Committee, Mr Andrew Richmond, provided the Court with an overview of the Committee’s subsequent discussions and endorsed the revised budget to the Court.

The Court decided: to note the report

(2) Budget 2015/16

The Director of Finance set out the proposed budget for 2015/16. The draft budget reviewed by the Finance & Policy Committee on 7 May had shown a significantly deficit, with the revised budget now submitted to the Court projecting an essentially breakeven position. At the time of the Finance & Policy Committee it was explained that work would continue to produce a budget which would achieve at least a breakeven position in 2015/16.

The Director outlined the approach taken to reduce costs in all areas of the University following initial budget estimates and members noted that the budget
forecast a small surplus of £138k for 2015/16, before the exceptional costs of severance. He went on to explain that the University Executive Group considered the budget to be challenging, but achievable.

Turning to the projections for the subsequent two years the Director of Finance explained that, while the projections were realistic on the basis of the current position, the size of the projected deficits were unacceptable. Members noted the substantial discussion on this point at the Finance & Policy Committee and the establishment by the Principal of a working group which would bring forward a discussion paper containing options for addressing the projected deficits to the Court Retreat in September.

The Court noted the significant increases to employment costs with a provision of £1.1m for the yet-to-be-agreed national annual pay award from 1 August 2015, with a further £1.2m assumed for incremental drift. Members explored the potential risks and provisions within the budget and highlighted the importance of the provision made in the budget and projections for ongoing strategic investment in areas such as marketing and student recruitment which would deliver income growth.

Several Court members expressed the opinion that the University should be capitalising on its reputation to a greater extent, especially with regard to potential income from the postgraduate research market. The Principal and members of the Executive Group agreed and responded that the development of income growth strategies was one of the key tasks of those recently appointed to leadership positions in the University.

The Court decided:

(i) to note that officers would prepare a paper for the September Retreat detailing a range of options to address the projected deficits in 2016/17 and 2017/18;

(ii) to approve the draft of the Strategic Plan Forecast for submission to the SFC;

(iii) otherwise to approve the proposed budget for 2015/16.

75. REDUNDANCY COMMITTEE

The Court received a report from the meeting of the Committee on 28 May 2015. The Chair of the Committee, Mr Andrew Richmond, drew members’ attention to the summary paper for the School of Medicine Review and outlined the process followed by the Committee in discharging its remit as approved by the Court.

He reported that Committee members had carefully considered each stage of the process and were satisfied that the process was fair and legally compliant. Additionally, the Committee noted the strenuous efforts made to avoid compulsory
redundancies. However, on the basis of evidence presented the Committee recommended that two members of staff presented in the report should be dismissed by reason of redundancy.

The Director of Organisational Change informed Court that one of the members of staff had requested an extension to a deadline set for accepting voluntary severance in order to receive external advice. This request had been accepted by the Senior Management Team and a new deadline of 24 June 2015 would be applied for this staff member.

During the discussion which followed, a member of Court expressed some concern in accepting the recommendation of the Committee on the basis of the paperwork provided to the Court. Members of the Redundancy Committee reiterated the thoroughness of the process and detailed the extensive information provided to help inform their subsequent recommendation.

**The Court decided:**  
(i) to approve the recommendation of the Redundancy Committee relating to the two members of staff selected for dismissal by reason of redundancy;

(ii) Professor Rami Abboud, Ms Janice Aitken, Professor Sue Black, Dr William Boyd, Mr Iain MacKinnon and Mr David Ritchie asked that their dissent be formally recorded in relation to the Court’s decision to endorse the recommendation.

76. **GOVERNANCE**

(1) **Governance & Nominations Committee**

The Court received a report of the Committee’s meeting on 11 May 2015 (Appendix 3). The Court received proposals from the Governance & Nominations Committee relating to the memberships of individual Court Committees and to the convenership of the Audit, Finance & Policy, Human Resources, and Remuneration Committees and the Endowments Sub-Committee for 2015/16. The Court also noted that the Committee had recommended that Mr Jo Elliot be appointed as Chancellor’s Assessor/Deputy Chairperson and that the recommendation had been endorsed by the Chancellor. The Governance & Nominations Committee also sought the approval of Court to invite all Vice-Principals within the new University structure to attend meetings of the Court from 2015/16. The Chairman drew Court’s attention to, and sought approval for, the proposals relating to meeting arrangements, specifically the setting of a quorum for all Committees of Court and that communication between Court members should take place via University of Dundee email accounts.

**The Court decided:**  
(i) to approve the proposed memberships of the Court Committees;
(ii) to approve the continuation of Mr Jo Elliot as Convener of the Audit Committee;

(iii) to approve the continuation of Mr Andrew Richmond as Convener of the Finance & Policy Committee and as the Convener of the Endowments Sub-Committee;

(iv) to approve the appointment of Ms Shirley Campbell as Convener of the Human Resources Committee from 1 August 2015;

(v) to approve the continuation of Mr Ronald Bowie as Convener of the Remuneration Committee;

(vi) to approve the appointment of Mr Jo Elliot as the Chancellor’s Assessor/Deputy Chairperson and Senior Independent Member of Court from 1 August 2015 in terms of Statute 9 (1) (d);

(vii) to approve the proposal that all Vice-Principals be invited to attend to meetings of the Court from 2015/16;

(viii) to approve the proposal that all Committees of Court should have a set quorum and that all electronic communication between Court members should be via University of Dundee email accounts;

(ix) otherwise, to note the report

(2) Composition of the Senate and Changes to Statutes and Ordinances

The Court considered proposed changes to Statute 10 (The Senatus) and Ordinances 18 (Election of Members of the Court and the Senatus), 39 (Degrees, Diplomas and Certificates), 40 (Student Discipline), 54 (Fitness to Practise), 57 (The Schools) and 64 (Students’ Assessor) designed to implement the proposals of the Review of University Structures in relation to the composition of Senate, the role of Schools and the responsibilities of senior officers of the University (Appendix 4). The Court noted that these proposals had been endorsed by the Senatus at its meeting on 27 May 2015.

The Court decided: to approve the changes to Statutes 10, subject to ratification at a subsequent meeting and to approval, and any other changes required, by the Privy Council, and the changes to the named Ordinances.
(3) **Emergency Committee**

The Court decided: in accordance with accepted precedent, to remit the transaction of any urgent Court business over the summer (with the exception of any urgent items that related to Organisational Change Proposals or the operation of the Redundancy Committee), to an Emergency Committee, comprising the Principal or a Vice-Principal (Convener), two lay members (normally the Chairman of Court and the Convener of the Finance & Policy Committee) and one other academic member; noting that the precise composition would be subject to availability. A report on any action taken would be submitted to the first business meeting of 2015/16.

77. **AUDIT COMMITTEE**

The Court received a report of a meeting of the Audit Committee held on 20 May 2015 (Appendix 5). Members noted the discussion of Non-Audit Services provision, the reports of internal audits on the Student Experience and the future appointment of auditors.

The Court decided: (i) to approve the revised remit and terms of reference for the provision of Non-Audit Services to the University;

(ii) to approve the plan for the audit of the University’s accounts for the year ending 31 July 2015;

(iii) to approve the revisions of the Institutional Risk Register;

(iv) otherwise, to note the report.

78. **COURT RETREAT**

The Court noted that its annual retreat would be held at the Dunkeld Hilton House Hotel from 4pm 10 September to 4 pm on 11 September 2015. A programme for the retreat would be circulated in due course and members were asked to confirm their attendance by 3 August 2015. Members of the University Executive Group would be in attendance at the Retreat on 11 September 2015.

The Court decided: to note the location and timings for the Retreat and to await further information relating to the programme.
79. UNIVERSITY STRATEGY TO 2017: INTERNATIONALISATION KEY PERFORMANCE INDICATORS

The Vice-Principal (International) introduced the annual Key Performance Indicator (KPI) report relating to the Internationalisation Strategy. A commentary on each of the KPIs was provided along with data relating to the associated performance indicators (PIs). Court members were pleased to note the progress in relation to a number of targets. The Vice-Principal paid tribute to Professor Margaret Smith, former Deputy Principal for Internationalisation, for leading the strategy until April 2015. The Vice-Principal also informed Court that the strategy and a number of the associated PIs were to be re-evaluated in light of changed circumstances and would be re-focused on maximising income generation. The Vice-Principal went on to detail the establishment of the Educational Partnerships Development Unit which would co-ordinate the development of international partnerships from 1 August 2015.

The Court decided: to note the report.

80. HUMAN RESOURCES COMMITTEE

The Court received a report of a meeting of the Human Resources Committee on 18 May 2015 (Appendix 6). The Court noted in particular the Committee’s discussions in relation to Pay Negotiations 2015 /16 and the recent local strike action.

The Court decided: to note the report.

81. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report of the meeting of the Senate on 27 May 2015 (Appendix 7). Members noted the discussions of the Senate in relation to University restructuring, particularly the approval of changes to Statutes and Ordinances relating to the composition of the Senate

The Court decided: (i) to approve the recommendations concerning the conferment of the title of Professor Emeritus upon Professors Mark Bennett and Rob Duck; and

(ii) otherwise, to note the report.

82. WELFARE AND ETHICAL USE OF ANIMALS COMMITTEE

The Court received a report from the meeting of the Welfare and Ethical Use of Animals Committee on 15 April 2015 (Appendix 8).

The Court decided: to approve the report.
83. **ACADEMIC COUNCIL**

The Court received a report from the meeting of the Academic Council on 27 April 2015. Members noted the discussions of the Council in relation to the University’s restructuring and the future transformation of the Academic Council.

84. **STAFF**

*Statute 16 - Matters*

The Court received an update from the University Secretary in relation to two ongoing matters. The Court was asked to delegate the authority to the University Secretary, in consultation with the Chair of Court, to establish two tribunal panels in accordance with Statute 16 if required over the course of the summer.

**The Court decided:** to delegate authority to the University Secretary, in consultation with the Chair of the Court, to establish tribunal panels under Statute 16, if necessary.

85. **FAREWELLS**

The Chairman paid tribute to the work of Professor Rami Abboud, Mr Iain MacKinnon, Professor Gary Mires, Mr Robin van Mulders, Ms Christina Potter and Mr Iain Wright who had reached the end of their terms of office. The Chairman thanked them for the significant contributions they had made during their time on Court and he wished them well in their future endeavours.
RESERVED BUSINESS

A meeting of the University Court was held on 8 June 2015.

Present: Mr EF Sanderson (in the Chair), Principal Professor CP Downes, Professor RJ Abboud, Ms J Aitken, Professor L Bida, Deputy Principal Professor SM Black, Mr R Bint, Mr RS Bowie, Dr WGC Boyd, Ms SC Campbell, Mr J Elliot, Mr IC Howie, Mr I MacKinnon, Ms B Malone, Professor GJ Mires, Ms CA Potter, Dr AD Reeves, Mr KA Richmond, Mr D Ritchie, Mr D Taylor and Mr IDM Wright.

In Attendance: University Secretary; Vice-Principal Learning & Teaching; Vice-Principal (Research) and Head of the College of Medicine Dentistry & Nursing; Vice Principal (International); Director of Finance; Director of Organisational Change; Director of Policy, Governance & Legal Affairs; Director of Strategic Planning; Mr K Burns; Mr T Hustler; Professor T Kelly; Ms J Marshall and Clerk to Court.

Apologies: Mr RJ Van Mulders, Lord Provost Mr R Duncan.

The Chair invited those members who were attending in a shadow capacity to remain.

RESERVED ITEM: MINUTES 12 AND 13 OF THE AUDIT COMMITTEE, 20 MAY 2015

The University asserts that this information is exempt from public disclosure and claims the exemptions in section 30 and 33 of the Freedom of Information (Scotland) Act 2002.

(1) Minute 12 Annual Report on Incidents of Fraud

The Court received an update from the University Secretary in relation to an incident of fraud under investigation.

The Court decided: to note the update and to await further updates.

(2) Minute 13 Investigations

The Court received an update into an investigation involving a University spin-out. No further communication had been received on the issue from the anonymous individual who had made the disclosure. The auditors had concluded that the findings of their review did not support the claims made and as such the matter was considered closed.

In relation to the investigation into the administration of a number of EU grants, it was noted that this had entered a second phase of internal investigation following the receipt of advice and direction from Police Scotland. Members of the Audit Committee
suggested that officers should explore if the University’s fidelity insurance might cover the incident.

Finally the Director of Policy, Governance & Legal Affairs informed the Court that an internal investigation was underway in relation to an additional allegation in relation to a potential expenses fraud by a member of staff. The Convener of the Audit Committee would be informed in greater detail once the investigation had concluded and the Committee would be advised of the outcome at its next meeting.

The Court decided: to note the updates.

RESERVED ITEM: UNDERGRADUATE APPEALS COMMITTEE OF SENATE

The University asserts that this information is exempt from public disclosure and claims the exemptions in section 30 and 33 of the Freedom of Information (Scotland) Act 2002.

The Court received a report from the Committee established by Court 16 February 2015 to review a decision of the Senate Undergraduate Appeals Committee.

The Court Committee reviewed the available documentation relating to the appeal and interviewed the Dean of Medical Education and the student at separate meetings held in April 2015.

On the basis of the evidence provided the Committee recommended that the decision of the Senate Undergraduate Appeals Committee should stand. However, the Committee also made a number of recommendations to the University and the School of Medicine to prevent similar issues from arising in future.

In the discussion which followed a member of Court expressed their concern that the OSCE process had again been the subject of an appeal. The Director of Policy, Governance & Legal Affairs informed Court that the School of Medicine had made adjustments to the OSCE on the basis of previous appeals and work was ongoing to meet the recommendations of the Review Committee.

The Court decided: to approve the recommendation of the Review Committee.
A Year of Change

Typically in my report to the June meeting of the Court I try to provide members with an overview of the academic year along with a summary of activities leading up to the end of the year. Looking back I would summarise 2014/15 as being a year of change for the University of Dundee, and this year rather than the summer being a quieter period we are likely to be busier than ever as we implement the recommendations of the Review of Management and Organisational Structures, progress the Business Transformation Project, and continue to move ahead with the necessary agenda of transformational change to secure our future financial stability.

The implementation of the new School-based University structure from 1 August 2015 is a significant step toward achieving the cultural change and transformation necessary to deliver the University’s ambitious vision while addressing the challenging financial environment which we, and the sector as a whole, face and I look forward to future discussions at Court on our approach beyond August 2015. Members will no doubt have noted the recent communication of the appointment of Professor Nic Beee as the Vice-Principal (Academic, Planning and Performance) by a panel under the authority delegated by the Court on 20 April 2015. This is one of several key appointments, and elsewhere on the agenda you will note the proposal that we begin the process for appointment of a Vice-Principal (Research) – starting as proposed by the Court with the internal advertisement of the role. By the time the Court meets again at the Retreat we expect to have completed the rigorous process for the appointment of the Deans and School Managers and replaced the Senior Management Team with the University Executive Group (UEG) outlined in papers to the last meeting of the Court, and I look forward to updating the Court on progress after the summer break.

Finance

The University’s financial position remains challenging, with the budget setting process being carried out against the backdrop of an anticipated deficit for the current year of ~£2.18m, the operation of cost reduction measures including the voluntary severance schemes, and the compound effect of many factors described in detail in reports to Court over the last 18 months including: the reduction in Research Excellence Grant (REG) income, increases to National Insurance and Pension costs, Core SFC teaching grant income to the University being essentially fixed with demands that we improve efficiency year on year, the impact of UKVI restrictions, changes to student fee calculations, and reduced caps on student numbers in professional services subjects. Furthermore, the increasingly competitive student recruitment market has made income growth ever more challenging, while the relatively low proportion of research funding awards with full economic costing (FEC) has placed further financial strain on the University.

Given these challenges, reaching a breakeven budget for 2015/16 has been a difficult process which has required all parts of the University to take tough measures to control costs while at the same time building realistic plans for delivering the increased contributions necessary to support the growth and investment in infrastructure and excellence required for the University to achieve a financially sustainable position. The budget presented (Paper J) aims to achieve a balance between exacting tight control and investing in the development of the culture of transparency, effective communications, responsibility and accountability across the institution which is vital for our future financial security. Delivering against this budget will require continued efforts to reduce costs, increase productivity and maximise unregulated income growth. Since the last meeting of the Court the budget has seen a number of cycles of revision, and has been discussed in great detail by the Finance & Policy Committee. Their consideration of the three-year plan and longer term financial picture has proved to be particularly valuable, and I would expect that the discussions at Court will reflect many of the opinions expressed by the Committee.

