

## UNIVERSITY OF DUNDEE

### UNIVERSITY COURT

A meeting of the University Court was held on 18 April 2016.

Present: Mr E Sanderson (in the Chair), Principal Professor Sir Pete Downes, Ms J Aitken, Mr R Bint, Professor SM Black, Mr RS Bowie, Dr WGC Boyd, Mr K Burns, Ms Shirley Campbell, Professor S Cross, Mr J Elliot, Mr I Howie, Mr T Hustler, Professor T Kelly, Ms B Malone, Ms J Marshall, Dr AD Reeves, Ms K Reid, Mr D Ritchie, Mr KA Richmond and Mr D Taylor.

In Attendance: Mr M Beaumont (Rector); University Secretary; Vice-Principal (International); Vice-Principal (Academic Planning & Performance); Vice-Principal (Learning & Teaching); Vice-Principal (Research, Knowledge Exchange & Wider Impact); Director of Finance; Director of External Relations; Director of Academic & Corporate Governance; Director of Organisational Change; Assistant Director (Research & Resources) Library & Learning Centre; Head of Press; Policy Officer (Risk & Audit) and Clerk to Court.

Apologies: Lord Provost Mr R Duncan, and Professor M Scott

#### 45. OVERVIEW OF UNIVERSITY RESEARCH STRATEGY

The Vice-Principal (Research, Knowledge Exchange & Wider Impact) presented an overview of the University's research strategy. In doing so, he highlighted the role of the research strategy within the University vision of transforming lives, the importance of inspiring and enriching research-led teaching, and the way in which changes to higher education research funding had driven a cultural change within the academic community's approach to research. With regard to the latter, members noted that there was an increased emphasis in the University on ensuring research was financially sustainable.

The Vice-Principal went on to outline four strategic themes within the research strategy: quality, sustainability, impact and teaching. Members noted that the support of only internationally excellent and world leading research was a fundamental part of the strategy, and members were particularly interested to note that annual research reviews were being introduced within all Schools from spring 2016. Members also noted the University's input to the Stern Review which would inform the development of arrangements for the next Research Excellence Framework (REF) review in 2020 (see <https://www.gov.uk/government/consultations/research-excellence-framework-review-call-for-evidence>).

Turning to the sustainability of research, the Vice-Principal highlighted the co-dependence of research and teaching with regard to reputation, impact and funding. He also highlighted changes to the University's overall approach to the approval and management of grant applications. Members noted that this represented a key cultural change, the success of which would be vital in ensuring that the research strategy and financial recovery plans were aligned and high quality research continued to be

appropriately supported. Similarly, members also noted that the Vice-Principal had identified a number of cultural challenges within the teaching theme, and that collaboration between Schools, workload planning and movement away from a dichotomous view of research and teaching would be key to progress. Through discussion, members were pleased to note that the sharing of best practice between Schools was already leading to improvements in research overhead recovery.

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

#### 46. MINUTES

**The Court decided:** to approve the minutes of the meeting on 16 February subject to minor amendment.

#### 47. MATTERS ARISING

##### Voluntary Severance Re-engagement (Minute 38)

The Director of Organisational Change presented an overview of data relating to the re-employment of individuals who had accepted voluntary severance packages. Members noted that of the 218 individuals who had accepted voluntary severance between 1 August 2010 and 1 April 2016, 7 individuals were listed as employees of the University on 1 April 2016, amounting to 2.7 FTE. In response to questions, the Director confirmed that over the duration of the same time period a total of 18 individuals (4.6 FTE) had at some point been re-employed by the University, but that none of these individuals had taken up such employment within 12 months of leaving the University, and that those returning had done so as temporary staff, hourly paid roles, part-time clerical staff, and hourly tutors.

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

#### 48. CHAIRMAN'S REPORT

The Court received the regular report from the Chair outlining his activities since the last meeting. In his report the Chair detailed his attendance at meetings of the Committee of Scottish Chairs (CSC) and the Committee of University Chairs (CUC). Members noted that Mr Ronnie Bowie had accompanied the Chair the meeting of the CSC to ensure a smooth transition to his role as Chair from 1 August 2016.

In presenting his report the Chair updated the Court on progress with arrangements for the revision of the Scottish Code of Good HE Governance, and also highlighted the Audit Scotland review of Higher Education which the University had been involved in and was soon to be published. Members were particularly interested to note the Chair's summary of a CUC session he had attended at which UCAS had presented an analysis of the reasons given for students' acceptances of offers from universities.

The Chair also shared with the Court a letter he had received from the Branch President of DUCU, and members noted that the Chair intended to discuss the communication

alongside the financial sustainability paper from the University Executive Group (UEG) (Minute 50 below).

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

#### 49. **PRINCIPAL'S REPORT**

*[Secretary's note: Given her role, as Chief Executive Officer of Perth and Kinross Council, in managing the referendum process, Ms Bernadette Malone did not participate in discussions relating to EU membership].*

The Court received a report from the Principal (**Appendix 1**). In the report the Principal highlighted financial pressures on the HE sector, and members noted that as a result of earlier decisions about the distribution of both the Research Excellence Grant and the reduction in funding following the introduction of Rest of UK (RUK) fees, the 3.3% sector level cut announced in December had actually translated into a 4.0% cut for the University when compared year on year. In response to questions, the Principal confirmed that although additional funding was now expected in relation to the 2016/17 cohort of widening access students, it was likely that this funding would be offset by reductions to awards in later years. Members noted therefore that the previously agreed targets of a deficit of no more than £5m in 2016/17 and a cumulative deficit over the next three years of no more than £10m before returning to surplus were critical to ensuring the University's financial sustainability.

On the subject of Widening Access, the Principal also outlined key recommendations for the sector within the final report of the Widening Access Commission ('A Blue Print for Fairness') and in particular the introduction of a requirement for separate access threshold tariffs for applicants from the most deprived communities, and the appointment, by the Scottish Government, of a Commissioner for Fair Access. Members were pleased to note the University's continued commitment to widening access, and to hear that during the development of the report Dame Ruth Silver (Chair of the Commission for Widening Access) had praised the leading role of the University in widening participation in Scotland.