Governance

At its last meeting the Court noted the publication of written responses to the consultation on Scottish HE Governance. I have since attended meetings with the Scottish Cabinet Secretary for Education and Life Long Learning and will update the Court on the expected timeframe and approach to legislation at the meeting on 8 June 2015.
Recruitment Update

As is typical for my June report, I have included for members’ information a short update on student recruitment for the current cycle. The Finance & Policy Committee will be receiving regular updates over the summer and a full summary for 2015/16 entry will be presented to the Court following matriculation in the autumn.

In relation to undergraduate student recruitment overall firm acceptances are similar to those at the same point last year. In terms of Home/EU students there has been an increase of 12.2% for MD40 and a corresponding decrease of 3.8% for non-MD40 students meaning that we can be reasonably confident of meeting our MD40 targets. In relation to Rest of UK (RUK) recruitment, there has been an increase in acceptances of 13.5% in uncontrolled subjects (10.6% overall). Nevertheless, there will be a need to repeat last year’s success in clearing if we are to achieve our targets. In terms of overseas undergraduates, acceptances are down 39.6% (42 students), and as with RUK there will be a need to repeat the success in clearing last year in order to meet targets. Our Admissions & Student Recruitment Services (ASRS) will focus on conversion activity to ensure the maximum possible number of firm acceptances before the June 7th UCAS deadline, after which point attention will shift to conversion of firm acceptances to matriculation and Clearing for Overseas and RUK applicants.

It is still early in the postgraduate recruitment cycle, with the majority of applications normally being received between April and July, as such the numbers at present are subject to fluctuations and it is more difficult to summarise trends. At the time of writing this report applications and offers are at similar levels to the same point in the previous cycle despite the reduction in the number of programmes and the realignment of fees.

Positive Notes

Having focussed much of my report on the current and future challenges we are facing as an institution, I would like to finish my final report of this year by reminding members of a few of the significant institutional achievements in 2014/15.

- Guardian League Tables – published this week show a rise of 9 places to rank the University 38th overall.
- The University was rated first in Scotland in the THE Student Experience Survey for the 6th year running (12th overall in the UK)
- The University was Ranked 19th in the World in the THE 100 under 50 rankings
- The University was ranked number 1 in Scotland, 7th in the UK, and in the World Top 20 of the International Student Barometer (ISB) Survey.
- Widening Access - figures issued by the Scottish Funding Council (SFC) on widening access to higher education for students from the most deprived sections of society have shown the University of Dundee making the biggest improvements in the country.
- Improvement in NSS Scores
- Strong performance in the Research Excellence Framework (REF)

While there have been other areas such as the QS and Times Higher world rankings where the news was less positive (a drop from 219 to 230 and 196 to 203 respectively), the items highlighted above illustrate the high performance of the University both in terms of student experience and research excellence. It is delivering the cultural change needed to build upon these successes which has driven our approach to restructuring, and which will continue to shape our approach in the future.

Ninewells Cancer Campaign

I would like to congratulate the Ninewells Cancer Campaign on reaching its £2m fundraising target. While the campaign is set to wind down, the funds raised have been of great importance in supporting research activities, including the appointment of new key clinical and research staff in the School of Medicine and I would like to thank all those involved in the campaign for their efforts.

Graduations

Finally I would like to highlight to members the programme of ceremonies for summer graduations. The participation of members of the Court is always greatly appreciated and I hope to see you there as we honour our graduands, to the ceremonies and also to the honorary graduands.

Professor Pete Downes
Principal & Vice-Chancellor
### Executive Summary: Full Time Postgraduate Taught Programmes: 2015/6 Entry

<table>
<thead>
<tr>
<th>Semester</th>
<th>Applicant Type</th>
<th>2014/5</th>
<th>2015/6</th>
<th>+/-</th>
<th>%Change</th>
<th>2014/5</th>
<th>2015/6</th>
<th>+/-</th>
<th>%Change</th>
<th>2014/5</th>
<th>2015/6</th>
<th>+/-</th>
<th>%Change</th>
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<th>2015/6</th>
<th>+/-</th>
<th>%Change</th>
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<tr>
<td>Semester 1</td>
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<td>461</td>
<td>-18</td>
<td>-3.8%</td>
<td>294</td>
<td>315</td>
<td>+21</td>
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<td>77</td>
<td>68</td>
<td>-9</td>
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<td>348</td>
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<td></td>
<td>Full Fee</td>
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<td>1,790</td>
<td>1,573</td>
<td>-217</td>
<td>-12.1%</td>
<td>395</td>
<td>388</td>
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<td>-1.8%</td>
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<td>Total Semester 1</td>
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<td>1,888</td>
<td>-196</td>
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<td>472</td>
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<td>0</td>
<td>-2</td>
<td>-100.0%</td>
<td>0</td>
<td>0</td>
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<td>0</td>
<td>82</td>
<td>-</td>
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<tr>
<td></td>
<td>Full Fee</td>
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<td>100</td>
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<td>25</td>
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<td>4</td>
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<td>71</td>
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<td>243</td>
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<tr>
<td>Full Entry Year</td>
<td>Home / EU Fee</td>
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<td>467</td>
<td>-22</td>
<td>-4.5%</td>
<td>296</td>
<td>315</td>
<td>+19</td>
<td>6.4%</td>
<td>77</td>
<td>68</td>
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<tr>
<td></td>
<td>Full Fee</td>
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<td>388</td>
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<td>-1.8%</td>
<td>161</td>
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<tr>
<td>Total Full Entry Year</td>
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<td>2,115</td>
<td>1,913</td>
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<td>479</td>
<td>460</td>
<td>-19</td>
<td>-4.0%</td>
<td>935</td>
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### Executive Summary: Full Undergraduate & UCAS Postgraduate Programmes: 2015/6 Entry

<table>
<thead>
<tr>
<th>Applicant Type</th>
<th>Subject Type</th>
<th>2014/5</th>
<th>2015/6</th>
<th>+/-</th>
<th>%Change</th>
<th>2014/5</th>
<th>2015/6</th>
<th>+/-</th>
<th>%Change</th>
<th>2014/5</th>
<th>2015/6</th>
<th>+/-</th>
<th>%Change</th>
<th>2014/5</th>
<th>2015/6</th>
<th>+/-</th>
<th>%Change</th>
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<tbody>
<tr>
<td>MD40</td>
<td>Controlled</td>
<td>1,092</td>
<td>1,255</td>
<td>+163</td>
<td>14.9%</td>
<td>271</td>
<td>385</td>
<td>+114</td>
<td>42.1%</td>
<td>184</td>
<td>257</td>
<td>+73</td>
<td>39.7%</td>
<td>180</td>
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</tr>
<tr>
<td></td>
<td>Uncontrolled</td>
<td>2,011</td>
<td>2,350</td>
<td>+339</td>
<td>16.9%</td>
<td>1,382</td>
<td>1,620</td>
<td>+238</td>
<td>16.4%</td>
<td>490</td>
<td>499</td>
<td>+9</td>
<td>1.8%</td>
<td>466</td>
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<tr>
<td>Total MD40</td>
<td></td>
<td>3,103</td>
<td>3,605</td>
<td>+502</td>
<td>16.2%</td>
<td>1,663</td>
<td>2,005</td>
<td>+342</td>
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<td>674</td>
<td>756</td>
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<td>12.2%</td>
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<tr>
<td>Non-MD40</td>
<td>Controlled</td>
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<td>3,740</td>
<td>+97</td>
<td>2.7%</td>
<td>800</td>
<td>871</td>
<td>+71</td>
<td>8.9%</td>
<td>462</td>
<td>505</td>
<td>+43</td>
<td>9.3%</td>
<td>473</td>
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<tr>
<td></td>
<td>Uncontrolled</td>
<td>8,903</td>
<td>9,212</td>
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<td>4,247</td>
<td>4,091</td>
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<td>1,023</td>
<td>923</td>
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<td>-9.8%</td>
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<tr>
<td>Total Non-MD40</td>
<td></td>
<td>12,546</td>
<td>12,952</td>
<td>+406</td>
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<td>5,047</td>
<td>4,962</td>
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<td>1,485</td>
<td>1,428</td>
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<tr>
<td>Home Rest of UK (RUK)</td>
<td>Controlled</td>
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<td>1,314</td>
<td>-162</td>
<td>-11.0%</td>
<td>285</td>
<td>295</td>
<td>+10</td>
<td>3.5%</td>
<td>114</td>
<td>122</td>
<td>+8</td>
<td>7.0%</td>
<td>135</td>
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<tr>
<td></td>
<td>Uncontrolled</td>
<td>1,468</td>
<td>1,546</td>
<td>+78</td>
<td>5.3%</td>
<td>1,065</td>
<td>1,247</td>
<td>+182</td>
<td>17.1%</td>
<td>141</td>
<td>160</td>
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<td>13.5%</td>
<td>220</td>
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<tr>
<td>Total Home Rest of UK (RUK)</td>
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<td>2,944</td>
<td>2,860</td>
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<td>1,542</td>
<td>+192</td>
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<td>255</td>
<td>282</td>
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<td>355</td>
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<tr>
<td>Overseas (not EU)</td>
<td>Controlled</td>
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<td>362</td>
<td>+45</td>
<td>14.2%</td>
<td>78</td>
<td>47</td>
<td>-31</td>
<td>-39.7%</td>
<td>51</td>
<td>21</td>
<td>-30</td>
<td>-58.8%</td>
<td>45</td>
<td>-</td>
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<tr>
<td></td>
<td>Uncontrolled</td>
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<td>638</td>
<td>-7</td>
<td>-1.1%</td>
<td>423</td>
<td>401</td>
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<td>43</td>
<td>-12</td>
<td>-21.8%</td>
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<td>-</td>
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<tr>
<td>Total Overseas (not EU)</td>
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<td>962</td>
<td>1,000</td>
<td>+38</td>
<td>4.0%</td>
<td>501</td>
<td>448</td>
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<td>-10.6%</td>
<td>106</td>
<td>64</td>
<td>-42</td>
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<td>121</td>
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<tr>
<td>Total Full Undergraduate</td>
<td>Controlled</td>
<td>6,528</td>
<td>6,671</td>
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<td>2.2%</td>
<td>1,434</td>
<td>1,598</td>
<td>+164</td>
<td>11.4%</td>
<td>811</td>
<td>905</td>
<td>+94</td>
<td>11.6%</td>
<td>833</td>
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<tr>
<td></td>
<td>Uncontrolled</td>
<td>13,027</td>
<td>13,746</td>
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<td>5.5%</td>
<td>7,127</td>
<td>7,359</td>
<td>+232</td>
<td>3.3%</td>
<td>1,709</td>
<td>1,625</td>
<td>-84</td>
<td>-4.9%</td>
<td>1,788</td>
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<tr>
<td>Total Full Undergraduate</td>
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<td>19,555</td>
<td>20,417</td>
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<td>8,561</td>
<td>8,957</td>
<td>+396</td>
<td>4.6%</td>
<td>2,520</td>
<td>2,530</td>
<td>+10</td>
<td>0.4%</td>
<td>2,621</td>
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Graduation Ceremonies Summer 2015

<table>
<thead>
<tr>
<th>Date and Time</th>
<th>Colleges</th>
<th>Schools</th>
<th>Honorary Graduates</th>
</tr>
</thead>
<tbody>
<tr>
<td>10am Wed 24 June</td>
<td>CASS</td>
<td>Business Law</td>
<td>Mr Brian Taylor - one of Scotland’s most respected political commentators</td>
</tr>
</tbody>
</table>
| 2:30pm Wed 24 June | CASE | DJCAD Graduate School of Natural Resources, Law, Policy and Management | Mr Seamus McGarvey - Oscar-nominated cinematographer (‘Atonement’ & ‘Anna Karenina’)  
Mr David Chester Gibbons - graphic novelist and artist, illustrator of the classic ‘Watchmen’ |
| 10am Thurs 25 June | CASS | School of Environment  
School of Psychology  
School of Education, Social Work & Community Education | Mr Justin Guy Fletcher BAFTA-winning actor and children’s television presenter  
Mr Roddy Doyle Booker Prize-winning author, screenwriter and dramatist |
| 2:30pm Thurs 25 June | CASE | Centre for Anatomy & Human Identification  
School of Engineering, Physics and Mathematics  
School of Life Sciences Learning & Teaching  
School of Life Sciences Research | Professor Frank Grosveld - internationally renowned molecular biologist  
Mr Stuart Buchanan MacBride - one of the UK’s most acclaimed crime writers |
| 10am Fri 26 June | CMDN | School of Nursing and Midwifery  
School of Computing  
School of Humanities | Mr William David Forsyth - film director and writer (‘Gregory’s Girl’, ‘Local Hero’)  
Dr Jung Chang - author and campaigner |
| 2:30pm Fri 26 June | CMDN | School of Dentistry  
School of Medicine  
Centre for Forensic & Legal Medicine | Professor Neil Robertson MacKenzie Buist - internationally recognised expert in child health |
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 22 April, 6 May, 20 May, the following matters were considered:

**Academic Management Issues**

University Restructuring
Names & Identities of Schools
Fulbright: Summer Institutes
Legal Informatics Bid
Wuhan Dual Degree in Architecture
MDSc in Endodontics
International Strategy and the Education Partnership Development Unit

**HR Issues**

VS applications CASS
DUCU – Industrial Action
Medicine Strategic Review Project
Professorial Remuneration Policy & Procedure
Athena Swan Bronze Awards

**Corporate & Finance Issues**

Budget Update
Consultation on SFC Strategic Plan
Fossil Fuels

**Other Business**

Appointment of Veterinary Surgeon
University of Dundee Website
Vice-Principals’ Highlights

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

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

- College Art, Science & Engineering: [http://www.dundee.ac.uk/case/]
- College Arts & Social Sciences: [http://www.dundee.ac.uk/cass/news/]
- College of Life Sciences: [http://www.lifesci.dundee.ac.uk/news/2013/]
- College of Medicine, Dentistry & Nursing: [http://www.cmdn.dundee.ac.uk/main-news]
- The University’s press releases can be found at [http://www.dundee.ac.uk/news/].

Craig MacLean, a 4th year medical student, demonstrated the value of the training for preparedness for clinical practice that Dundee has a high reputation for when, during a flight to Abu Dhabi, he resuscitated a passenger who had suffered a cardiac arrest and required defibrillation as part of CPR. He subsequently managed the care of the man until, after the plane was diverted to Ankara, he handed care over to a local medical team and then continued his journey. He was en route to the the World Conference on Tobacco or Health, where he was giving a presentation. His intervention gained widespread coverage in national media, and he has now been nominated for a St Andrews ambulance lifesaving award.

#TESTDRIVEDUNDEE

Last year’s RUK undergraduate recruitment campaign #TESTDRIVEDUNDEE has been shortlisted for a HEIST Award in the Best Digital/Social Initiative category. The campaign has also been shortlisted for the Marketing Society Scotland Star Awards in two categories - Public Sector and Digital.

Honorary Graduates’ Inclusive Practice Award

This was won this year by Sheena Stewart and Nicola Long, who looked at how to ‘Minimise the challenges faced by disadvantaged students with Mental Health difficulties along with financial difficulties and to enable those students to function effectively with the University community.’

Nirmal Shar, a final year Dental student spent his 4th year elective study in Tonga and undertook a review of orthodontic treatment need amongst adolescents on the Island. The Tongan Ministry of Health have informed Nirmal that they are using his findings to shape orthodontic services within Tonga.

Computing Degree Show

Final year student software engineers, games developers, computer programmers, tech entrepreneurs and other digital pioneers demonstrated their Honours work to hundreds of guests, students and members of staff who gathered in the University’s Queen Mother Building. Several explained their projects had been inspired by their personal circumstances and by seeking new ways to help loved ones.

Art, Design & Architecture Degree Show

This celebrated the success of graduating students from Duncan of Jordanstone College of Art & Design and the department of Architecture, within the School of the Environment. For 10 days our Matthew and Crawford buildings transform themselves into one of the country’s biggest galleries showcasing the culmination of several years of creative development and hard work. Over 5000 people have visited the show already and the live streaming of the opening event was watched by people from dozens of countries. The show, which started last week, had record number attendance on Friday night and great coverage in the Herald, Courier and Evening Telegraph.


Over 200 CEPMLP, School of Business and Law School alumni were joined by 50 applicants to reconnect with and discover Dundee respectively at an event, held in Lagos, Nigeria recently. The event provided the opportunity for the applicants to meet with alumni to get a real feel for what studying at the University of Dundee is like.
Two Months of Global History Events
The Scottish Centre for Global History at the University of Dundee, is hosting two months of debates, workshops, network events and conferences on Global History. In May and June the School of Humanities will welcome some of the most prominent practitioners of global history to explain their vision of the field, host conferences on cutting edge research and hold training workshops for new doctoral researchers.

Growing up on the Streets Schools Event
Dr Lorraine Van Blerk led a team to provide a ‘Growing up on the Streets’ workshop for 100 local primary school children in May 2015. The University is working in collaboration with StreetInvest, an international charity that supports street children who often have no choice but to fend for themselves, to support a ground breaking study into street children lives called ‘Growing Up on the Streets’; a three year research project in Ghana, Zimbabwe and the Democratic Republic of Congo. A key focus of this is raising awareness of the issues street children face through the organisation of different public events including the workshop.

Minecraft on the Waterfront
Primary 6 and 7 pupils around Dundee have been working for the past few months on a project led by the University of Dundee and Dundee City Council. The pupils have been working in groups using Xbox and Playstation 3 consoles equipped with Minecraft, connected to whiteboards in classrooms, reimagining, designing and building their visions of Dundee’s waterfront. The project has been funded by a grant from CECHR, the University’s Centre for Environmental Change and Human Resilience. A major aspect of Derek Robertson’s work has been involved with exploring and articulating just how computer game-based learning can have a positive impact on children’s learning experiences. An event to showcase the work of the children will take place in the Dalhousie Building on Friday 5 June.

Enhancing Wellbeing: inclusive, community collaborative approaches to place making
Over 100 delegates attended the national symposium, ‘Enhancing Wellbeing: inclusive, community collaborative approaches to place making’ on campus on Friday 15 May in collaboration with the Scottish Government, Architecture Design Scotland, NHS Health Scotland, The Academy of Urbanism, Royal Town Planning Institute, Glasgow Centre for Population Health, The Royal Institution of Chartered Surveyors, PAS, Homes for Scotland and Fife Council. There were a variety of speakers from the University of Dundee, Scottish Government, NHS Scotland, Glasgow University and Kevin Murray Associates. The symposium aimed to develop wider public understanding of the contribution that community collaborative approaches to place making can make to well-being.
People & Prizes

Graham Fagen, a Senior Lecturer in DJCAD, is leading Scotland’s representation at the 2015 Venice Biennale from 9th May to 22nd November 2015.

DJCAD graduates Calum and Fraser Brownlee, Edward Humphrey, Jeppe Nielsen and Alan McIlrath, Ellis O’Connor, Moira Watson, Samantha Wilson, and Craig Wright, will exhibit their work at ‘New Scottish Artists 2015’ at the Fleming Collection in London from 12th May.

Professor Patricia Wouters and Dr Alistair Rieu-Clarke received the Leaders of a Living Planet Award from the World Wildlife Fund (WWF). The award was made at the 7th World Water Forum in Deagu, South Korea, and recognises the contribution to conservation of the natural world and sustainable development made by the University’s Centre for Water Law, Policy and Science.

PAMIS, the University of Dundee-based charity that works with people with profound and multiple learning difficulties and their families, has been named as a finalist in the 2015 Scottish Charity Awards.

Both the Centre for Anatomy and Human Identification and the College of Life Sciences have been recognised for their commitment to gender equality and have been awarded the Athena SWAN Departmental bronze awards.

Experts from the University of Dundee have helped the Tweed to become the first-ever winner of the UK River Prize. The Tweed, a UNESCO HELP Basin, is the site of the University’s main research focus on catchment management and river restoration. The UK River Prize celebrates the achievements of individuals and organisations working to improve the natural functioning of our rivers and catchments, and recognises the benefits to society of having a healthy natural environment.

Dr Sara Brown was awarded a Wellcome Trust Senior Clinical Fellowship for to support her work on the genetic basis of childhood eczema and atopic disease. This is a highly prestigious recognition – she is one of only two holders of a senior Clinical Fellowship from the Trust in Dundee.
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 £600 - £1.45m, which amount to a total of £6.7m (overhead awards in the region of £1.5m). 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.

Dr M A Cataluna (Electronic Engineering & Physics) £1.45m (£454K overhead) from EC FP7 Ideas/European Research Council for UPTIME - Real - TIME Probing of Ultrafast Phenomena (Starting Grant).

Dr ER Jefferson (Division of Population Health Sciences) £724.9K (£200k overhead) from EC Horizon 2020 - Health and Wellbeing for Omics-Based Strategies for Improved Diagnosis and Treatment of Endocrine Hypertension (ENSAT-HT) (Joint with Inserm, University of Torino, University of Padua, University of Glasgow, University of Birmingham, Radboud University Medical Centre, SleekIT Limited and Inserm Transfert).

Dr C D Sutherland (Division of Cardiovascular & Diabetes Medicine) £533k (£221k overhead) from Medical Research Council for Characterisation of the Role of NPAT in Metformin Regulation of Body Weight and Glycaemic Control: Moving GWAS Data to Biological Function.

Professor D R Alessi (MRC Protein Phosphorylation & Ubiquitylation Unit) £ 470k from Medical Research Council for Additional Capital Prioritisation Award 2014-15.

Professor B H Smith (Division of Population Health Sciences) £ 432k (£111.6k overhead) from EC Horizon 2020 - Health and Wellbeing for DOLORisk: Understanding Risk Factors and Determinants for Neuropathic Pain (Joint with Oxford University and others).

Professor G M Gadd (Molecular Microbiology) £368k (£162.5k) from Natural Environment Research Council for Tellurium and Selenium Cycling and Supply (Joint with Universities of Leicester and Aberdeen, Natural History Museum, British Geological Survey and JHI Aberdeen).

Dr P A Helmsley (Plant Sciences) £333.7K (£163.3k overhead) from Biotechnology and Biological Sciences Research Council for Receptor-Like Kinase Palmitoylation: A New Mode of Regulation.

Professor R J C Steele (Division of Cancer Research) £ 319.2k (97.1k overhead) from Chief Scientist Office for Stratifying Risk of Colorectal Disease in Order to Direct the Use of Colonoscopy in Symptomatic Patients (Stratified Medicine Call).

Professor J R Swedlow (Gene Regulation and Expression) £ 272k (£72.5k overhead) from EC Horizon 2020 - Societies for Capture Dissemination and Analysis of Multi-scale Cell Migration Data in Clinical and Biological Context (MULTIMOT) (Joint with Ten Other Partners).
APPENDIX 2

FINANCE & POLICY COMMITTEE
(Minute 74(1))

A meeting of the Committee was held on 7 May 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 Strategic Planning; and Clerk to Court.

Apologies: Director of Policy, Governance & Legal Affairs.

1. MINUTES

Resolved: to approve the minutes of the meeting of 23 March 2015.

2. MATTERS ARISING

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

[Secretary’s note: The University Secretary declared an interest in this item as a member of the DSV Board of Directors and left the meeting for the duration of this item].

The Director of Finance updated the Committee with regard to the independent advice sought in relation to the Dundee Student Villages. Members noted that the Director expected to provide an initial summary to the next meeting of the Committee.

Resolved: to note the update.

(2) Student Recruitment Update (Minute 5)

The Committee received an update from the Vice-Principal (Learning & Teaching) and the Head of Admissions & Student Recruitment which outlined trends in undergraduate and postgraduate recruitment for the current cycle. Members noted that a clearer picture would emerge in relation to undergraduate acceptances following the UCAS deadline for firm acceptances on 7 May 2015, and that a further update would be circulated to the Committee following that deadline, along with additional information requested in relation to the origin of applications by country of domicile. Through discussion members also expressed an interest in receiving comparative data on MD20 recruitment levels.

In introducing the report the Vice-Principal highlighted an increase in undergraduate MD40 and Rest of UK (RUK) acceptances, but a decline in overseas applications. In response to questions the Director of Strategic Planning confirmed that the reduction in offers in relation to uncontrolled ‘Home’ applications within the Colleges of Arts & Social Sciences and Art, Science & Engineering related to the University’s strategy to stay within the global cap on Home/EU numbers set by the Scottish Funding Council, and that measures had also been taken in relation to overseas offers to medical programmes to ensure that the five-year recruitment average remained within limits set.

Turning to postgraduate recruitment, members noted that it was early in the recruitment cycle, with the majority of applications normally being received between April and July. At the time of the meeting applications and offers were at similar levels to the same point in the previous cycle, however it was noted that the taught postgraduate Home/EU applications had increased while overseas applications had declined. Through discussion members noted the likely impact of changes implemented by UKVI in relation to exam/testing centres on overseas applications.

Following discussion the Vice-Principal proposed to arrange access for Committee members to ARMI, an interactive online resource in MyDundee which would enable further interrogation of the data by any member wishing to do so. Members also noted the stringent approach taken to the inclusion of recruitment projections within the draft budget presented elsewhere on the agenda.
Resolved: (i) to note that an updated report would be circulated following the acceptance deadline along with comparative data on MD20 recruitment; and
(ii) to ask officers to consider the best route by which the members may access additional recruitment data should they so wish.

3. MANAGEMENT ACCOUNTS – PERIOD 8

The Committee received the accounts for the Period to 31 March 2015 including reports on income and expenditure, capital expenditure, cash flow, balance sheets, treasury reports, and exchange rate trends. Members noted that the year-end forecast had improved slightly and that the year-end forecast (before VS/Redundancy and gain on disposals) was for a deficit of £2.18m, an improvement of £229k since period 7, and positive variance of £519k relative to the budget.

In response to questions the Director confirmed that recent reductions in cash and short term investments were expected to continue given Voluntary Severance (VS) awards and changes to research funding practice which had resulted in lower levels of research funding being received in advance. Members noted cash projections for the coming six months and highlighted the need for the Committee to be kept apprised of the position on a regular basis.

The Director also updated the Committee on discussions in relation to the renewal of the Barclays borrowing facility and members noted that once the three year plan was further developed discussions would begin in earnest with a number of banks.

Resolved: to note the accounts.

4. UPDATE ON TRANSFORMATION

The Director of Finance presented his regular report into the progress of key projects which had a financial impact on the University’s transformation and financial outlook. In doing so he updated the Committee on Voluntary Severance (VS) approvals and projected savings in relation to the draft budget presented.

The Director also highlighted the update provided in relation to the Universities Superannuation Scheme (USS). Members noted that the consultation process would end on 22 May 2015 and that the target date for implementation of proposed changes remained 1 April 2016. The Convener of the Pension Subgroup confirmed that the Group would meet again to consider the outcome of the consultation process after the meeting of the Finance & Policy Committee on 17 August 2015, and that a paper would be brought to a future meeting of the Finance & Policy Committee in due course considering the USS and UoDSS pension schemes.

Turning to the selection and implementation phase for the business transformation project members noted that work was currently focussed on the agreement of the most effective procurement strategy, but that a paper outlining the management of the Business Transformation project, including milestones, expected benefits, governance and tracking arrangements, and full risk register would be provided once available.

Resolved: to note the update.

5. DRAFT BUDGET 2015/16 AND CAPITAL PLAN

The Committee considered a draft provisional budget for 2015/16 including plans for capital expenditure and the three year projections for submission to the Scottish Funding Council (SFC). Members also noted that the main grant letter had been received from the SFC and that there was a reduction from the funding intimated in the indicative funding letter of around £600k, but that the reasoning for this reduction was subject to clarification by the SFC at the time of the meeting.

The Committee noted that work was on-going to further improve the budget forecast for 2015/16, with the aim of reducing the projected deficit from £3.8m to achieve a breakeven position or better. In introducing the paper, the Director of Finance highlighted significant movements between the expected result for 2014/15 and the projected budget for 2015/16 including the expected pay award, National Insurance costs, and operating expenses. He also highlighted a number of areas where potential savings were being pursued.

The Committee also received an outline of the projections and underlying assumptions for the annual three-year forecasts for submission to the SFC. Members noted that the forecast was currently for a deficit budget in each of the coming 3 years, with projected deficits rising to £8.45m in 2016/17 before improving to £6.17m in 2017/18, and members highlighted the need for transformation on a significant scale if a return to a surplus position was
to be achieved. The Committee went on to discuss the need to address the impact of unfunded or underfunded research on the University’s financial position, and members noted the future complexities and uncertainties surrounding unregulated student recruitment markets. In response to questions, the Director of Finance outlined a number of factors which had led to the deterioration of the financial position over the last 5 years including, but not limited to: below inflation funding uplift, decreases to caps on student numbers within the controlled subjects such as Dentistry, Medicine and Education, Research Excellence Grant (REG) allocation, National Insurance increases, public sector pay rises, and rising pension costs.

Returning to the budget projections for the coming three years, members highlighted the severity of the deficit projections outlined, and in light of the uncertainty of future funding, a deteriorating cash position and deficit budget projections, they recognised the need for transformative action to be taken and for academic and financial strengths to be aligned. Members were particularly mindful of the timescale for significant change and suggested that officers be asked to develop a range of models, including sensitivity analysis, for exploration by the Court at its Retreat in September.

In response to questions, the University Secretary confirmed that, following the appointment of the new Director of External Relations and Head of Marketing, a marketing strategy for the University was under development. Members also noted that the three year budget contained additional funding for the marketing team to utilise in helping achieve the income growth targets contained within the three year budget projections.

Turning to the savings achieved through Voluntary Severance (VS), the Committee indicated that a comparison of staffing numbers before and after the transformation projects would provide useful context for future discussions.

Resolved: (i) to note that the 2015/16 budget was subject to significant ongoing work and that a revised budget and three year plan would be circulated to the Committee for electronic approval one week prior to the circulation of papers to Court; and (ii) to suggest that the Court consider the need for substantive discussion of the University’s strategy and approach to financial sustainability at the Court Retreat including scenarios within which the Senior Management Team should develop future proposals.

6. CAMPUS SERVICES

The Director of Campus Services updated the Committee on a range of Estates & Buildings matters including: the on-going review of Campus Services structure, improvements to health and safety practice, progress in relation to a proposed land-swap with Dundee City Council, and the submission of applications to rationalise the estate through the demolition of a number of buildings on the main campus. In response to questions the Director confirmed that the proposed demolitions would generate savings, but that no capital disposals were currently expected.

The Committee also noted that energy costs from SMART meters would be included in management accounts from 2015/16. In response to questions the Director confirmed that energy costs at the Ninewells campus were part of a fixed agreement and therefore there was little opportunity for further savings in this respect.

Resolved: to note the update.

7. ANNUAL PROCUREMENT REPORT

The Committee considered the annual procurement report. In response to questions the Director of Finance confirmed that the overall spend on external purchases was ~£85m per annum, and that targets for cost reductions would be developed as part of the budget-setting process and the business transformation project – with new systems providing a particular opportunity for greater control and reporting on this aspect of cost.

Resolved: to note the report.

8. RESEARCH AND DEVELOPMENT EXPENDITURE CREDITS

The Director of Finance highlighted the potential for a one-off claim to Revenue & Customs in relation to research and development expenditure credits. Members noted that KPMG had been engaged to support the development of the claim which would cover the periods April 2013-July 2014 and August 2014-July 2015. The Director confirmed that these one-off claims were not currently reflected in the budget and that legislation might prevent the submission of future claims, but that the existing claims could amount to £2-3m and £1 - £2m respectively.
Resolved: to note the update.

9. THANKS

The Committee thanked Professor Rami Abboud and Mr Iain MacKinnon, who were attending their last meetings of the Committee having reached the end of their respective terms of office on the Court, for their contributions to the work of the Committee.
A meeting of the Committee was held on 11 May 2015.

Present: Mr EF Sanderson (Convenor), 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**

   Resolved: to approve the minutes of the meeting of 23 March 2015.

2. **MATTERS ARISING**

   (1) **HE Governance Consultation (Minute 2(2))**

   The Committee noted that the Principal had been invited to attend meetings organised by the Scottish Cabinet Secretary for Education and Life Long Learning in relation to the outcome of the Consultation. The Chair of Court had been invited to a separate event at which the Cabinet Secretary would be setting out her priorities.

   Resolved: to note the update.