In his report the Principal also gave a brief overview of student recruitment patterns for entry in 2016/17 and recent league table announcements which saw the University placed top in the UK (16<sup>th</sup> overall) in the Times Higher Education (THE) 150 under-50 global rankings, 94<sup>th</sup> in the THE European University Rankings, and 2<sup>nd</sup> in Scotland (joint 21<sup>st</sup> in the UK) in the Student Experience Survey.

Much of the debate of the report centred around the upcoming UK Referendum on EU Membership. Members noted that as a charitable body the University must abide by Charity Commission rules in terms of participation in politically biased commentary, but that there was provision for institutions to participate fully in issues which related to their charitable objectives. Following discussion, the Court agreed that the University should maintain a neutral stance in the debate, while encouraging full and informed participation. Members were supportive of the Principal's personal engagement in debates as an individual with considerable experience in the HE sector, and noted that he had, in his capacity as a member of Universities UK (UUK), participated in a number of activities which supported the UK remaining in the EU.

The Court also noted that the University had been informed that the UCU would be holding a ballot for industrial action in relation to national pay negotiations from 14 April 2016 to 4 May 2016.

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

## 50. FINANCIAL SUSTAINABILITY REPORT AND PLAN

The Principal presented key aspects of the proposed financial sustainability plan for the University. In doing so he drew member's attention to: the internal and external financial pressures previously reported (including the 4% reduction in funding from the Scottish Funding Council (SFC) for 2016/17), the critical importance of meeting the requirements of the covenants in the credit facility (minute 52 below), and the University's overall approach to addressing the financial situation. With regard to the latter, the Principal highlighted the importance of the University's vision and values as a driving force behind the approach, and members noted that the proposed response was both tactical and strategic, with sustainable development being targeted through a process of cultural, structural, operational and financial transformation.

The Principal highlighted individual growth, efficiency, savings, and University-wide projects, and went on to provide an overview of the governance role of the Programme Board in tracking and co-ordinating these projects. The Court noted the importance of the revised University structure in developing and delivering the projects detailed within the paper, and in particular its impact on the collaborative approach taken by Schools. The Principal also provided an outline of the International College project and members noted that a proposal in relation to this project would be developed for consideration at the next meeting of the Court on 6 June 2016. In response to questions, the Principal told the Court that the project had a critical role in delivering net income growth in the international student market and was a fundamental element of the strategic financial plan.

Finally, the Principal provided an update on the budget, and members noted that substantial progress had been made toward achieving the targets approved at its meeting on 16 February 2016, that being a deficit no larger than £5m deficit in 2016/17 and a cumulative deficit over the next three years of no more than £10m. It was however noted that further work was ongoing to achieve these targets before the budget was presented to Court on 6 June 2016.

The Court strongly endorsed the direction of travel with regard to the proposals and projects set out, noting that business plans would be further developed alongside a final budget and forward financial projections, and would inform a report to the Court at its next meeting on 6 June 2016. The Court highlighted the need for that report to include a consideration of the risks relating to the outlined projects, the SFC funding position and also cash forecasting.

The Chair of Court drew to members' attention a letter from the Dundee University and College Union (DUCU) in relation to the proposed engagement of a private provider to deliver the International College project. Through discussion the Principal and the Director of External Relations confirmed that the proposal would not affect the current provision of English language training nor the staff delivering it. The Director also confirmed that a procurement process had not yet been undertaken at the time of the

meeting. In response to questions, the Principal and the Director told the Court that the use of a private provider was being considered given the timeframe, level of investment, and expertise required to successfully implement the project. In this respect, the Director indicated that it would be of fundamental importance to the project to engage with experts in this field, and members noted that, if supported, details of the project would be presented to the Court in June. The Director also reassured members that any potential private providers would be carefully vetted to ensure a commitment to meeting the same standards, quality and ethics as the University itself. The Court was supportive of the continued development of business plans and proposals for the project, although one member, while supportive of the development in principle, asked that their dissent be recorded with regard to the potential use of a private provider. The Chair of Court undertook to respond to the concerns expressed by DUCU and, if desired, to meet with them to outline the Court's position on this matter.

Turning to the savings projects outlined, the Court noted that the projects included proposals for a limited reduction in the academic staff of the University, and that the Court was therefore being asked to confirm that the University was formally 'contemplating redundancy'. Members noted that this would enable the University Executive Group (UEG) to implement the University's Redundancy Avoidance Policy & Procedures and commence formal consultation with the campus unions, School Boards, and Senate as required. Furthermore, members noted that the process to be followed needed to be in accordance with the terms of Statute 16, and on the basis of the need to achieve the savings targets previously agreed. In response to questions, the Director of Organisational Change clarified the sequential requirements in terms of the University's governance arrangements and employment law when a reduction in staff was contemplated, and members therefore noted that further details in relation to the savings projects and the potential for redundancies could only be developed once approval to contemplate redundancies was granted. Members indicated their support for the engagement of the University's Redundancy Avoidance Policy & Procedures and affirmed the University's commitment to the avoidance of compulsory redundancies wherever possible, though members accepted that this could not at this time be ruled out as a measure of last resort. Through discussion members were advised that the approach to reductions in academic staff would focus on natural wastage, the non-filling of vacancies, voluntary reductions in contractual FTE and the use of mutually agreed severance arrangements. Members also noted that the reductions would be relatively limited and would focus on the Schools of Humanities, Life Sciences and Medicine.

Looking to the future, the Court noted that proposals in relation to the various projects would be provided to the Finance & Policy Committee and/or the Court at their next meetings along with a final budget and financial projections.