   (2) **Changes to the Charter, Statutes and Ordinances as a result of Structural Change (Minute 5)**

   The Committee noted that the Senate had discussed draft proposals in relation to the changes required to Statute 10 (The Senatus) and Ordinance 18 (Election of Members of the Court and Senate) as a result of restructuring. Final proposed amendments to Statutes and Ordinances, including those relating to the composition of the Senate, would be considered by the Senate at its meeting on 27 May 2015.

   Resolved: to note the update.

3. **LAY COURT VACANCY**

   (1) **Process for considering applications and appointments to lay vacancies**

   The Committee considered a paper which outlined the process for considering applications along with the selection criteria and interview questions used previously. The University Court Skills Matrix was also provided for information and the Committee considered the skills and backgrounds desirable for new members, with particular interest being noted in applications from the voluntary sector. Members also considered that it would be valuable for an external lay member of the Audit Committee to be identified with a strong IT and Strategic Change experience and undertook to discuss with the Convener of the Audit Committee any applications which would be suitable for this role.

   Resolved: to approve the process outlined for considering applications.

   (2) **Applications**

   In respect of the lay vacancy arising on Court from 1 August 2015, the Committee noted that 36 applications had been received from eligible individuals, with one subsequently withdrawing. Members noted that the advertisement had been placed in the Sunday Times, Courier, Scotsman and Herald, as well as being circulated to members of the Court, staff, students, graduates and contacts within local authorities and the NHS for onward distribution. Members heard that the advertisement was also placed on a number of specialised websites including: Women on Boards, Non-executive Directors, Institute of Directors, Public Appointments Scotland, and the Dundee Chamber of Commerce. Anecdotally the Non-executive Directors website and email to graduates appeared to have elicited the largest number of applications. The
Committee expressed disappointment at the low number of applications received from women, despite the additional efforts made.

The Committee considered each of the 35 eligible applications in detail against the selection criteria, resulting in the identification of five candidates that the Committee felt should be interviewed. The Committee indicated a preference that the interviews be completed before the meeting of the Court on 8 June 2015 if possible and, noting difficulties with the availability of members of the Governance & Nominations Committee during this period, agreed that if necessary members of the Court who were not members of the Governance & Nominations Committee could be approached to serve on the appointing panel.

**Resolved:** to ask that interviews be scheduled before the meeting of the Court on 8 June 2015.

[Secretary’s note: The following panel composition was subsequently confirmed with interviews taking place on 3 June and 17 June: Mr Eric Sanderson (Chair), Ms Janice Aitken, Mr Kevin Burns (Independent Student Member on Court elect), and Mr Andrew Richmond. Given the timing of the interviews relative to meetings of the Court members approved the recommendation that the recommendation of the panel be considered by the Committee electronic circulation after the final interview, and that the Court be subsequently asked to approve the recommendation by electronic circulation].

4. MEMBERSHIP OF THE COURT AND ITS COMMITTEES

(1) Membership of the Court

The Committee received confirmation of Court membership for 2014/15, and noted that Ms Bernadette Malone, Ms Shirley Campbell, Mr Eric Sanderson and Mr David Ritchie would reach the end of their current terms of office during the academic year, with Ms Malone, Ms Campbell and Mr Ritchie being eligible for reappointment/re-election. The Committee also received annual reports on: the attendance of members of the Court during the academic year at meetings of the Court and its Committees, and statistics for elections to Court held during the 2014/15 academic year.

**Resolved:** to note the report

(2) Chancellor’s Assessor/Deputy Chairperson and Senior Independent Member of Court

Noting the retirement of Ms Christina Potter from the Court at the end of the academic year, the Committee also considered the appointment of a successor for her as the Chancellor’s Assessor and Senior Independent Member on Court. Changes to Statutes and Ordinances which would enable the replacement of the position of Chancellor’s Assessor on Court with the new position of Deputy Chairperson (who would also serve as the Senior Independent Member of Court) remained subject to approval by the Senate, ratification by the Court, and in the case of Statute 9 formal approval by the Privy Council. It was therefore proposed that the processes outlined within the new Ordinance 63 for the appointment of the Deputy Chairperson be taken into account in making the recommendation to Court for the appointment of a Chancellor’s Assessor, and that the person so appointed formally assume the role of Deputy Chairperson & Senior Independent Member of Court when approval allowed.

The Committee noted that members of Court had been invited to indicate their interest in the position and/or to provide suggestions in relation to the appointment, and the Convener provided the Committee with a summary of responses received. Through discussion, the Committee agreed that it would be preferable for the Deputy Chairperson to be an individual who had indicated that they were not likely to stand for the upcoming position of Chairperson of Court. Members also highlighted the importance of the role as the Senior Independent Member of Court, and in particular the need for members of the Court to feel that the individual could be approached on any matter of concern to members which they felt unable to raise with the Chairperson of the Court. After considering potential candidates for the role, the Committee recommended that Mr Jo Elliot be considered by the Court for the role of Chancellor’s Assessor/Deputy Chairperson of Court.

**Resolved:** to recommend to Court that Mr Jo Elliot be appointed as the Chancellor’s Assessor from 1 August 2015 in terms of Statute 9(1)(d), and subsequently as the Deputy Chairperson when Privy Council approval for changes to Statutes allows.
(3) **Convenership of Committees**

Turning to the Convenership of the Committees of the Court for 2015/16, and noting that Ms Shirley Campbell had indicated an interest in the Convenership of the Human Resources Committee following the retirement of Ms Christina Potter, from the Court, members recommended the following convenerships for 2015/16:

- Audit Committee: Mr Jo Elliot;
- Finance & Policy Committee and Endowments Sub-Committee: Mr Andrew Richmond;
- Governance & Nominations Committee: Mr Eric Sanderson;
- Human Resources Committee: Ms Shirley Campbell; and
- Remuneration Committee: Mr Ronnie Bowie.

**Resolved:** to recommend that Ms Shirley Campbell be appointed as the Convener of the Human Resources Committee and that the other Convenerships as outlined above be renewed for 2015/16.

(4) **Membership of Committees of Court**

The Committee considered the general membership of its Committees for the 2015/16 academic year. In doing so, the preferences communicated by individual members were noted and the Committee was careful to ensure an appropriate balance of skills and membership groups on Committees - as well as to balance the number of Committees on which any single member was serving. Following discussion the Committee indicated that it would not be supportive of including a student member on the Remuneration Committee membership at the present time, but agreed to keep this under review.

**Resolved:** to recommend to Court the memberships of its Committees for 2015/16 as set out in annex.

(5) **External Lay Membership of the Audit Committee**

Turning to the external lay membership of the Audit Committee, the Committee noted that Mr Ian Stewart would reach the end of his term of office on the Committee on 31 July 2015. The Convener told the Committee that the Convener of the Audit Committee had highlighted the desirability of having a member on the Committee with experience of IT/Change Management given the current restructuring and business transformation projects. Members also noted that Mr Stewart’s expertise lay within property management which was less critical to the work of the Committee at this time. Members therefore agreed that Mr Stewart’s membership of the Audit Committee should not be renewed, but that the thanks of the University for his contributions be noted.

**Resolved:** to recommend that candidates for external lay Audit Committee membership with an IT/organisational change background be sought and considered at a future meeting.

(6) **Vice-Principals**

In light of University restructuring and the creation of four corporate Vice-Principal roles, members discussed how best to ensure that the Court was adequately informed about strategic issues affecting the University and recommended that all four Vice-Principals be invited to be in attendance of the Court from the 2015/16 academic year.

**Resolved:** to recommend to the Court that the four new Vice-Principals within the new University Structure be invited to attend meetings of the Court from 2015/16.

5. **ACADEMIC COUNCIL**

The Committee discussed the engagement of the Court with the Academic Council – a body comprising all academic and academic-related staff and whose role was to discuss and declare an opinion on any matter whatsoever relating to the University. Members noted that the Academic Council met three times per annum, offering an opportunity for those staff groups to address questions and comments directly to the Principal and suggested that the Chair of Court attend one meeting per annum to build a greater understanding of the issues raised, and raise staff awareness of the Court and what it did.

**Resolved:** to note the recommendation that the Chairperson of Court attend at least one meeting per annum of the Academic Council.
6. CORPORATE GOVERNANCE

(1) Annual Review of the performance and effectiveness of the Chairman and the Court

[Secretary’s note: Members agreed that the Convener should remain during discussions].

The Committee considered the timing of the annual discussions on the performance and effectiveness of the Court and the Chair of Court. With regard to the review of the effectiveness and performance of the Court, members considered areas of focus and example questions used in previous reviews and recommended their use in the upcoming review.

Turning to the annual review of the performance and effectiveness of the Chair of Court members noted the established practice of discussing the performance of the Chair in a session at a full meeting of the Court chaired by the Chancellor’s Assessor in the absence of the Chair. Members also considered feedback from the 2014 review and recommended that the existing process be supplemented by the circulation of a questionnaire in advance of the meeting, with responses being used by the Chancellor’s Assessor to facilitate discussion at the meeting. A draft questionnaire was considered and members were asked to return comments to the Clerk to Court as soon as possible.

Resolved: (i) to agree that the review be scheduled early on the agenda of the meeting of Court on 8 June 2015;

(ii) to approve the focus areas and questions for the review of the performance and effectiveness of the Court and the Chair;

(iii) to approve the use of a questionnaire in advance of the review and send comments to the Clerk to Court by Friday 15 May; and

(iv) to approve the proposal that the Chancellor’s Assessor be asked to Chair the session relating to the review of the Chair of Court.

[Secretary’s note: The Chancellor’s Assessor subsequently agreed to Chair the session and indicated that she was happy to receive comments directly from members of the Court in addition to responses to the questionnaire].

(2) Meetings with Court Members

Members noted that the majority of biennial meetings between the Chair of Court and members of Court had been completed and that the Chair expected to complete his cycle of meetings by the end of the academic year. The Chair reiterated his commitment to meet with any member wishing to see him outwith this cycle of meetings.

Resolved: to note the update.

7. COURT INDUCTION

The Committee considered a paper which outlined proposals for the enhancement of Court induction and noted that the first such induction would be scheduled for new members over the summer. Members commented that the existing process had already been greatly enhanced over the last 5 years and indicated their support for the proposed approach. Following discussion, members suggested that the proposed induction could be further enhanced by the inclusion of a follow-up meeting 1 year after joining the Court, and agreed that a mentoring process for new members should be introduced.

Resolved: to note the proposal.
8. **30% CLUB**

The Committee noted that members of the Committee of Scottish Chairs (CSC) had been asked to consider membership of the 30% Club, an organisation committed to better gender balance at all levels of organisations, with the aim of achieving 30% female membership on FTSE-100 boards by the end of 2015. Given that membership would be on the basis of the Chair or Principal’s corporate role, members were asked to consider the appropriateness of pursuing membership of this organisation.

The Convener told the Committee that in relation to Higher Education the organisation related to: governing bodies; staff; students; and academic/university boards. Members also noted that the 30% target was below the minimum target set within the Court’s own statement on diversity.

**Resolved:** to recommend that the Chair and Principal become members of the 30% Club.

9. **MEETING ARRANGEMENTS**

The Committee considered a paper outlining proposals in relation to the support of communications with and between members of the Court, the setting of a quorum for all Committees of the Court, and the timing of meetings of the Court.

Members noted that newly procured ‘Box’ software offered a suitable IT platform for the sharing of documentation relating to the Court and its Committees with members, and that work had begun to develop the structure to enable its use for Court purposes. Members also noted information security, freedom of information and data protection considerations in relation to the use of personal email accounts for communication with and between members of the Court and agreed that, subject to the provision of training on the use of the University’s email system, all such communications should be conducted via University of Dundee email accounts. In response to questions, it was confirmed that this approach would also enable the sharing of a central mailing-list for members to use to support communications as necessary.

With regard to setting a quorum for the committees of Court, members noted the existing requirements in relation to the Court and the Audit Committee and supported a proposal that for the Committees of Court (with the exception of the Remuneration Committee) a minimum attendance of 50% of the total membership be considered a quorum, of which there should be at least two lay and one elected member present (excluding the Audit Committee where the membership is entirely lay). For the Remuneration Committee, it agreed that the quorum should be three members.

Members noted that the arrangements for the timing of meetings of the Court were in-line with common practice across the sector, but that officers would continue to review the benefits of alternative arrangements.

**Resolved:**

(i) to recommend to the Court that University email accounts be used for communications with and between members; and

(ii) to recommend to the Court that a quorum for meetings of the Committees of the Court be adopted as outlined above.

10. **GRADUATES’ ASSOCIATION MEMBER OF COURT**

The Committee noted that Ms Jane Marshall had been appointed under the new regulations as a Graduates’ Association member of the Court for the period 1 August 2015 – 31 July 2019 in the first instance.

**Resolved:** to note the appointment of Ms Jane Marshall as the Graduates’ Association member of Court in accordance with Statute 9(1)(f).

11. **CUC CODE OF GOVERNANCE**

The Director of Policy, Governance & Legal Affairs introduced a paper which set out the main focus areas of the UK Code of Governance published by the Committee of University Chairs (CUC). The paper also outlined the degree to which the University met the expectations of the UK Code and highlighted a number of actions which the University would need to take to ensure compliance. The Director highlighted the requirement of Scottish institutions to comply with the Scottish Code of Good HE Governance, and members noted that the primacy of the Scottish Code for Scottish institutions was recognised in the introduction to the UK Code. It was therefore proposed that the UK Code be considered as subsidiary, and the Director confirmed that further guidance on the operation and implementation of the UK Code would be reviewed by officers when it was made available by the CUC.
Resolved: to note the report and ask that any comments on the UK Code and proposed actions be sent to the Director of Policy, Governance & Legal Affairs.

12. STATUTE 16

The Committee noted that clarifications had been provided to a member enquiring as to the operation of Statute 16 and that the member would discuss any further aspects with officers as required.

Resolved: to note the update.

13. CHAIR OF COURT

Noting that the term of office of the current Chair of Court would end on 31 July 2016, and having considered: timeframes in relation to existing practice; agreed changes to practice which had been approved to ensure compliance with the Scottish Code of Good HE Governance and the associated timeframes with Privy Council approval which would be required for this to be implemented; and the likelihood of legislation which could impact on the required process, members suggested that a proposal for the identification of a successor for the current Chair of Court be brought to the first meeting of the Committee in 2015/16. In particular, members noted that the position would require external advertisement, and that should an external candidate be identified for the role it would be desirable for them to attend at least two Court meetings in a shadow capacity before assuming the role.

Resolved: to note that a paper would be prepared for the meeting of the Committee on 5 October 2015.

14. DATE OF NEXT MEETING

Resolved: to note that the next meeting would be held on 5 October 2015.
Committee Membership 2015/16

The list shows in black the current membership of Court and other committees. Suggestions for movements between committees are indicated with members proposed to leave committees shown in red with a strike through the name, and proposed additions to committees are shown in red.

1. **Audit Committee (AC)**

   **Members**
   - Mr Jo Elliot (Convener)
   - Ms Sandra Morrison-Low
   - Ms Bernadette Malone
   - Mr Richard Bint
   - Dr William Boyd

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

2. **Finance & Policy Committee (F&PC)**

   **Members**
   - Mr Andrew Richmond (Convener)
   - Professor Mairi Scott
   - Professor Sue Black
   - Mr Ronald Bowie
   - Mr Eric Sanderson
   - Mr Iain Howie
   - Ms Jane Marshall
   - President of the Students' Association

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

3. **Endowments Sub-Committee**

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

4. **Governance & Nominations Committee (G&NC)**

   **Members**
   - Mr Eric Sanderson (Convener)
   - Principal
   - Jane Marshall

   **Normally in attendance**
   - Professor Mairi Scott
   - Mr Richard Bint
   - Ms Bernadette Malone
   - Ms Janice Aitken
   - Kevin Burns

   **Officers normally in attendance**
   - University Secretary
   - Director of Policy, Governance & Legal Affairs
   - Clerk to Court (Secretary)

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

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

   **Normally in attendance**
   - University Secretary
   - Director of Human Resources
   - Deputy Director of Human Resources (Secretary)
   - Other officers at the discretion of the Director of Human Resources

6. **Internationalisation**

   - Mr Denis Taylor

7. **Remuneration Committee (RemC)**

   **Members**
   - Mr Ronald Bowie (Convener)
   - Ms Shirley Campbell
   - Ms Bernadette Malone
   - Mr Eric Sanderson

   **Officers normally in attendance**
   - Principal (as required)
   - University Secretary (as required)
   - Director of Human Resources (as required)
8. Welfare and Ethical Use of Animals Committee
   Dr William Boyd

9. TAHSceN (Tayside Academic Health Science Network)
   Arrangements to be discussed given the establishment of the Academic Health Partnership.