- The Court decided:**
- (i) to endorse the direction of travel on the various savings, efficiency, growth and University-wide projects as set out in the paper, noting that business final plans would be further developed and reported Court on 6 June 2016 alongside financial projections for 2016/17 and beyond;. And also;
  - (ii) to note progress in developing the budget and financial projections for 2016/17 and beyond that were consistent with both the targets previously agreed by the Court and

the covenants associated with the credit facility (Minute 51 below);

- (iii) to agree that there is a case for a limited reduction in the academic staff of the University, on the basis of the need to achieve the outlined savings targets, and noting a particular focus on the Schools of Humanities, Life Sciences and Medicine;
- (iv) as a result, to confirm that the University was formally 'contemplating redundancy', noting the requirements for formal consultation with staff through School Boards and Senate in advance of any final decision in accordance with the University's governance arrangements;
- (v) thereby, to enable the UEG to implement the University's Redundancy Avoidance Policy and Procedures, which the Court strongly endorses as a means to avoid compulsory redundancy wherever possible (although not ruling it out as a measure of last resort);
- (vi) to support the continued development of business plans and proposals for the International College project and ask that these be for consideration at its meeting on 6 June 2016. While supportive of the principle behind the International College proposal, Ms Janice Aitken's asked that her dissent be formally recorded in relation to Court's decision to support the evaluation of the use of a private provider; and
- (vii) to note that the Chairperson would respond to communications received from DUCU in relation to the proposed establishment of an International College.

## 51. FINANCE

### (1) Finance & Policy Committee

The Court received a report of the meeting of the Committee on 21 March 2016 (**Appendix 2**). Members noted that the Committee had discussed the terms of the credit facility which would be covered in more detail later in the agenda (Minute 51(2)). The Convener highlighted the Committee's consideration of student recruitment reports, and members also noted that the Business Transformation tender process remained on track. The Convener informed the Court that an accommodation strategy would be considered in due course by the University Executive Group (UEG) and the Finance & Policy Committee.

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

(2) Credit Facility

The Director of Finance provided a proposal for the replacement of the revolving credit facility with Barclays Bank which had expired at the end of March 2016. Members noted that the Bank of Scotland had been selected following receipt of proposals from five banks, and that the Finance & Policy Committee had considered the proposal in full. The paper outlined the borrowing requirements of the University and the covenants proposed by the bank including: (i) Gross debt not to exceed 5x average EBITDA of the last three years, (ii) Maximum cumulative shortfall to forecast operating deficits/surplus in financial plan of £2.0m for 2015/16 and £4m thereafter, and (iii) EBITDA to cover interest costs by a minimum of 4x. Members were satisfied that the covenants would not constrain the University's ability to use the facility as long as surpluses and deficits were not materially worse than those currently projected. Members also noted that all financial projections and covenants had been prepared using current UK accounting standards.

- The Court decided:**
- (i) to confirm that the proposed borrowing facility and associated terms represented an appropriate part of the University's financial strategy; and
  - (ii) to delegate authority to the University Secretary and Director of Finance to complete all documentation required to finalise arrangements and enter into the £40m borrowing facility with the Bank of Scotland.

52. **GOVERNANCE**(1) Governance & Nominations Committee

The Court received a report of the Committee's meeting on 21 March 2016 (**Appendix 3**). Members noted that the Higher Education Governance (Scotland) Bill had been approved on 8 March 2016, and that the Governance & Nominations Committee would establish a working group to consider how to approach implementation of the recommendations contained within the new Act. Members were also pleased to note the continuation in post of Ms Bernadette Malone as the Rector's Assessor. The Convener highlighted the upcoming lay vacancy arising on the Court as a result of the appointment of Mr Bowie as the Chair of Court from 1 August 2016, and members noted that the Governance & Nominations Committee would consider proposals for the appointment process at its next meeting.

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

(2) Court Membership

The Court noted the election of Ms Indre Urbanaviciute as Dundee University Students' Association President from 1 July 2016, and Mr Sean O'Connor as the Independent Student Member on Court in terms of Statute 9(1)(k) effective from 1 August 2016 for a period of 1 year in the first instance.

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

### 53. AUDIT

#### (1) Audit Committee

The Court received a report of the meeting of the Committee on 1 March 2016 (**Appendix 4**). The Convener highlighted discussions relating to arrangements for the appointment of internal and external auditors (Minute 53(2) below). Members also noted that the Institutional Risk Register would be further reviewed and presented to the Court at its next meeting on 6 June 2016. The Convener drew members' attention to the internal auditor's discussions with the Committee regarding the internal culture of control, and in particular actions being taken to improve this.

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

#### (2) Internal and External Audit Provision

The Court noted that the internal audit contract was due for consideration and that the Audit Committee had recommended renewal of the contract with Scott-Moncrieff for a further period of 2 years from 31 July 2016.

The Court also noted that the external audit contract with PriceWaterhouseCoopers ended with the review of the financial year ending 31 July 2015. The Convener of the Audit Committee told members that a panel had reviewed tenders received for the external audit contract under the Advanced Procurement for Universities and Colleges (APUC) framework and had subsequently recommended the appointment of Ernst & Young as the external auditor for a period of 3 years from the financial year ending 31 July 2016.

**The Court decided:**

- (i) to approve the renewal of the internal audit contract with Scott-Moncrieff for a period of 2 years from 31 July 2016; and
- (ii) to approve the appointment of Ernst & Young for the provision of external audit services for the period of 3 years in the first instance from the financial year ending 31 July 2016 and therefore providing audit services for financial years 2015/16, 2016/17, and 2017/18.

### 54. SEVERANCE POLICY

The Convener of the Remuneration Committee reminded members of Court that in accordance with the Scottish Funding Council's (SFC's) 2014 Financial Memorandum with the Higher Education Sector, the University must have a clear policy on severance payments. With this in mind, the Remuneration Committee had undertaken to update the existing policy with input from the Human Resources Committee, University



Executive Group (UEG) and Campus Unions. The Convener highlighted key changes to the existing policy including: enhanced reporting requirements, a maximum financial limit to the award, and the requirement that severance agreements relating to Grade 10 staff be considered by the Remuneration Committee.

**The Court decided:** to approve the policy (**Appendix 5**).

55. **RESERVED BUSINESS: WELFARE AND ETHICAL USE OF ANIMALS COMMITTEE**

*[Secretary's note: this item was handled as reserved business, and members were required to treat the discussion and papers as strictly confidential and exempt from public disclosure. The University claimed exemptions in S.30, S.38 and S.39 of the Freedom of Information (Scotland) Act 2002].*

The Convener of the Welfare & Ethical Use of Animals Committee presented an overview of the business of the Committee, along with an outline of the University's facilities and the outcomes of recent reviews and reports. Members were satisfied that actions taken as a result of the reports were appropriate, proportionate and thorough. Members also noted that a review of resource units was underway and proposals would be brought to the Court when this review was completed. In response to questions, the Convener provided a detailed overview of licence application processes and also directed members to additional background materials on the Committee's website. The Court noted that the relevant risks were reflected in the University Risk Register, and officers undertook to review the register in light of recent developments.

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

56. **UNIVERSITY STRATEGY TO 2017: KEY PERFORMANCE INDICATORS**

**The Court decided:** to consider the report in full at its meeting on 6 June 2016.

57. **COMMUNICATIONS FROM THE SENATUS ACADEMICUS**

(1) Senate Meeting 23 March 2016

The Court received a report of the meeting of the Senate on 23 March 2015 (**Appendix 6**). Members noted the Senate's discussions in relation to recovery and sustainability and the proposal to rename the Academic Council as Staff Council to make it more inclusive.

**The Court decided:**

- (i) to note the dates of meetings contained in the academic calendar;
- (ii) to approve the recommendations concerning the conferment of the title of Professor Emeritus upon Professors John Connell, Stephen Greene and Alistair Munro; and

(iii) otherwise, to note the report.

(2) Extract from the Academic Calendar

The Court received an extract from the Academic Calendar for 2016/17 highlighting provisional dates for meetings of the Court and its Committees.

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

58. **DOJ CENTENARY TRUST**

Members noted that in accordance with the terms of the DOJ Centenary Trust, there was a requirement for the University to identify three trustees. Given the timeframe for appointments to be confirmed the Court approved the delegation of the authority to appoint trustees to the University Secretary.

**The Court decided:** to delegate the authority to the University Secretary to identify three trustees for the DOJ Centenary Trust.

*[Secretary's note: Ms Janice Aitken, Mr William Boyd, and Professor Mairi Scott subsequently agreed to become trustees for the DOJ Centenary Trust].*

59. **STAFF**

Grievance Procedures

**The Court decided:** to approve the composition of a Committee to hear a grievance under section 5.7 of the University's [Grievance Procedure](#) from unnamed members of staff as follows:

Iain Howie  
Karen Reid  
Supported by the Director of Academic & Corporate Governance or the Director of Legal Services.

## APPENDIX 1

### PRINCIPAL'S REPORT (Minute 49)

#### Finance and Strategy

Much of today's agenda rightfully revolves around the exploration of our key financial objectives, and from the papers members will see the strict budget targets which have been set for Schools and Directorates along with the responses from across the University to these challenges. In this respect the revised University structure has, I believe, created a culture and processes which are better suited, if not vital, to our ability to respond to the increased financial challenges we face – in particular the added accountability of Deans in relation to delivering key academic and financial targets, alongside the roles of the Vice-Principals in driving progress in strategically relevant areas. Overall this has led to an improvement in the negotiating and budget setting process, and a strong commitment to transparency and good practice.

The budget setting process is of course on-going at this point in the annual cycle, with the budget due to be presented to the Court in June. For this reason I will not comment in detail in this report on the budget itself, however I would like to draw attention to key aspects of the 2016/17 Indicative Funding Letter received from the Scottish Funding Council (SFC) in February. As expected, this reflects the impact of the reduction in funding announced by the Deputy First Minister in December and, as a result of decisions and methodologies applied by the SFC, the sector level cut of 3.3% has resulted in a 4.0% cut for the University of Dundee - which on top of the other external factors provides a starting point for budget setting in 2016/17 of a deficit of around £8.5m. Since the publication of the Funding Letter, we have been informed of additional funding for widening access and articulation cohorts in 2016/17. While this is good news, there remains uncertainty as to funding for these activities following the next election and spending review period. In addition as the overall budget has not been renegotiated, the additional funding in 2016/17 may be off-set by reductions through the top-slicing of awards in later years. It is therefore important that, in addition to ensuring a deficit of no greater than £5m for 2016/17, we continue to focus on our three year financial objective of maintaining a cumulative deficit of no more than £10m, before returning to surplus rather than the 2016/17 budget in isolation, if we are to ensure our long-term financial sustainability.

Lastly on financial matters, members will note that paper D on the agenda sets out a combination of savings and growth projects at local and institutional levels which we believe are necessary to meet the stated financial objectives. Our long term future depends greatly on the growth detailed in these projects, however our projections show that growth alone will not be sufficient, and given the parameters of the credit facility discussed in paper E it is not an option to increase borrowing to cover this shortfall. We therefore need to act quickly to address the financial short-fall and further improve efficiency wherever possible.

#### A Blueprint for Fairness

Members may have noted the publication of the final report of the Commission on Widening Access – '[A Blueprint for Fairness](#)' on 14 March 2016. This report follows on from the Interim Report published in November 2015 and sets out a series of 33 recommendations for the sector which aim to achieve a system wide plan for fair access across Scotland by 2030. Key recommendations in the report include the appointment, by the Scottish Government, of a Commissioner for Fair Access to oversee the development of a Fair Access Framework and a requirement that universities set a separate access threshold tariff for applicants from the most deprived communities in Scotland – in effect meaning that applications from these areas would be judged against minimum requirements for success as set by each degree programme. From recent discussions it would appear that the current Scottish Government has broadly welcomed the proposals and it is therefore likely that access requirements will become an established part of the higher education funding landscape. I have, on many occasions stated our commitment to widening access, and was particularly pleased to note the praise of Dame Ruth Silver (Chair of the Commission for Widening Access), during her recent visit, for the leading role that we are playing in Scotland in terms of widening participation. I am therefore confident that we will rise to the challenges set out by the report and would restate our commitment to our widening access here.