10. Pensions Sub-Group
    Mr Eric Sanderson
    Mr Ronnie Bowie
    Mr Jo Elliot
    Mr Andrew Richmond
    Ms Jane Marshall
Composition of the Senate and Changes to Statutes and Ordinances

A. Composition of Senate

1. As a result of restructuring, the current composition of Senate requires amendment, since it is currently based along College lines. Workstream 4 (Governance & Management) considered this issue in detail and made proposals to the Senate for reform of its membership which were considered in early form at the Senate meeting on 25 March 2015 and which in revised form were approved at the meeting on 27 May 2015.

2. Annex a sets out the proposals approved by the Senate and which are based on a nine-school structure. Court Members will note that the size of the Senate has reduced from 82 members to 50, but that in doing so the balance between non-elected and elected members has been retained: elected members will be in the majority. There was a robust debate of these proposals at the meeting of the Senate on 27 May, and they were approved by 20 votes to 8, subject to a review of the operation of the Senate under these changes within one year of introduction. Such a review would examine how the effectiveness of the Senate had been affected by the reduction in size.

3. Annex b sets out the changes that will require to be made to Statute 10 (The Senatus) and Ordinance 18 (Election of Members of the Court and the Senatus) in order to give effect to these proposals.

4. The Court is invited to consider the proposals, noting the approval of the Senate, and if so minded approve the changes to Statute 10 and Ordinance 18 (as set out in annex b). If given, Court’s approval of Statute 10 is subject to the approval and to any further amendments of the Privy Council.

5. Changes to Statutes and Ordinances require approval at two consecutive meetings of the Court, so such approval would require to be ratified at a subsequent meeting of the Court to be effective.

B. Ordinances relating to the University Structure

6. Ordinances 56 (The Colleges) and 57 (Schools of Study) regulate the operation of the governance structures within the current University structure. Given the new structure, Ordinance 56 has become obsolete and it is required that it be revoked.

7. In terms of Ordinance 57, it is proposed that the existing text be replaced with a new Ordinance. The Ordinance sets out the role of the Dean, of the School Executive Group and the composition and operation of the School Board.

8. The Senate considered these changes at its meeting on 27 May 2015 provided suggestions for improvement and approved (annex c), subject to the approval of Court.

9. Notwithstanding paragraph 5 above, under article 16.2 of the Charter, there is a provision that amendments to the Ordinances alone, when passed by a majority of not less than three-fourths, can be approved at a single meeting of the Court for matters considered urgent. Given that Court agreed that the new University structure should take place with effect from 1 August 2015, Court is invited to approve, if so minded, the proposed text of a new Ordinance 57 and the revocation of Ordinance 56 under article 16.2 of the Charter, so that the changes take effect from 1 August 2015.

C. Other Minor Changes

10. Annex d sets out a series of minor changes to the following Ordinances: Ordinance 39 (Degrees, Diplomas and Certificates), Ordinance 40 (Student Discipline), Ordinance 54 (Fitness to Practise), and Ordinance 64 (Students’ Assessor).

11. These changes amount to replacing ‘College’ with ‘School’, ‘Head of College’ with ‘Dean’, or deleting ‘Deputy Principal’. These are considered to be relatively straightforward and the Senate, at its meeting on 27 May 2015, approved these changes for subsequent approval by the Court.
12. As with Ordinances 56 and 57 above, Court is invited to consider approval of these changes under Article 16.2 of the Charter at a single meeting, so that they may take effect from 1 August 2015.

D. Summary

13. The Court is therefore invited to consider and, if so minded, approve:

a) Changes to Statute 10 and Ordinance 18 in respect of proposals to alter the composition of the Senate (Annexes a and b), subject to ratification at a subsequent meeting of the Court and to the approval, and any additional amendments required, by the Privy Council;

b) Revocation of Ordinance 56 (The Colleges) using the provision set out in article 16.2 of the Charter to approve the change in one meeting subject to a majority of at least three-fourths;

c) A new Ordinance 57 (The Schools) setting out the arrangements for the overarching operation of the Schools (annex c) and using the provision set out in article 16.2 of the Charter to approve the change in one meeting subject to a majority of at least three-fourths; and

d) A series of minor changes to Ordinances 39, 40, 54 and 64 (annex d), likewise using the provision set out in article 16.2 of the Charter to approve the change in one meeting subject to a majority of at least three-fourths.
Revised Composition of Senate

Normal Composition

The table below sets out the proposed composition of Senate in a nine School structure.

<table>
<thead>
<tr>
<th>Proposed New composition</th>
<th>Old Composition (as at 1/4/15)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal and Convener</td>
<td>1</td>
</tr>
<tr>
<td>Vice- Principals</td>
<td>4</td>
</tr>
<tr>
<td>Heads of School</td>
<td>9</td>
</tr>
<tr>
<td>Sub-total SMT &amp; Heads of School</td>
<td>14</td>
</tr>
<tr>
<td>3 members elected from each School</td>
<td>27</td>
</tr>
<tr>
<td>Academic Council Members</td>
<td>2</td>
</tr>
<tr>
<td>Sub-total elected</td>
<td>29</td>
</tr>
<tr>
<td>Students' Assessors</td>
<td>2</td>
</tr>
<tr>
<td>Students' Association Sabbatics</td>
<td>5</td>
</tr>
<tr>
<td>Sub-Total Students/Students' Assessors</td>
<td>7</td>
</tr>
<tr>
<td>Total Membership</td>
<td>50</td>
</tr>
</tbody>
</table>

Additional Co-opted Members

The Senate shall have the authority to decide to co-opt additional academic members where such a person carries out a leadership function for a major area of University business relevant to the work of the Senate, for example this might be convenership of a Senate Committee or Sub-Committee or ‘champion’ for a major research or teaching theme.

In Attendance

It is proposed that the following officers should always attend meetings of the Senate:

- University Secretary
- Librarian
- Director of Quality Assurance
- Clerk to Senate

Other officers may be invited to attend with the approval of the Chair.

Interim Arrangements

In moving to a system based on Schools it is suggested these principles will need to be followed:

- All existing elected positions elected along Colleges lines will cease and new positions will be elected on the basis of Schools;
- A third of the elected positions from Schools will be for a term of two years, a third for three years and a further third for a term of four years (the distribution of terms will be decided by lot), all will be eligible for re-election to a second term of four years; thereafter the normal period of office will be four years for all elected members;
- Any existing members of Senate who are also Senate Assessors on Court who stand for re-election to Senate but who are not elected, shall nevertheless retain their seat on Senate for the remainder of their term of office on Court and shall then demit office on both bodies;
- Sitting Academic Council members will remain members of the Senate throughout the changes.
- The new arrangements are proposed to be in place for the first Senate of the new session, i.e. 14 October 2015.

WS4, 1/4/15

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1 Includes Teaching and Research Deans for Medicine, and excludes Deans who are Deputy Principals.
2 Includes two vacancies.
10 The Senatus

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

(a) The Principal;
(b) The Vice-Principal(s), if any;
(c) The Deans of the Schools;
(d) Two members of Academic Council elected by the Council;
(e) The President and all student sabbatical officers of the Students’ Association;
(f) Such other student representatives as the Court, on the recommendation of the Senatus, may from time to time determine.
(g) The Students’ Assessors, if any, who shall be appointed in accordance with such procedures, and who shall hold office for such period and on such terms, as may be prescribed by Ordinance;
(h) A minimum number of twenty-seven Professors, Readers, Senior Lecturers and Lecturers who shall be elected in accordance with such procedures, and who shall hold office for such period and on such conditions, as may be prescribed by Ordinance.
Provided always that not less than one third of the total number shall be Professors and that not less than one third of the total number shall be Readers, Senior Lecturers and Lecturers.
(i) Such other Professors, Readers, Senior Lecturers, Lecturers and officers of the University as the Court, on the recommendation of the Senatus, may from time to time determine and who shall hold office for such period and on such conditions as the Court shall decide.

(2) (a) In the absence of the Principal, a Vice-Principal, if any, shall preside at any meeting of the Senatus, and in the absence of the Principal and Vice-Principal(s), if any, a Dean who is most senior in order of precedence among the Deans present shall preside.

(b) The person presiding at any meeting of the Senatus shall have a deliberative vote and also a casting vote in case of equality.

(3) Not less than one-third of the total actual membership of the Senatus 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 as prescribed in the Regulations.
Proposed Amendment to Ordinance 18

Ordinance 18 - Election of Members of the Court and the Senatus

1 The election of the members of the Court elected by the Senatus (Statute 9(1)(g)) shall take place in the second semester to enable, whenever possible, an announcement of the successful candidates to be made at the latest by the last Court meeting of the academic year in which an election falls due. Their periods of office shall be four years from the first day of August immediately following their election. They shall be eligible for re-election, but shall not hold office continuously for a longer period than eight years. A member of the Court elected by the Senatus who ceases for any reason to be a member of the Senatus shall simultaneously cease to be a member of the Court.

2 The election of the members of the Court elected by the Academic Council (Statute 9(1)(i)) and the members of the Senatus elected by the Academic Council (Statute 10(1)(d)) and by the Schools (Statute 10(1)(h)) shall take place in the second semester in accordance with the Regulations made by the Senatus after consultation with the Academic Council. The period of office of those elected shall be four years from the first day of August immediately following their election. They shall be eligible for re-election but the Members of Court and the Senatus elected by the Academic Council shall not hold office continuously for a longer period than eight years.

3 In elections to Court from either the Academic Council or the Senatus, candidates may not serve for more than eight years continuously in either category or in a combination of both.

4 If for any reason the elections described in sections 1 and 2 cannot be held in the second semester or, having been held, are declared to be invalid, then elections shall take place in the next semester as soon as possible. In the case of the members elected by the Academic Council and by the Schools the elections shall be as far as possible in accordance with the procedure prescribed in Section 2. The periods of office of the members previously elected and due to demit office shall be extended until the deferred elections have taken place. The periods of office of members elected in deferred elections shall be four years from the first day of August immediately following the second semester in which the elections should have taken place.

5 Elections to casual vacancies among members of the Court and the Senatus elected in accordance with the preceding Sections shall take place within a semester as soon as possible after the date when the vacancy occurs. In the case of the members elected by the Academic Council and by the Schools the election shall be in accordance with the procedure prescribed in Section 2.

6 (1) In elections of members of the Court and of the members of the Senatus elected by the Academic Council the Secretary shall act as Returning Officer and shall be responsible for keeping the Electoral Roll. The Secretary shall fix the dates of the elections and shall determine the manner of election, provided that in doing so all members of staff eligible to vote are given the opportunity to vote in accordance with the provisions of this Ordinance. If for any reason the Secretary is unable to act, the Principal shall appoint a substitute.

   (2) In elections by Schools to membership of the Senatus, the School Manager shall act as Returning Officer and shall be responsible for keeping the Electoral Roll. The School Manager shall fix the dates of the elections and shall determine the manner of election, provided that in doing so all members of staff eligible to vote are given the opportunity to vote in accordance with the provisions of this Ordinance. If for any reason the School Manager is unable to act, the Dean shall appoint a substitute.

7 Each School shall elect three members of staff from among its professors, readers, senior lecturers and lecturers to serve as members of the Senatus. At least one, but no more than two, must be a professor. For each election, candidate eligibility among academic staff groups will be determined on the basis of the balance of existing School members on the Senatus. For example, where an election falls due for one School member on the Senatus and the two sitting members are professors, eligibility will be restricted to readers, senior lecturers and lecturers, and vice versa.
Ordinance 57 – The Schools

1 From the date on which this Ordinance shall come into operation, there shall be nine Schools as follows:
   (a) The School of Art & Design
   (b) The School of Dentistry
   (c) The School of Education & Social Work
   (d) The School of Humanities
   (e) The School of Life Sciences
   (f) The School of Medicine
   (g) The School of Nursing & Health Sciences
   (h) The School of Science & Engineering
   (i) The School of Social Sciences

2 The Schools shall comprise such academic disciplines as shall be prescribed by the Senatus.

3.1 There shall be a Dean of each School who shall be appointed by the Court, in accordance with a process approved by the Court. Each Dean shall exercise general oversight and executive management of her or his School and shall have such powers and duties, shall be appointed under such terms and conditions and shall receive such remuneration as the Court may determine.

3.2 To support her or him in exercising these responsibilities, within each School there shall be constituted a School Executive Group, the composition of which shall be approved by the University Executive Group.

4 The Dean shall, when present, preside over meetings of the School Executive Group and the School Board.

5.1 For each School there shall be constituted a School Board as follows:
   (a) The Dean, who shall be the convener;
   (b) The members of the School Executive Group;
   (c) One senior member of academic staff from another School, as determined by the University Executive Group on the recommendation of the Dean;
   (d) The School President and any Vice-Presidents;
   (e) An elected officer of the executive of the Students’ Association, as determined by the President of the Students’ Association in consultation with the Dean;
   (f) All professors, readers, senior lecturers and lecturers of the School;
   (g) A representative from each of the remaining academic and non-academic staff groups within the School;
   (h) Other persons at the invitation of the Dean and with the approval of the School Board.

5.2 Each School Board shall have the following functions:
   (a) To advise the Dean and the School Executive Group on all matters relating to the organisation of education and research in the subjects of the School including curricula and examinations;
   (b) To be responsible for the oversight of such operational aspects of student admissions, student administration, the management of learning and teaching, quality assurance and research as may be delegated to it by the Senatus;
   (c) To discuss any matters related to the School and any matter referred to it by the Senatus, and to convey its views and recommendations thereon to the Senatus;
   (d) Such other functions as the Senatus may authorise and prescribe.

6 Each Dean shall ensure that there are opportunities for all members of the School to discuss, advise and express an opinion on matters of relevance to the School.
Amendments to Ordinances 39, 40, 54, 64

Ordinance 39 - Degrees, Diplomas and Certificates

[...]

2 The University may confer diplomas or certificates in such subjects as are approved from time to time by the Senatus Academicus and the University Court.

3 The University Court shall have power to make Regulations on the recommendation of the Senatus Academicus and with the advice of the appropriate College School Board prescribing the entrance qualifications, the courses of instruction and the conditions of entry to these courses, the degree, diploma and certificate examinations, the extent of the evidence required of candidates' academic achievement, the conditions under which candidates may be exempted from attendance at any course of instruction or from examination and all other matters relating to any degree, diploma or certificate which may be conferred by the University under this Ordinance.

4 (1) The Examiners shall be such of the Professors, Readers, Senior Lecturers, Lecturers and Teaching Fellows (approved for this purpose by the relevant Head of College Dean) giving instruction in subjects qualifying for the prescribed examinations for any degree, diploma or certificate as the appropriate College School Board shall from time to time determine and such External Examiners, not being members of the academic staff of the University, as may be appointed by the University Court.

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

   (3) A former member of staff shall not normally be eligible for appointment as an external examiner either before the expiry of three five years from the date of demitting office or after having ceased to hold an appointment in another University or equivalent institution.

5 A candidate who has satisfied all the conditions prescribed by this Ordinance and by the relevant Regulations made thereunder shall, after payment of the fees required, be entitled to receive the degree, diploma or certificate for which he is a candidate, with a statement of the subjects in which he has passed and, in the case of an honours degree, the class of honours obtained:

Provided that the Senatus Academicus shall have power at its discretion to refuse to authorise the granting of any degree, diploma or certificate to any person, otherwise qualified, who is at the time in debt to the University or to the Students' Association in respect of a fine or other penalty imposed under the Association's Disciplinary Bye-Laws.

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

[...]

Ordinance 40 – Student Discipline

Explanatory Note:

Being a student confers many rights and privileges. Amongst these, students are accorded a great deal of freedom, which arises from membership of an academic, residential and social campus community in which teaching, learning and research, and also tolerance and equality of opportunity, are of the utmost importance. This community can only function if the rights of each individual are carefully balanced against those of other individuals, and where others' rights to study, to respect for property, home, family etc are respected.