#### Student Numbers update

It is typical for my April report to the Court to contain a short headline summary of emerging patterns in the on-going student recruitment cycle – a matter which has rightfully, as always, been the focus of detailed consideration by the Finance & Policy Committee. I am therefore pleased to report that at this stage in the cycle the Undergraduate application, offer, and firm acceptance position is positive:

- undergraduate applications to controlled areas have been healthy, and these places are expected to be filled;
- Scottish/EU undergraduate applications are up by 9%;
- applications from the key MD40 cohort are up by 9%;
- Rest of UK uncontrolled applications are up by 15%, and offers are up by 26%; and
- undergraduate overseas uncontrolled applications are up slightly, with offers increasing by 37%, and acceptances also increased relative to the same point in last year's cycle.

While we must temper our enthusiasm with the reminder that clearing will as always be essential for unregulated undergraduate numbers, it would be fair to say that signs are positive for a strong undergraduate performance in this cycle.

It is still very early in the postgraduate recruitment cycle to comment, with patterns only just beginning to emerge, however at this point Home Taught Postgraduate applications, offers, and acceptances appear to be relatively stable, while Overseas Taught Postgraduate applications are up by 9%, offers are up by 8% and acceptances are at a similar level to last year. Importantly, we have seen increased applications, offers and acceptances in almost all areas, however significant declines in applications, offers and acceptances in CEPMLP, Economics, and Accounting and Finance mean that we must continue to do everything possible to ensure university wide conversion efforts to continue if we are to meet this year's targets and achieve an increase on last year's matriculations.

### **Governance Bill**

[Higher Education Governance \(Scotland\) Bill](#) has been a constant feature of recent reports and agendas, being widely debated by the Court on several occasions. Members may wish to note that the Bill was approved on 8 March and that, while we wait for implementation timeframes to be issued, the Governance & Nominations Committee have established a working group to consider fully the implications for the University.

### **EU Referendum**

Members will no doubt be aware of the implications for the sector and the University of the upcoming UK referendum on EU membership. As a charitable body it is important that we do not overstep Charity Commission rules in terms of participation in politically biased commentary, however there is provision for institutions to participate fully in issues which relate to their charitable objectives, and it is in this respect that I have recently engaged in a number of activities which I believe to represent the best interests of the University. In my capacity as a member of Universities UK I have participated in discussions on the Universities UK 'Universities for Europe' campaign and have signed up to the Vice-Chancellors letter in support of remaining in the UK. I have also represented Scotland in providing evidence at the House of Lords Science and Technology Committee on this issue alongside the President of UUK and the Vice-Chancellor of Cambridge University and would be happy to speak with members further on this issue.

### **Student Metrics**

Over the last couple of weeks there have been a number of league table announcements which I would like to draw to the attention of the Court. These include:

- Ranking top in the UK and 16<sup>th</sup> overall (2<sup>nd</sup> in the UK and 19<sup>th</sup> overall last year) in the THE '150 under-50' global rankings
- our ranking of 94<sup>th</sup> in the Times Higher Education European University Rankings which measured institutions on their teaching environment, research environment, citations, industry income and international outlook.
- Our ranking of number 2 in Scotland (joint 21<sup>st</sup> in the UK) in the 2016 Student Experience Survey, 0.8 of a point behind St Andrews University.

### **Dean of Life Sciences**

We had previously announced that Professor Doreen Cantrell was to step down as Dean of the School of Life Sciences on 31 March 2016 to pursue her considerable research interests within the School of Life Sciences, where she holds a Chair in Cellular Immunology. Since that announcement we have been engaged in an internal recruitment process and I am pleased to confirm the appointment of Professor Julian Blow as Dean of the School of Life Sciences.

Professor Cantrell has made a huge contribution to the University's international reputation and the success of the College of Life Sciences as Vice Principal and Head of the College of Life Sciences between 2009 and 2015 when

she led the School through last year's restructure - subsequently serving as the Dean of the School of Life Sciences. I would therefore like to thank Doreen for her contributions to the University while wishing Julian every success in his new role as he continues to develop the School of Life Sciences as one of the UK's leading centres for biological sciences.

Professor Pete Downes  
Principal & Vice-Chancellor

**University Executive Group Meetings (UEG)**

Since the last report to the Court, the University Executive Group met on 24 February, 9 March, 23 March and 6 April 2016, when the following matters were considered:

Corporate Issues

- Financial Position
- International Financial Dashboard for Schools
- Fees and Scholarships 2017 entry
- Syrian Refugees: Amended Proposal for Support
- Report for Court
- Programme Board Updates
- Strategic Projects
- Admissions and student recruitment
- Period accounts
- Research Excellence Framework: Lord Stern's Review
- Commission on Widening Access Report

Academic Management Issues

- Enterprise & Entrepreneurship
- Academic Engagement in Overseas Recruitment
- International Foundation Programme
- University Research Office
- FutureLearn
- Business and Management

Human Resources Issues

- UCEA: 2016/17 Negotiating Round

## News from Vice-Principals

*Professor Nic Beech (Vice Principal, Academic Planning and Performance)*

The Deans Group continue to operate as a cross-University academic leadership group focusing on maintaining and enhancing academic excellence and improving financial sustainability. During the consultations on restructuring the current three transformational themes were strongly endorsed and these have been adopted by the Deans Group in their prioritisation of integrating projects. In their strategic review the Deans identified areas of opportunity which are now reflected in the growth projects. In order to have sound foundations on which to build innovation, the Deans are planning immediate term savings projects (totalling £3.5M in Schools), and additional saving of £1.5M divided between projects in Humanities, Social Sciences and Biomedical Sciences. An indicator of culture development is that the list of priorities was endorsed by all Deans as a shared agenda and there is an acknowledgement that the second wave of innovation projects should also be endorsed on a cross-University basis.

The Deans Group, in conjunction with the School Managers group and OPD, is also organising a Summer Conference which will continue to build the culture of collaborative advantage: achieving together what we could not do separately, and collaborating internally to compete externally. The focus of the conference, and a project for the year, will be a holistic approach to performance management. Future topics will include innovation management in knowledge-intensive organisations.