Where this principle is transgressed, there is a liability to disciplinary proceedings in order to protect these other interests. In taking disciplinary action, the University may consider matters such as legal requirements, the protection of national security in a democratic society; public safety; the prevention of disorder or crime; the protection of health or morals, and the protection of the rights and freedoms of others. The University's disciplinary procedures seek to deal with student discipline clearly, promptly, fairly, in compliance with natural justice, and with the provision of Hearings where specified under Ordinance 40.
Authorised Officers include the Principal, Vice-Principals, Deans, Director of Student Operations or Nominee, Wardens, Librarian, Director of Information Services, and the University Security Manager.

Jurisdiction

1 (1) All students of the University are subject to the disciplinary jurisdiction of the Senatus Academicus in respect of their conduct both on and off University property. The authority of the Senatus in disciplinary matters shall normally be exercised by the Principal, acting on its behalf. In addition, full disciplinary powers are also permanently delegated by the Principal to the Vice-Principal(s) and Deputy Principal(s).
(2) This Ordinance applies to former students of the University under paragraph 6(6) below.
(3) In general, Authorised Officers where relevant should consider the promotion of good race relations and racial harmony, and the University's policies on disability, gender, race and other equal opportunities issues.

Authorised Officers

2 (1) The Principal has also delegated full disciplinary authority to all Vice- Principals, Deputies, and equivalents.
(2) The following officers may also exercise disciplinary powers, for which they shall be accountable to the Principal and/or to the Vice-Principal(s):
- University Secretary
- Director of Policy, Governance & Legal Affairs
- Director of Legal Services & University Solicitor
- Deans and Heads of Divisions, Departments, Units and Schools
- Associate teaching Deans of Learning & Teaching (in respect of misconduct by students in their academic areas)
- Director of Student Operations or nominees (in respect of misconduct in University Residences)
- University Security Manager
- The Librarian or Deputy Librarian or Medical Librarian (in respect of breaches of the Library Regulations)
- The Director of Information Services (in respect of breaches of the Regulations for the Use of Computing Facilities)
- The President of the Dundee University Students’ Association (DUSA).
(3) The Principal and all others mentioned above exercising disciplinary powers under sub-sections (1) and (2) shall hereinafter be referred to as ‘Authorised Officers’.
(4) The jurisdiction of all Authorised Officers includes all University premises/precincts and any other place where any alleged infringement of discipline regulations takes place.
(5) Where misconduct leading to proceedings under this Ordinance does not relate to the area of responsibility of any of the Authorised Officers listed under sub-section (2), or, though affecting the University as a whole, does not merit the attention of the Principal or other senior officer of the University, the Principal may appoint an appropriate ad hoc Authorised Officer.
(6) Any Authorised Officers are empowered to draw up and implement additional or supplementary disciplinary regulations in relation to their area of responsibility where appropriate, subject to consultation with the Vice- or Deputy-Principal concerned, including, for example, penalty points schemes applicable in any or all University residences, flats, halls or any other University accommodation.
(7) All Authorised Officers must comply with any disciplinary guidelines issued, and must report disciplinary action taken by them to the Vice- or Deputy-Principal(s) concerned.
(8) In the event of any issue involving disability, race or any other equal opportunities issue arises, any Authorised Officer has a discretion to adjourn proceedings to seek a report from any University or external adviser and/or to consider such a report or any related submission by any person, and to consider promotion of good race relations and racial harmony. This may be at any stage in any disciplinary matter, but is at the sole discretion of the Authorised Officer(s) concerned.

Misconduct

[...]

June 2015
Penalties

Disciplinary sanctions applied should generally be proportionate to the misconduct involved. These may be imposed by the Principal, who has permanently delegated powers under Statute 18 and this Ordinance to the Vice-Principal(s), Deputy Principal(s), and to all other Authorised Officer(s) to apply all available disciplinary sanctions, whether acting alone or jointly with any persons co-opted to act with an Authorised Officer. A referral may be made to a more senior Authorised Officer for consideration and, if appropriate, application of any sanction. The delegated power to the DUSA President to apply any penalty only applies where he/she is acting as part of a Disciplinary Panel and does not extend to a power to act alone.

Ordinance 54 – Fitness to Practise

Any School may develop criteria, committee(s), regulations and procedures in relation to Fitness to Practise for the professions, which shall be subject to the approval of the relevant College Board and the Senatus prior to implementation.

Ordinance 64 – Students’ Assessor

(An Ordinance made in terms of Statute 10(1)(gii))

On the recommendation of the Senatus and following consultation with the Students’ Association, the Court shall appoint at least one but no more than two Students’ Assessors, who shall become members of the Senatus. Students’ Assessors shall be appointed for a period of three years, and shall be eligible for re-appointment, but shall not normally serve for more than six years. Academic staff of the University shall be eligible for appointment as Students’ Assessor. It shall be the expectation of the appointment that it is not held by a Vice-Principal, a Dean, or a member of staff holding an equivalent or similar appointment, nor by a Head of College.

The responsibilities of the appointment shall be as determined from time to time by the Senatus in discussion with the Students’ Association. They shall, however, be focused on ensuring student cases are dealt with in a manner which conforms to due process and shall normally include the following:

1 Providing advice to students on framing appeals under the postgraduate and undergraduate appeals procedures;
2 Providing advice to students on framing appeals under the termination of studies procedures;
3 Membership of the Senate Termination of Studies (Appeals) Committee;
4 Involvement in disciplinary or academic dishonesty hearings;
5 Involvement in postgraduate and undergraduate appeals hearings;
6 Providing advice as necessary to students with complaints about their treatment by academic departments or individual members of staff;
7 Liaising with relevant University officers on the treatment of individual cases.
APPENDIX 5
AUDIT COMMITTEE
(Minute 77)

A meeting of the Committee was held on 20 May 2015.

Present: Mr J Elliot (Convener), Mr R Bint, Dr WGC Boyd, Mr I Stewart.

In Attendance: Mr KA Richmond; University Secretary; Director of Campus Services (Minute 7(2)); Director of Finance; Director of Policy, Governance & Legal Affairs; Mr C Brown (Scott-Moncrieff); Mr D Eardley (Scott-Moncrieff); Ms L Paterson (PricewaterhouseCoopers (PwC)); Ms K McFarland (Scott-Moncrieff); and Clerk to Court.

Apologies: Ms B Malone and Ms SS Morrison-Low.

Noting that Mr Ian Stewart would reach the end of his term of office on 31 July 2015, and was therefore attending his last meeting as an external lay member of the Committee, members thanked him for his contributions and commitment to its work over the last four years and wished him well in the future.

1. MINUTES

Resolved: to approve the minutes of the meeting of 3 March 2015.

2. MATTERS ARISING

(1) Provision of Non-Audit Services (Minute 7(1))

The Committee reviewed proposed updates to its remit and terms of reference which had been designed to include a process for the oversight of the provision of non-audit services by the external auditors. Members noted that the proposed changes were based on best practice as outlined in the Committee of University Chairs (CUC) Handbook for Members of Audit Committees in HE Institutions. Members also suggested that the provision of non-audit services be a standing item on the agenda for future meetings to facilitate reporting.

Resolved: to recommend the approval of the revised remit and terms of reference (annex) subject to minor amendment.

(2) Business Transformation (Minute 7(2))

The Committee noted that the project was currently focussed on the Enterprise Resource Planning (ERP) procurement phase, and that a paper would be brought to a future meeting of the Committee outlining the objectives, milestones and risks in relation to the project. In response to questions relating to the project structure and oversight the University Secretary outlined proposals for governance and oversight of the project including interactions between the project manager, executive project team, project board, Senior Management Team, and the Court. Members noted that a paper outlining the governance and reporting structure was being prepared and would be brought to the June meeting of the Court if possible. Members also highlighted the importance of clear risk assessment and controls in avoiding overruns in estimated costs and/or timeframes.

Resolved: to note the update and await future papers.

3. CONVENER’S REPORT

Members noted that the Convener had, as usual, spoken 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.
4. INTERNAL AUDITORS

(1) Student Experience - Retention

The Auditor presented the report of their review of Student Experience – Retention. In doing so the Auditor indicated that the University’s approach to addressing retention was good with a clear process, action plan, reporting structure and governance. The Committee noted that the two recommendations made (one low, one moderate risk) related to School representation on the Retention & Progression Committee after restructuring and the frequency of monitoring reporting respectively, and had been accepted by management.

Resolved: to note the report.

(2) International Partnerships

The Auditor introduced the report of their review of International Partnership Working – International Collaborations. The Auditors made five recommendations, being graded as one high, three moderate and two low risk, which had all been accepted by management. The Auditor told the Committee that they had concluded that processes over international collaborations were evolving, but needed further refinement and embedding throughout the University. He went on to highlight that management was aware that controls needed to be strengthened and had taken steps toward addressing the improvement of controls through measures including: the launch of an international collaborations toolkit, the creation of a Collaborative and Transnational Education Committee (CTEC), the recent appointment of a Vice-Principal (International), and plans to create an Educational Partnerships Development Unit within the Directorate of Policy, Governance & Legal Affairs.

The Committee noted that the recommendation graded as high risk related to monitoring and reporting which was currently articulated at a low-level and not systematic. In particular, the Committee noted the risk associated with reliance being placed upon individuals’ actions and integrity, and that management was developing procedures and templates which would mitigate risks in this respect through greater corporate oversight. Members also noted that the creation, and appropriate staffing of the Educational Partnerships Development Unit, and introduction of ‘gatekeeper’ roles would facilitate strategic management of partnership monitoring and reporting, and the Director of Policy, Governance & Legal Affairs undertook to provide a paper to the next meeting of the Committee outlining the approach of the unit.

Resolved: to note the report and await an update from the Director of Policy, Governance & Legal Affairs at the next meeting of the Committee on 22 September 2015.

(3) Dundee University Students’ Association (DUSA)

The Auditor introduced the report into the annual review of DUSA. The Committee noted that the review had focussed on the partnership agreements which govern the relationship between the University and DUSA, in particular the Memorandum of Understanding (MoU) and Student Partnership Agreement (SPA).

The Auditor told the Committee that they had concluded that the University and DUSA had a collaborative relationship supporting effective and efficient agreement of partnership documents and their implementation. Members noted that management had agreed to both recommendations (one moderate and one low risk) which related to ensuring that SPA deliverables were SMART wherever possible, and the recording of agreed actions from meetings respectively.

Noting that recent reports had highlighted the strength of operational controls within DUSA, the Committee suggested that the internal audit of DUSA could be carried out on a biennial rather than annual basis.

Resolved: to note the report.

(4) Status Update

The Committee noted progress in relation to audit reviews scheduled within the 2014/15 annual internal audit plan and was satisfied that the reviews were on track.
Draft Internal Audit Plan 2015/16

The Auditor provided the Committee with early sight of the provisional internal audit plan for the 2015/16 academic year which was based upon the three-year internal audit strategy from 2014/15 to 2016/17, but which acknowledged discussions and matters arising during the 2014/15 academic year, and sectoral changes.

Members considered a number of areas within the plan which could be brought forward to the 2015/16 academic year from 2016/17, and new areas where internal audit work could add value and proposed a number of revisions to the draft plan. In particular, members highlighted the importance of reviewing project management and process methodology in relation to the Business Transformation project, University restructuring, and the implementation of Professional Services review proposals. The Committee also proposed that the review of research contracts be brought forward, and suggested that the provision of time for the proposed student recruitment review be increased to reflect the importance of this area to the University.

The Committee discussed the role of the internal auditors in validating process and procedures for voluntary severance payments in relation to the sign-off of the annual accounts and the internal auditor undertook to discuss the matter further with the University Secretary.

Resolved: to note that the internal audit plan would be refined and brought to the next meeting of the Committee on 22 September 2015 for approval.

5. EXTERNAL AUDIT PLAN FOR YEAR ENDING 31 JULY 2015

The Committee received a paper from the University’s external auditor outlining the approach to be taken in carrying out the audit for the year ending 31 July 2015. In it the auditors set out the scope, fee, and materiality thresholds for the audit. The auditors also formally confirmed their independence as external auditors.

The Committee discussed the areas highlighted by the auditors as significant or elevated risks, and noted the heightened risk in relation to the University’s going concern assessment given the tightening financial environment for Scottish universities. Members noted that Dundee’s risk score in this area was higher than for many other Universities, but that such risks were increasing elsewhere - it perhaps being the case that the University was simply experiencing financial challenges slightly ahead of many others.

The Committee noted that as part of the audit it would be asked to provide its views on fraud and the auditor drew the Committee’s attention to the specific questions asked by the external auditor within the external audit plan.

Resolved: to endorse the plan for approval.

6. EFFICIENT GOVERNMENT RETURN

The Committee received a copy of the University’s submission to the Scottish Funding Council (SFC) as part of the efficient government initiative. The Committee noted the report had been prepared in accordance with the savings measured definitions contained within the guidance from the Scottish Government. The Director of Finance told the Committee that the return was very slightly short of the 3% target set by the SFC for the first time, but that he expected the University to meet the target in future returns.

Resolved: to endorse the submission to the SFC.

7. HEALTH & SAFETY

The University Secretary introduced the report of the Sub-Committee’s meeting on 5 May 2015. In doing so he highlighted the high levels of compliance with the new online Health & Safety Training module by new members of staff. The Committee also noted the review of the out of hours working policy and fire evacuation procedures. In response to questions, the University Secretary told the Committee that the new University Structure and role descriptions for the Deans of Schools and
School Managers would support the change of culture toward health and safety compliance, and the internal auditor confirmed that the 2015/16 internal audit of Health & Safety would pick up on cultural issues relating to this area. Members also noted that members of the Senior Management Team (SMT) attended each meeting of the Safety Advisors Group to provide their support to its work.

Resolved: for its part, to note the report.

(2) Campus Services Report

The Director of Campus Services introduced a paper outlining enhancements made to health and safety procedures since an incident which had been previously reported to the Committee in February 2012. Members noted that the enhancements included the development of a departmental Health & Safety policy with clear definitions of responsibilities, the creation of a Directorate Health & Safety Committee and health and safety focus groups, a very extensive training programme and a contractor tracking system. The Committee was pleased to note the comprehensive response to the incident.

Resolved: for its part, to note the report.

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. RISK MANAGEMENT REPORT

(1) Directors’ and College Secretaries’ Group (DCSG)

The University Secretary introduced a report from the meeting of the Directors & College Secretaries Group on 28 April 2015 which had focussed on risk management matters. The Committee noted that the Group had received updates relating to insurance matters, business continuity and the institutional risk register. The University Secretary highlighted the Committee’s discussions in relation to advice from insurers regarding the use by University staff of personal vehicles for business purposes, and the need to raise awareness amongst staff of this matter.

The Director of Policy, Governance & Legal Affairs also updated the Committee on matters relating to Business Continuity Planning (BCP), and the Committee noted that a proposal for the management of BCP, risk, and disaster recovery across the University following the retirement of the BCP Sponsor earlier in the year was under development, and would be reported to the next meeting of the Audit Committee on 22 September 2015.

Resolved: to note the report and await an update on arrangements for the management of BCP, risk, and disaster recovery.

(2) Institutional Risk Register

The Director of Policy, Governance & Legal Affairs introduced proposed changes to the Institutional Risk Register following feedback from members at the last meeting of the Committee. Members noted that the revised register set out the University’s priority risks, and that a number of changes had been made. Members also noted that an additional column had been included to relate specific risks to the aims within the University Strategy to 2017.

The Committee was pleased to note the revisions made, and provided some detailed feedback on a number of the risks listed. Members noted that the register would be provided to the Court at its meeting on 8 June for further feedback, and that a programme of review and discussion of the listed risks would be scheduled for the coming academic year.

In response to questions the University Secretary confirmed that the Business Transformation Risk Register would be brought to the Committee for review at a future meeting, and members
suggested that Business Transformation also be highlighted as a specific risk within the Institutional Risk Register.

Resolved: to endorse to the Court revisions to the Institutional Risk Register.

10. COMPLIANCE WITH INFORMATION LEGISLATION: STATISTICAL SUMMARY REPORT

The Committee received an annual report from the University’s Records Manager. The report set out the number and type of requests for information under current information legislation, and set this in the context of the Scottish higher education sector. The Committee noted the continued increase in the number of requests received, and that further resource for this area was planned.

Resolved: to note that the Committee was satisfied that the University was properly discharging its duties under relevant information legislation.

11. MEMBERSHIP OF THE COMMITTEE

The Committee noted that its membership would be confirmed at the meeting of Court on 8 June 2015, but indicated that it would be useful to identify someone with IT, business transformation, or organisational change to join the Committee in an external lay membership capacity.

Resolved: to ask members to contact the University Secretary with suggestions for external lay audit membership with suitable experience in the areas outlined above.

12. RESERVED BUSINESS: ANNUAL REPORT ON INCIDENTS OF FRAUD

The University requires members to treat the discussion and all papers for this item as strictly confidential and exempt from public disclosure. The University claims the exemptions in S.30 and S.34 of the Freedom of Information (Scotland) Act 2002. Members are therefore required to treat the discussion and associated papers as strictly confidential.

13. RESERVED BUSINESS: INVESTIGATIONS

The University requires members to treat the discussion and all papers for this item as strictly confidential and exempt from public disclosure. The University claims the exemptions in S.30 and S.34 of the Freedom of Information (Scotland) Act 2002. Members are therefore required to treat the discussion and associated papers as strictly confidential.

14. PRIVATE MEETING WITH OFFICERS

The auditors withdrew from the meeting at this point so that the Committee could speak in private with the officers.

(1) Appointment of Auditors

The Director of Finance reminded the Committee that the external audit contract with Pricewaterhouse Coopers (PwC) expired with the completion of the 2014/15 external audit, and that the internal audit contract had been issued to cover the 2014/15 and 2015/16 academic years to enable tendering of the contracts to be aligned.

The Committee noted that PwC had advised the University on its scoping for the Business Transformation project, and was a potential advisor for procurement of an ERP system as part of that project. Members agreed that it would not be appropriate for PwC to hold the internal or external audit contract whilst at the same time assisting the University in this way with the transformation project, and that as such they should not participate in the tendering for the internal or external audit contracts due to the potential for conflict of interest.

The Committee noted the proposal that the tendering process take place in January 2016, and proposed that consideration be given to the renewal of the internal audit contract with Scott-Moncrieff via the APUC framework given recent performance and the benefits of knowledge of the Business Transformation governance framework which would be gained during the 2015/16 internal audits.
Resolved: to note the proposed timeframe for the tendering of the internal and external audit contracts.

(2) Discussion

Resolved: the Committee noted that there were no further matters which officers wished to raise.

15. 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. The auditors noted that the Convener had spoken with officers with regard to the resourcing of the Business Transformation project, and that they were aware of the risks in relation to the project with regard to time, budget and the achievement of expected benefits.

16. PRIVATE MEETING OF COMMITTEE MEMBERS

The Committee met in the absence of the auditors and officers and noted that the remit and terms of reference for the Committee would be reviewed at the next meeting on 22 September 2015. Members also discussed oversight of the Business Transformation project and management of risk in relation to the project.
Annex A

Audit Committee
Terms of Reference
Constitution and Operation

Membership

- The Committee shall comprise not less than three members of the Court, all of whom shall be lay members, i.e. to the exclusion of members of staff of the University and full-time students.

- The Chairperson of Court shall not be a member of the Committee.

- The Committee may co-opt, with the approval of the Court, additional lay persons with appropriate expertise who are not members of the Court. The number of such co-opted members shall not exceed half of the membership. The term of office for these additional lay members shall be in line with the period of co-option for members of Court as defined in Statute 9(2)(g).

- At least one member of the Committee shall have a financial or accounting background.

- The Convener of the Committee shall be appointed by the Court and shall be a member of the Court. In the absence of the Convener at any meeting of the Committee, the Committee shall appoint any of its members as Acting Convener for that meeting.

- The quorum for any meeting of the Committee shall be three members, at least one of whom must be a member of the Court.

- No member of the Committee shall concurrently be a member of the Court’s Finance & Policy Committee, although the Convener of the Finance & Policy Committee may attend meetings of the Audit Committee. A reciprocal right of attendance at meetings of the Finance & Policy Committee is granted to the Convener of the Audit Committee.

Authority

- The powers delegated to the Committee by the Court shall be as defined in the Schedule of Delegation.

- The Committee shall have full authority to undertake and review activities associated with any matters within its terms of reference. For the purposes of such activities it shall be provided with adequate resources and full access to information and University personnel.

- The Committee shall have authority to obtain, without prior approval, legal or other independent professional advice within a financial limit determined by the Court (currently £15,000).

Proceedings

- The Committee shall usually meet four times annually and shall report, through submission of the minutes of each meeting, to the next available meeting of the Court.

- Each meeting of the Committee shall normally be attended by the University Secretary, Director of Finance, Director of Policy, Governance & Legal Affairs and, where business relevant to them is to be discussed, representatives of the internal and external audit services.

- The Committee’s Secretary shall normally be the Clerk to Court.

DUTIES AND RESPONSIBILITIES

Effectiveness and Financial Control

- to review the robustness of financial and other control systems and to ensure that the Court’s policies on internal control are implemented by delegated officers.

- to ensure that all significant losses have been properly investigated, and that the internal and external auditors and the Funding Council have been informed if appropriate.
• to oversee the University’s policy on fraud and irregularity, and to receive regular reports on any incidents of fraud.
• to oversee the University’s policy for the prevention of bribery and corruption and the University’s gifts and donations policy and to receive reports as appropriate on activity in this area.
• to oversee the University’s corporate governance arrangements.
• to monitor, annually or more frequently if necessary, the implementation of approved recommendations arising from both internal and external audit reports and management letters.
• to monitor the effectiveness of the internal and external audit services, including attendance at Committee meetings, and promote co-ordination between the two.
• to monitor the University’s arrangements to secure value for money, whether these are made via internal or external audit or other means.

Risk Management

• to advise the Court on the effectiveness of risk management in the University, on the basis of regular reports on risk management from the Directors’ & College Secretaries’ Group and appropriate audit work.
• to review twice annually the Institutional Risk Register and make recommendations to the Court in this respect.

Internal Audit

• to advise the Court on the appointment and remuneration of internal auditors.
• to consider and advise the Court on the internal audit needs assessment and the strategic and annual internal audit plans.
• to consider and advise the Court on issues arising from internal audit reports.
• to receive an annual report from the internal audit service, which should include an opinion on the degree of assurance that can be placed on the system of internal control.

External Audit

• to advise the Court on the appointment and remuneration of external auditors.
• to guide the external auditors on the nature and scope of the audit as necessary.
• to consider and advise the Court on external audit reports and management letters.
• to consider and advise the Court on the University’s annual financial statements, ensuring the proper application of agreed accounting policies.
• In line with the policy set out in Annex A to monitor any advisory or other non-audit work undertaken for the University by the external auditors, to ensure that their independence is not compromised.

Other

• to oversee the University’s policy on public interest disclosure and receive reports on the outcomes of investigations of public interest disclosures.
• to receive routine reports from the University Solicitor on legal matters involving, or likely to involve, the University
• to ensure the University’s compliance with the Funding Council’s Code of Audit Practice.
• to receive and review reports relating to audit prepared by the Funding Councils, National Audit Office, European Commission and other bodies, and to advise the Court as necessary.
• to make an annual report on the work of the Committee for submission to the Court and the Funding Council.

Last reviewed May 2015
Audit Committee Remit

To advise University Court in relation to its responsibilities for:

- proper financial management;
- the effectiveness of internal control and management systems;
- safeguarding the assets of the University and public funds;
- the economy, efficiency and effectiveness of the University’s activities; and
- corporate governance and conduct of the University’s operations.

Membership

The normal membership of the Committee is six members. All members are independent, at least half drawn from the lay membership of University Court, whence also the Convener is drawn. Remaining members are co-opted with the approval of the Governance & Nominations Committee. The term of office for lay members co-opted to serve on the Audit Committee shall be in line with the period of co-option for members of Court as defined in Statute 9(2)(g).

In Attendance

Convener of the Finance & Policy Committee
University Secretary
Director of Finance
Director of Policy, Governance & Legal Affairs
Internal Auditors
External Auditors
Other officers at the discretion of the Director of Finance

Secretary

Clerk to Court.

Meetings

The Committee shall meet 4 times in each session. One meeting each year will incorporate a private meeting of the Committee with the internal and external auditors without officers present.

Quorum

Three members shall constitute a quorum
Policy on using External Auditors for Non-Audit Services

This annex sets out the policy for the appointment and remuneration of the external auditors for any work undertaken on behalf of the institution. It outlines the control processes that will be put in place to ensure compliance with the policy.

**Statutory audit**

The Director of Finance will recommend the overall fee for statutory audit to the Audit Committee. It is the responsibility of the audit committee to review the proposed audit fee and recommend it to the governing body for approval.

The Audit Committee will review the independence and effectiveness of the external auditors on an annual basis.

**Other work as auditors or reporting accountants**

While it is difficult to be precise about the definition of other work the external auditor may undertake as auditor, it includes the following:

- any other review of the accounts for regulatory purposes
- assurance work related to compliance and corporate governance, including high-level controls
- regulatory reviews or reviews commissioned by the audit committee
- accounting advice and reviews of accounting standards.

The Director of Finance must clear the appointment of the external auditor for any such work in advance with the Convener of the Audit Committee.

The Audit Committee will receive a report summarising work commissioned from external auditors, including fees payable for non-audit services.

**Tax advisory services**

The external auditor may provide tax advisory services, including tax planning and compliance, provided such advice does not conflict with the auditor’s statutory responsibilities and ethical guidance. Taxation includes, but is not limited to, income tax, corporation tax, value added tax, national insurance, business rates, climate change levy and other charges payable to or receivable from government departments.

The audit committee will determine whether the appointment of the external auditor for any tax work would conflict with the auditor’s statutory duties. Any tax assignment requires the approval of the Director of Finance, who will consult with the Convener of the Audit Committee in respect of any assignment over £10k. The Audit Committee will receive a report summarising work provided by the external auditor, including fees payable.

**Merger/acquisition support**

It is permissible for the external auditor to be appointed to undertake specific merger/acquisition activities on behalf of the institution. However, the auditor cannot be appointed to undertake such work without the prior approval of the Director of Finance, who will consult with the Convener of the Audit Committee regarding any assignment that could involve fees in excess of £10k. The Audit Committee will receive a report summarising work commissioned from external auditors, in respect of merger/acquisition activity including fees payable.

**Other accounting advisory and consultancy work**

There may be occasions when the external auditor is best placed to undertake other accounting, investigatory, advisory and consultancy work on behalf of the institution, because of the auditor’s in-depth knowledge of the institution. However, the following are specifically prohibited:

- work related to accounting records and financial statements that will ultimately be subject to external audit
- management of, or significant involvement in, internal audit services
- secondments to management positions that involve any decision-making
- any work where a mutuality of interest is created that could compromise the independence of the external auditor
- any other work which is prohibited by UK ethical guidance.
Any assignment in excess of £20,000 can only be awarded to the external auditor after competitive tender, with the exception of assignments involving their own intellectual property. The inclusion of the external auditor on a tender list requires the prior approval of the Director of Finance. The Director will consult with the Convener of the Audit Committee regarding any tender for work in excess of £10,000. The Audit Committee will receive a report summarising details of all such work commissioned, including fees payable.

Guidance

In principle, the committee should not agree to the auditor providing a service if the result is that:

- The audit firm or a member of the engagement team has a financial or other interest that might cause them to be reluctant to take action that would be adverse to the interests of the firm or a member of the engagement team (self-interest threat).
- The results of the non-audit service performed by the audit firm may be included in the institution’s financial statements, and thus not subject to proper audit review (self-review threat).
- The auditor undertakes work that involves making judgements and taking decisions which are the responsibility of management (management threat).
- The audit firm undertakes work that involves acting as advocate for the institution and supporting a position taken by management in an adversarial context (advocacy threat).
- The auditor is predisposed, for example because of a close personal or family relationship, to accept or not sufficiently question the institution’s point of view (familiarity threat).
- The auditor’s conduct may be influenced by fear or threats (intimidation threat).

The audit engagement partner should inform the audit committee of all significant facts and matters bearing on the auditors’ objectivity and independence, including those related to the provision of non-audit services, and any safeguards in place.
A meeting of the Committee was held on 18 May 2015.

**Present:** Mrs C Potter (Convener), Professor Luc Bidaut, Professor K Leydecker, Professor G Mires, Dr A Reeves, Mr D Taylor.

**Apologies:** Ms S Campbell, Mr David Ritchie

**In Attendance:** Acting Director of Human Resources & Organisational Development, University Secretary, Director of Organisational Change, HR Officer (Strategic Projects).

The Convener invited the Director of Human Resources and Organisational Development (now Director of Organisational Change) to outline her new role and that of the Deputy Director of Human Resources & Organisational Development (now Acting Director of HR & OD). It was noted that the Director of HR & OD had temporarily withdrawn from her role to enable her to concentrate on the University Restructure and the Strategic Reviews. The Deputy Director had assumed the role of Acting Director of HR & OD for the period and, in the interim, her role had been back-filled by an HR Officer colleague.

1. **MINUTES**

   The minute of the meeting of 27 January 2015 was approved.

2. **MATTERS ARISING**
   
   (1) **Living Wage**

   The Acting Director of HR highlighted the agreement to pay the current Living Wage, from 1 May 2015 to staff on Grade 1 and Grade 2 of the University’s salary scale. It was noted that it remained the intention not to become an accredited employer, because of the lack of control employers can exercise over any future increases and the potential impact on pay differentials within the University’s salary scale.

   Members noted that Universities Scotland was currently discussing whether institutions could agree a sector-wide approach to the Living Wage in Scotland.

   (2) **Overview of FTE for University**

   The Committee welcomed statistics provided on trends in staff numbers across the University over the last five years, but felt that it would have been of benefit to have additional information relating to the most recent figures together with projections of the impact of Voluntary Severance on this financial year and next.

   **Resolved:** to provide contemporaneous management information which would provide the Committee with a clearer picture and facilitate more focussed discussion on staffing levels.

3. **HUMAN RESOURCES AND ORGANISATIONAL DEVELOPMENT**
   
   (1) **Organisational Change/Strategic Initiatives**

   The Director of Organisational Change confirmed that the appointments to all Vice-Principal positions had been made. The appointment of Deans of School was about to commence, with five of the Deans being matched to positions and, where Schools had been merged, the normal internal appointment process being followed. The School Manager role profile was currently being graded and the pool of potential candidates was being identified. The necessary systems changes were also being considered, with HR and Finance taking priority in order that the new University structure could be reflected from 1 August 2015 and relevant management information made available.
The Director of Organisational Change advised that the intention was that, in future, Schools would have fixed staffing establishments and budgets which would lead to enhanced management oversight and control over staffing levels. The Voluntary Severance Scheme for support staff and the removal of the College structure had enabled savings to be made across the professional services. In addition, while a number of applications for voluntary severance from such staff had been rejected at this point, it was likely that the business transformation programme would identify opportunities to reduce staffing levels further in these areas in the future, which may enable staff who had previously wished to take a severance package to do so.

In the context of likely ongoing pressure on public funding, the Committee considered that it might be useful to have an ongoing Voluntary Severance Scheme available to be used at management’s discretion as and when opportunities arose.

(2) School of Medicine and College of Arts and Social Sciences projects

The Director of Organisational Change reported that a Redundancy Committee for the Medical School project would take place on 28 May 2015. A member of the Committee rehearsed concerns they had expressed at the previous meeting and Court, namely the University’s focus on reducing staff in a small area of core staff rather than across the board and whether the University’s statement that academic staff were equally valued whether or not they were entered into the REF had been upheld by the criteria it had applied in the process of identifying academic staff who were potentially at risk. While the Director of Organisational Change noted that any aspect of the process could be challengeable at Employment Tribunal, the University had sought reductions across staff groups through voluntary severance, inclusion or otherwise in the REF was not a criterion that had been used in the project, and research performance as a whole was not the sole criterion used with the Review Group having been careful to consider holistically each individual’s entire contribution to the School of Medicine and the University.

It was noted that the CASS Review was not as advanced as that in the School of Medicine, but that much of the preparatory work had been completed and the Review Group had met on several occasions. The initial mapping exercise was to commence on 20 May 2015.

(3) UoD IT restructuring

The Director of Organisational change advised that the UoD IT project had identified those people who were in scope and had commenced the selection process for the more senior roles, some of which would be advertised externally due to the skills sets required. It was envisaged that most of the other roles would be filled through a matching process. It was anticipated that the project would be completed by 13 July 2015 and there was no expectation of redundancies at this stage.