*Wendy Alexander (Vice-Principal International)*

Targeting unregulated fee income remains a key priority for the University, and a number of areas of activity have been advanced since the last meeting of the Court which may be of interest to members. A major platform for advancement of our internationalisation and growth agenda is the proposed establishment of an International College. The College would be located on the City Campus, and would provide an alternative entry route into our degree courses for international students, with students able to attend a range of access courses, where their country's education system does not give them a high enough qualification to enter our undergraduate courses, or where their English language qualifications are not high enough. Students will also be able to attend courses which provide an entry route into our masters courses. We are in early discussions, and have not selected a provider, but will continue to develop our plans during 2016.

Over the last few months, in accordance with our key strategic goals, we have pursued a number of activities linked to increasing international recruitment from growth markets such as China. These include investment in 2 new positions through the China British Business Council (CBBC) to support our growth in international students from the China, and the appointment of a new Conversion team. We have also coordinated academic visits, with 11 academic staff visiting China for a combination of recruitment fairs and visits to partner institutions during the first half of 2016. Furthermore, we are also pursuing the development of articulation agreements and/or joint degree programmes, with visits to 18 partner Universities scheduled for March and April 2016. This has so far resulted in three new signed agreements including 2+2 articulations in Civil Engineering and Mechanical Engineering, with additional 2+2 articulations/joint degree programmes in engineering disciplines, business and life sciences currently being developed. The University has also been successful in an application to the Chinese Embassy for 20 student places for a 2016 Summer School at the East China University of Science and Technology in Shanghai, while 3 students have been awarded Chinese Government Scholarships to study in China for a year.

*Professor Karl Leydecker (Vice-Principal Learning & Teaching)*

A number of student metrics which are important for the learning and teaching agenda have been highlighted earlier in the report, as have the emerging student recruitment patterns for the current cycle. I would however like to highlight to members the following recent article by John Blicharski on Widening Access (below) which summarises our achievements in this important area.

The recent visit by the Commission for Widening Access (CoWA) highlighted that Dundee is leading the way in Widening Access. We continue to play a key role in social mobility, a third of the growth across Scotland attributable to our own University over the last three years. Using the Scottish Government benchmark of entrants from the forty percent most deprived backgrounds in Scotland (SIMD40) we have delivered growth for this group from 14% to 31% over the same timescale. Importantly, Dundee uniquely has done this through the use of supported (pre-entry support) offers via UCAS to candidates who have high levels of contextual adversity. Our tracking evidenced how this enhances preparedness and crucially progression to levels above the Scottish average. Our ambition to admit – and graduate – the brightest and best regardless of background was described by CoWA

as being “exactly what Scotland needs, in spades”. With supported offers already out to over 900 further Access students for entry in September 2016, we are on track to transform more lives.

*Professor Tim Newman (Research, Knowledge Exchange and Wider Impact)*

Since the last Court meeting a key focus for the Vice-Principal has continued to be the exploration of the quality and sustainability of research across the University. In this respect a great deal of work has been done by the University Research and Knowledge Exchange Committee on a range of new initiatives and policies. In particular, Court members may be interested to note that the Annual Research Review is now being rolled out across five of the nine Schools, and a new policy on pre-approval of grant applications is under final revisions prior to implementation.

Another priority has been the integration of research activities, and significant work has been carried out with the Schools of Medicine and Life Sciences on a new vision for Biomedical Sciences at the University, with emphasis on translation from basic science to clinical impact. Early discussions have been entirely positive and I look forward to updating the Court further as ideas evolve. It has also been pleasing to note the range of interdisciplinary work across the Schools, much in the public health space, clearly showing the transformative nature of the University's research.

We have also as an institution engaged with the Stern review on the Research Excellence Framework 2020, providing detailed input to the review. In particular we have highlighted the need to minimise disruption to allow the University to plan its research policies on research quality against a known background of review. While on a related practical matter, HEFCE's new Open Access policy went into force on April 1st, and the Library and Learning Centre is providing a one-stop shop on guidance and processing of all new research outputs to ensure their open access compliance for the next REF.

Lastly, we continue to proactively seek new research collaborations, and in late February we welcomed a delegation from the Highland and Islands Enterprise with the aim of forming strong collaborations with impact for that region.

Annex C

## People and Prizes

**Novartis Medal and Prize for Professor Doreen Cantrell**, Wellcome Trust Principal Research Fellow of the School of Life Sciences at the University of Dundee. The award is widely regarded as one of the UK's most prestigious honours in biochemistry. It is awarded annually in recognition of contributions to the development of any branch of biochemistry and is open to candidates of any nationality working in the UK and Ireland.

**Winter Olympics Team Helps with Medical Student's Project:** Some of Scotland's greatest curlers have lent their weight to a research project being carried out by Iona Robertson, an Intercalated BMSc student on the Applied Orthopaedic Technology course at the TORT Centre. Iona has been working with members of the Men's British Curling Team from the 2014 Winter Olympics as she collects data for a project examining the stresses placed on the knees of people playing the sport International Student Success

**Fellows of the RSE:** The new Fellows from the University are: Wendy Alexander, Vice-Principal (International) Paul Birch, Professor of Plant Pathology and Deputy Head of the Division of Plant Sciences Andrew Hopkins, Professor of Medicinal Informatics and SULSA Research Professor of Translational Biology Karim Labib, Professor of Genome Integrity.

**International Student Success:** Students from countries including Kenya, Uganda, Pakistan, Ghana, Lebanon and Iraq, who won prestigious Chevening Scholarships, had their successes celebrated with a special reception, hosted by the Professor Sir Pete Downes, Principal, and Wendy Alexander, Vice-Principal (International).



### 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. Any joint awards with other institutions state the University of Dundee value only. Where an award is overhead bearing the level of overhead is indicated.