Resolved: to note the position.

(4) Voluntary Severance Scheme

The Acting Director of HR summarised the terms of severance offered to academic and support staff under the two recent Voluntary Severance Schemes, which were now closed and the process that had been followed. In respect of the scheme for support staff, 43 applications had been approved with the possibility of revisiting some of the other applications when the impact of the removal of the College structure and business transformation programme takes effect. The University Secretary indicated that the 43 approved Voluntary Severance applications accounted for around £1.6m staff savings against a target of £2m.

Resolved: to note the position.

(5) Staff Survey

The Committee was advised that a further staff survey would be conducted shortly.

Resolved: to note the position.
(6) Pay Negotiations 2015/16

It was noted that UCEA had made a full and final offer of a salary increase of 1% from 1 August 2015 together with bottom loading of between 2.65%, decreasing to 1.2% for initial spinal points (1-8) on the salary scale.

Resolved: to note the position.

(7) Industrial Action

The Committee was advised that industrial/strike action had been taken by DUCU on 28 April 2015 and 5 May 2015 and that action short of a strike had resulted in some staff in CASS not completing their Academic Excellence Sustainability forms as requested the University for the organisational change project. Notification to date was that around 40 members of staff had taken part in industrial action on each of the 2 days. It was confirmed that as a result of forward planning it appeared the strike had had little impact on the University. Discussions with DUCU remained ongoing, with a meeting with the regional official of DUCU, the Principal and the Director of Organisational Change arranged.

Resolved: to note the position.

(8) Policy Development: Work Life Balance Policies

The Committee approved the revised Work Life Balance Policies and commended their comprehensiveness, welcoming the fact that they would help enable staff to combine work with their other responsibilities.

Resolved: to approve the policies.

(9) Organisational and Professional Development (OPD)

(i) The Committee noted activities undertaken by OPD in the last 4 months including the Venture Programme, the Scottish Crucible and the Developing Leaders programme

(ii) The Committee noted that the current postgraduate certificate in Teaching in Higher Education (Pg Cert THE) was to be replaced by a postgraduate certificate in Academic Practice in HE.

Resolved: to note the position.

4. CONCORDAT/HR EXCELLENCE IN RESEARCH

It was noted that preparations were currently being undertaken for the external review of the HR Excellence in Research award in September 2015.

5. EQUALITY & DIVERSITY

The Convener welcomed the Equality & Diversity Officer who highlighted areas of the executive summary of the report submitted.

Attention was drawn to the legal requirement for the University to publish certain information in respect of the Public Sector Equality Duties. This included publishing an Equality Action Plan every two years. The University’s Equality Action plan had been revised for publication after discussions with various groups and the membership of the Equality & Diversity Working Group had been expanded. Members noted the steps being taken to address diversity in the membership of Court and that internal committee membership would also be reviewed for diversity as part of the University restructure. It was noted that Medicine, Life Sciences and CAHID had made submissions for the Silver Athena Swan Award. Bespoke training had been provided to 5 female members of staff and 18 had participated in Leadership Development training. Unconscious bias workshops had been delivered recently and feedback following REF had confirmed that the University’s processes have been inclusive.

The Committee noted that 57% of the actions on the last Equality & Diversity Action Plan had been achieved; 37% had been partially achieved but there were three areas which had not been actioned and would therefore be prioritised: the acquisition of the Race Charter Mark, improvement in the completion
rates of the Equality & Diversity Modules and promotion the training of Equality Impact Assessments. In relation to the completion of Equality & Diversity training, members noted that only 34% of staff had completed all 5 modules and that new reporting functionality was being used by management to address this issue. The Committee was concerned at the low completion levels in certain Schools and Colleges in particular and asked that the Senior Management Team take action to enhance completion rates, including the introduction of sanctions for non-completion. In terms of the actions outlined by the Equality & Diversity Officer, the Committee members felt that outcomes were of greater importance than actions and requested that progress should be presented in this manner.

The Committee approved a proposal that the University should attempt to acquire the Race Charter Mark and conduct the survey which was mandatory as a precursor to embarking on an application.

Resolved: (i) to thank the Head of Equality and Diversity for the work he had undertaken in respect of progression the E&D; and

(ii) to approve the Race Equality Charter Mark Surveys.

6. HEALTH & SAFETY

The Committee noted the report from the Head of Safety Services and the minute of the Health & Safety Sub-Committee.

7. ANNUAL REVIEW 2014

The Committee considered management information and data in relation to the 2014 Annual Review process. Members felt that too much data and too little narrative analysis had been provided in the context of its oversight role as a Court Committee; and that such reports would benefit from a focus on the outcomes that the Annual Review process was designed to achieve, and any actions that were to be taken to ensure an improvement in outcomes and enhance the process for future rounds.

Resolved: to produce a revised report on the basis of the Committee’s feedback.

8. LOCAL JOINT COMMITTEE

The Committee noted the minutes of the three Local Joint Committee meetings held on 12 and 16 March 2015.

9. RETIRAL OF CONVENER

On behalf of the Committee, the University Secretary thanked Ms Christina Potter for her considerable contributions to the work of the HR Committee and Court over her time as a member and wished her well for the future.
APPENDIX 7

COMMUNICATION FROM THE SENATUS ACADEMICUS
(Minute 81)

1. PRINCIPAL’S REPORT

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

The Principal introduced his Report by paying tribute to the commitment of those members of staff in Schools, Colleges and central services who had been involved in the recent budget setting exercise. The Principal emphasised that the balanced budget for 2015/16 that had been agreed would require substantial effort to ensure that it was delivered and that it continued to represent a very challenging financial position for the University.

The Principal also drew attention to the progress made on restructuring and reported that the project was on target to implement the new School structure from 1 August 2015. The Principal also reported that four Vice-Principals had now been appointed and that the new University Executive Group had been established.

On the question of appointing the Deans of the new Schools, the Principal explained that five of the existing Deans would be matched to the new roles and interviewed as single candidate appointments and that the remaining posts would be advertised as internal vacancies. Any current Deans either not wishing to put themselves forward or unsuccessful through the process would revert to their substantive senior academic roles within their Schools.

The Director of Human Resources confirmed that the decanal vacancies occurring in the Schools of Science and Engineering, Social Sciences, Humanities and Medicine would be filled through internal recruitment and, at the suggestion of several members of Senate, agreed that the internal advertisement would be circulated to all academic staff and not just those already employed in the disciplines concerned.

Members asked the Director to recirculate details of the composition of selection committees that had been agreed by the Steering Group and the Senior Management Team.

In relation to the organisational change project in the School of Medicine, the Principal informed Senate of the establishment of a Redundancy Committee, following Court approval, which would meet on 28 May to consider what recommendations in relation to staff in the area to make to the Court meeting on 8 June. It was noted also that in relation to the project in the College of Arts & Social Sciences, the Court, at its meeting on 8 June, would be invited to establish a Redundancy Committee for a similar purpose should it become necessary.

The Principal congratulated the College of Life Sciences and the Centre for Anatomy and Human Identification who had now become Athena Swan Bronze Award winners, joining the College of Medicine, Dentistry & Nursing who received the award in 2014.

In concluding his Report the Principal encouraged members of Senate to attend the Graduation events planned for 24-26 June 2015 and noted the particularly impressive range of honorary graduates who would contribute to the celebrations. In response to a question the Principal acknowledged that the preponderance of male recipients.

Members then discussed issues concerning the new University structure in response to a question raised that related to the naming of sub-school level academic units. Some members argued that existing sub-school structures were both useful and necessary in some parts of the University, particularly when based around research teams that had developed strong external recognition. The Principal agreed that some existing academic unit designations that had strong brand recognition could continue to be used, exceptionally, for some specific purposes but that one of the main motivations for reorganisation was a desire to remove the barriers and divisions caused by inconsistency and fragmentation.

Other members argued for the overriding need for consistency in the terminology used by the University to describe itself to underpin the one Dundee approach and to promote cohesion as the new Schools developed in the new structure.
Members noted that designations would necessarily change over time and that the role of Senate to approve such designations could provide a mechanism for collective agreement on future developments. Members also noted that External Relations and the University Executive Group would respond to requests for brand recognition related exceptions to unit designations in the new School structure. In the meantime it was expected that Schools would adhere to the guidance published on sub-School structure nomenclature.

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

2. **UNIVERSITY COURT**

The Senatus received a communication from the meeting of 20 April 2015.

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

3. **UNIVERSITY RESTRUCTURING**

The Director of Policy, Governance & Legal Affairs introduced a paper that proposed alterations to the composition of Senate to reflect the new School structure and to improve its effectiveness. The Director stressed that the proposals had been developed by the Governance & Management Workstream in line with its remit to suggest improvements to the governance structures of the University and had sought to maintain the overall representational nature of membership of Senate while at the same time reducing the absolute number of members from 80 to 50 with three elected members from each of the new Schools.

Some members expressed opposition to the proposal to reduce the size of Senate and argued that the specific proposal to limit School representation to three elected members would be insufficient to ensure that academic staff in all disciplines would have an effective voice at Senate. However, the proposal that there should be equal membership from the Schools was accepted.

It was noted that the number of non-elected academic managers and leaders had, as a direct result of the reduction in the number of Schools, reduced by the same proportions. This would ensure that the elected academic voice had not been reduced as a proportion of the total membership.

It was also argued that, in general terms, smaller groups were better able to actively engage with issues through open debate and discussion. Members agreed that those elected to Senate should be expected to attend every meeting or be subject to recall and replacement by the School. Members welcomed the proposal that those elected would be expected to report back to School Board on issues discussed at Senate.

Some members argued that more could be done to encourage early career academics to become involved in the work of Senate and that the requirement for a minimum number of professorial members could act as a barrier to this.

Members noted that the proposed changes would be written into Statute by setting a minimum number of elected members per School to allow some flexibility to increase numbers in future, if it proved to be desirable. It was also noted that the issue could be considered in due course by the planned Senate Effectiveness Review and it was agreed that the composition of Senate should in any case be reviewed after the first year of operation of any new system.

**The Senatus decided:** to support, by a clear majority (20 votes to 8), the proposed revisions to the composition of the Senatus as tabled but to require a formal review after the first year of operation.

The Director also introduced the proposed changes to University Statutes and Ordinances that were required to put the new University structure into effect by revoking the College ordinance and modifying the School ordinance.

Members discussed the new School ordinance and the composition and function of the School Board in particular. Some members argued that large Schools would find it difficult to operate School Boards that consisted of all academic staff and that alternative arrangements were needed. Other members argued that a consistent approach was vital to avoid excluding staff in some areas and creating unnecessary structural discrepancies. Members also discussed the relationship between School Boards and the School Executive Group and noted the advisory and consultative role of the Board in the overall management structure of the School.
Senate welcomed the proposal to include representation from all staff groups on School Boards and supported the principle that all academic staff that wanted to be involved should be given the opportunity to participate. Some members argued that this principle should also be extended to the composition of the School Executive Group although it was noted that transparency in the process of appointment to Executive Groups would encourage staff engagement.

**The Senatus decided:** for its part and subject to minor corrections, to approve the amendments to Statutes and Ordinances proposed in the Minutes of the meeting of the Senatus.

4. **RESEARCH COMMITTEE**

The Senatus received a report from the Research Committee meeting of 7 May 2015.

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

5. **LEARNING & TEACHING COMMITTEE**

The Senatus received a report from the Learning & Teaching Committee meeting of 12 May 2015.

The Vice-Principal (Learning & Teaching) introduced the Report and invited Senate to approve the revised Assessment Policy that had been agreed by the Committee after a comprehensive review and extensive consultation led by the Director of Quality Assurance. Members noted the need to resolve a number of technical issues prior to full implementation and that the main changes would be introduced for the new cohort of undergraduate students matriculating in 2015/16.

Senate was also invited to approve the revised Regulations on the conduction of examinations.

The Vice-Principal concluded by drawing attention to the recently published Guardian University League Tables and the fact that many parts of the University had achieved an improvement in their ranking in the table thanks to improved National Student Survey (NSS) results. Members were asked to look carefully at the subject-level results in order to help plan for future improvements that were both possible and necessary.

**The Senatus decided:**

(i) to approve the Assessment Policy for Taught Provision;

(ii) to approve the Senate Regulations: Conduct of Examinations; and

(iii) to approve the report.

6. **INTERNATIONALISATION COMMITTEE**

The Senatus noted that the Report from the Committee meeting held on 27 May 2015 would be submitted for approval at the next meeting of the Senatus.

The Senatus received the draft Internationalisation Strategy Annual Report.

The Deputy Principal introduced the draft Report and invited Senate to contribute feedback and comment to assist in the preparation of the final report.

The Deputy Principal emphasised that significant progress had been made towards many of the key goals and aims in the Internationalisation Strategy including an improved regional focus and the development of projects in a smaller number of target countries.

Senate was also asked to note the continuing excellent performance in various measures of international student experience and the important role played by the Students’ Association in maintaining this position.

The Deputy Principal reported that levels of international student recruitment into the University had stabilised but that the position remained very challenging and the financial risks associated with missing recruitment targets remained and that some realignment and reassessment of priorities would be needed in the next stage of developing the University’s strategy in this area.
Members discussed the report and noted the importance of maintaining momentum during the current period of significant change in the University and the need to comprehensively capture information on the full range of international activity including an accurate picture of international collaborations and institutional reputation as suggested by a recent internal audit.

Senate welcomed the intention to evaluate the key performance indicators that are measured in the strategy and the planned review and realignment of strategic priorities.

The Deputy Principal concluded by thanking all those who had contributed to the development of the internationalisation agenda in recent years and was, in turn, thanked by the Principal, on behalf of the Senatus, for her leadership and noted that the Vice-Principal (Internationalisation) would be able to build on the progress achieved in the next stage of strategic development.

The Senatus decided: to approve the report.

7. PROFESSORES EMERITI

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

Professor Mark Bennett
Professor Rob Duck

8. ELECTIONS TO COURT

The Senatus decided: to note the results of the Senate Elections to Court held on 29 April 2015

Professor Mairi Scott elected to serve as a member of the Senatus Academicus (professorial) on the University Court from 1 August 2015 until 30 July 2019.

Dr Alison Reeves elected to serve as a member of the Senatus Academicus (non-professorial) on the University Court from 1 August 2015 until 30 July 2019.

9. REDUNDANCY COMMITT

The Senatus decided: to appoint the following members of academic staff to sit on the Redundancy Committee as nominees of the Senatus:

Professor Georgina Follett
Professor Inke Näthke
APPENDIX 8

WELFARE AND ETHICAL USE OF ANIMALS COMMITTEE REPORT TO COURT
(Minute 82)

A meeting of the Welfare and Ethical Use of Animals Committee was held on 15 April 2015.

1. REPORTING OF ANIMAL WELFARE CONCERNS

Lists of “first responders” to concerns about animal welfare have been posted in all resource units. Training in dealing with such sensitive issues will be offered to all these individuals.

2. HOME OFFICE PERSONAL LICENCES

The Committee considered that personal licences should only be held by those individuals who have acquired a track-record of performing regulated procedures competently. Guidelines on the minimum required level of activity that would merit retention of a licence will be developed.

3. STUDY PLANS

The Committee noted that the University Code of Practice for the Use of Animals in Teaching and Research has now been amended to make entirely explicit the mandatory use of study plans and the filing of study completion reports.

4. REPORT FROM THE NAMED VETERINARY SURGEON

The NVS reported that study plans must indicate the circumstances in which his advice is to be sought. Should these circumstances arise, then he must be consulted.

5. APPLICATION FOR PROJECT LICENCES

One application for a project licence was reviewed at the meeting and was approved subject to certain amendments being made.

6. FINAL REPORT FROM A PROJECT CARRIED OUT OVERSEAS

The Committee received the last in a series of progress reports on a project conducted by a member of the University, but at a foreign scientific institution. This project had been a success and the Committee considered that its overview had been sufficient. In future, overseas projects will be managed in a similar way; an initial proposal will be considered as if it were an application for a Home Office project licence and then regular reports will be required to check that the project stays on track, that any adverse welfare events are properly dealt with, and that examples of best practice are identified and disseminated.

7. REPORT FROM THE DIRECTOR OF BIOLOGICAL SERVICES

The Director of Biological Services reported that, since the last meeting, one application for a project licence to authorise a continuing programme of work had been approved.

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

Some further amendments to this University document were approved.