**Professor J D Hayes** (Medicine) £854,266.00 inc £382,772.00 overhead from Medical Research Council for Contribution by NRF2 Upregulation to Lung Carcinogenesis and the Possible Therapeutic Value of NRF2 Inhibition by GSK-3 (Joint with University of St Andrews, University of Edinburgh and University of Pennsylvania)

**Dr Y Kulathu** (Life Sciences) £1,109,666.00 inc £221,933.00 overhead from EC Horizon 2020 - European Research Council (ERC) for Regulation of Lymphocyte Biology by Ubiquitin and Ubiquitin like Modifiers RELYUBL (Starting Grant)

**Professor S Keyse** (Cancer Research UK) £ 526,406 inc £182,769 overhead from the MRC for Regulation of the Oncogenic Potential of Signalling through the Ras/ERK Pathway by Dual-Specificity Phosphates 5 (joint with Universities of Bath and Liverpool and Beatson Institute)

**Professor L C van Blerk** (Social Sciences) £231,723.00 inc £95,788.00 overhead from StreetInvest for Growing up on the streets phase II

**Professor M A J Ferguson** (Life Sciences) £242,369.00 inc £87,467.00 overhead from Medical Research Council for Increasing the Translational Impact of Drug Discovery (Proximity to Discovery 2015)

**Professor J Rowan** (Social Science) £159,323 inc £83,166 overhead from NERC for Upscaling Catchment Processes for Sustainable Water Management in Peninsular India (Joint with Centre for Ecology and Hydrology and British Geological Survey).

**Dr M Muqit** (MRCPPU) £171,155 inc £34,231 overhead from Michael J Fox Foundation for Parkinsons Research for Investigation of the Role of PINK1-dependent Phosphorylation of Rab GTPases in Parkinson's Disease (joint with Technical University of Munich).

**Professor C MacKintosh** (Life Sciences) £181,765.00 inc £15,563.00 overhead from EC Horizon 2020 - Marie Skłodowska Curie Actions (MSCA) for Targeted Small Molecule Stabilisation of Protein-Protein Interactions (TASPPi) (Joint with Universities of Eindhoven, Leeds, Charles, Siena and National Scientific Centre, Recherche)

**Dr J Knappett** (Civil Engineering) £111,618 inc £64,467 overhead from EPSRC for Shaking Tunnel Vision (Joint with University of Leeds and Pontificia Universidad Catolica de Valparaiso, Chile).

**Professor E Trucco** (Science & Engineering) £160,000.00 inc £46,946.00 overhead from Queens University Belfast for Software Development (VAMPIRE) and Retinal Scan Analysis for Diabetes Biomarkers

**Professor S Black** (CAHID) £9,997,989 inc £0.00 overhead from Leverhulme Trust. One of four major strategic grants awarded throughout the UK, the award will support the Leverhulme Centre for Forensic Research, Evidence and Enterprise (FORESEE), cementing Dundee's globally leading position in forensic science.

**Professor T Palmer** (Life Sciences) £1,199,165 inc £0.00 overhead from Wellcome Trust for Identification of Substrates and Roles in Virulence of the Staphylococcus Aureus Ess Protein Secretion System (Investigator Award)

**Professor D M F van Aalten** (Life Sciences) £1,332,087 inc £0.00 overhead from Wellcome Trust for Genetic and Chemical Validation of Sugar Nucleotide Biosynthesis as a Target Against Candida Albicans (Joint with University of Aberdeen)

## APPENDIX 2

### FINANCE & POLICY COMMITTEE (Minute 51(1))

A meeting of the Committee was held on 21 March 2016.

Present: Mr KA Richmond (Convener), Principal Professor Sir Pete Downes, Professor SM Black, Mr R Bowie, Mr IC Howie, Mr T Hustler, Ms J Marshall, Mr EF Sanderson and Professor M Scott.

In Attendance: Mr J Elliot, University Secretary; Vice-Principal (Learning & Teaching); Director of Academic & Corporate Governance; Director of Campus Services; Director of Finance; and Policy Officer (Corporate Governance)

Apologies: Vice Principal (Academic Planning & Performance)

#### 1. MINUTES

**Resolved:** to approve the minutes of the meeting of 25 January 2016.

#### 2. MATTERS ARISING

##### (1) Credit Facility Update (Minute 2 (3))

The Director of Finance gave a presentation on the acquisition of a new credit facility. In doing so he informed the Committee that the original forecasts given to the Banks in October were based on discussions held at the September Court Retreat. However, the latest forecasts which have been shared with the Bank of Scotland and reflect the decision of the Court to restrict the deficit to £5m in 2016/17 and no more than £10m over the next three years, provided a more positive outlook. In response to questions, the Director confirmed that the three covenants requested by the Bank of Scotland had been negotiated and were calculated using the average Earnings Before Interest, Taxes, Depreciation and Amortisation (EBITDA), which the Director informed the Committee was favourable under the new Financial Reporting Standard, FRS102.

Turning to the size of the facility, the Director informed members that the negotiations with Banks had initially been undertaken on the basis of a £50m revolving credit facility, but that based on a review of the latest forecasts, this amount was more than two times the maximum predicted requirement. The Director therefore recommended reducing the facility to £40m, thus lowering the commitment fees by £27k per year while remaining sufficient for the University's projected business needs; the Committee agreed that a facility of £40m was therefore appropriate.

Members noted that due to changes to the timeline, the authority previously delegated by the Court to the Chairperson of Court, the Convener of the Finance & Policy Committee and the Director of Finance to finalise the credit facility was no longer required and that approval would now be sought directly from the Court as a whole at its meeting on 18 April 2016.

**Resolved:** to note the update and recommend approval of the facility on the basis discussed, subject to a detailed proposal being submitted to the Court.

##### (2) Business Transformation (Minute 6)

The University Secretary provided an update on the procurement process for the Integrated Business System (IBS). In doing so he informed the Committee that the tender process remained on target and that he expected a proposal in relation to a preferred provider to be brought to the Court meeting on 6 June 2016.

Members noted that an implementation steering group had been created to oversee the project's implementation, which included lay court member representation, and that the Audit Committee was in the process of finalising a programme of internal audit work to provide additional assurance.

In response to questions relating to the impact of implementation of the system, the University Secretary told the Committee that professional services had held an away day on 18 March 2016 to discuss the effects the new system would have and how these would be managed. It was noted that

the minutes of the Implementation Steering Group would be provided at the next Committee on 9 May 2016.

**Resolved:** to note the update and await the minutes of the last meeting of the Steering Group.

(3) Reporting Use of Delegated Authority (Minute 4 (5 October 2015))

The Director of Academic & Corporate Governance tabled a report detailing the structure of delegated authority exercised by Officers. In presenting the report he drew to the attention of the Committee where the powers attributed to individual officers had been highlighted in the document, and the proposal that it would be desirable for a reporting mechanism to be developed to collate occasions where delegated authority has been exercised in these areas.

Members supported the principal of reporting the use of delegated authority, and in particular with regard to ensuring transparency, good governance and best practice were upheld.

The Convener requested that members review the report and provide feedback via email directly to the Director of Academic & Corporate Governance and the Convener of the Finance & Policy Committee.

**Resolved:** (i) to await feedback from the Committee on the proposed update to the Reported Use of Delegated Authority; and

(ii) to note the report.

(4) Admissions Update (Minute 9)

The Vice-Principal (Learning & Teaching) provided an update on the proposed scholarship and fees review reported at the last meeting. In doing so he informed the Committee that the review had been completed and, consequently, new fee rates had now been published on the University website. However, Taught Post Graduate Home fees and selected specialist fees still remained to be finalised. In addition, Distance Learning fees were being reviewed centrally to ensure the implementation of a more consistent pricing structure across the University, as historically these fees had been determined by individual Schools.

The Vice-Principal told the Committee that fees had been increased with the new tariff being used by Schools in the current budget setting cycle; therefore, any improvement in net income would be evident when the budgets were finalised. He further advised that the Vice-Principal (Research, Knowledge Exchange and Wider Impact) had reviewed Research Post Graduate fees and fee waivers in more detail, with a view to rationalising the number offered.

Turning to Scholarships, the Vice-Principal advised that Schools would no longer hold the budget for scholarship fees; instead there would be one centralised budget. Members noted that the Vice-Principal (International) and the Director of External Relations would work towards the development of a more cohesive scholarship strategy across the University and that this should be completed in time for implementation for September 2017 scholarship applications.

The Principal highlighted the impact of the restructuring and cultural change within the University in terms of enabling a more direct ability to scrutinise, change and implement good practice.

**Resolved:** to note the update.

3. **MANAGEMENT ACCOUNTS – PERIOD 6/7**

The Director of Finance presented the management accounts for the period to the end of January 2016. In doing so he highlighted a negative impact of circa £700k in relation to lower than planned Semester 2 student recruitment. In discussion it was highlighted that a large percentage of this under recruitment was attributed to the School of Social Sciences. The Vice-Principal (L&T) explained that this had been due in part to the effect tumbling oil prices were having on certain countries like Nigeria, which had imposed strict new credit controls on transferring funds, thus precluding students transferring money out of the country for tuition fees.

The Director presented the Period 7 accounts and advised that there should be no further unexpected variations on income and that the focus was now on managing costs going forward with the aim of achieving a breakeven position for the year.

Turning to the cash position the Director drew the Committee's attention to the Research & Development Expenditure Credit (RDEC) claim and advised that only £1m of the £8m had been received to date. It was expected that a further £3m would be received this financial year with the remaining £4m next year.

**Resolved:** to note the report.

#### 4. STUDENT RECRUITMENT UPDATE

The Vice-Principal (L&T) introduced a paper on admissions for 2016. The Committee heard that undergraduate (UG) offers and firm acceptances had increased across all fee cohorts, taught postgraduate (TPG) overseas applications were up and offer making was now in line with that increase in applications. Firm acceptances were up across the institution, but there were declines in certain controlled subjects. Overseas research postgraduate applications were reported as still being in decline, which appeared to be an emerging pattern, which had the potential to result in a significant decrease in research postgraduate (PGR) matriculations.

Turning to controlled subject areas, the Vice-Principal informed members that although recruitment was lower in Dentistry this year it reflected changes to funding by the Scottish Government whereby funding to Dentistry had been reduced following a considerable increase in 2014/15. Members however noted that the numbers reflected that of the 2013/14 intake, and that as a result of increases for medicine and nursing the total numbers remained stable. In response to questions the Vice-Principal confirmed that the increase in international applications in 2014/15 was believed to have largely resulted from the positive ranking in the league tables, but that applications had now returned to levels previously seen.

The Vice-Principal went on to highlight changes being applied by the Scottish Government to costs relating to clinical placements. Members noted that the Government currently applied a levy of £3k per medical student per clinical year to recover costs incurred on clinical placement but that this was due to increase to £10k per student from 2016/17. Members noted that this would have a significant impact for the University, and that negotiations were currently being undertaken by the sector with the Scottish Government to establish a longer transition period.

Members discussed the recent report by the Commission on Widening Access, and in particular the proposal that there would be reduced tariff requirements for students from a widening participation background.

**Resolved:** to note the report.

#### 5. SFC INDICATIVE GRANT LETTER

The University Secretary introduced a paper summarising the Scottish Funding Council (SFC) Indicative Funding letter. In doing so he explained that the reductions were largely in line with those projected at the last Court meeting. In response to questions he clarified two issues; firstly that two of the reductions in funding, a tranche of teaching grant funding removed for continuing RUK students and reduction in Research Excellence Grant (REG), had been known prior to the spending review and so had already been reflected in forward projections. Secondly the final year of funding for additional widening access and articulation places had been withdrawn and represented a reduction in expected funding. The Committee was advised that capital funding had also been reduced across all institutions in a largely comparable proportion. Members noted that the final letter was expected in May 2016.

**Resolved:** to note the update.

#### 6. BUDGET SETTING UPDATE

The Director of Finance provided an update of the current budget setting process. He informed the Committee that work was ongoing to complete the budget proposal, which would, as usual, be considered by the Committee at its meeting on 9 May 2016. Members noted that the initial submission would cover a period of three years with an additional two years at a more summarised level highlighting significant emerging trends in 2019/20 and 2020/21.

Some members questioned why the proposed strategic projects which were to be the subject of a paper to the Court in April had not been submitted to the Finance & Policy Committee in the first instance. Officers clarified that the projects would be presented to Court in April to enable the emerging plans and timings to be reviewed, and that detailed plans would be presented to the Finance & Policy Committee in May prior to final recommendations being made to Court in June 2016. Members noted that the objective of the paper to Court in April was primarily to illustrate the range of proposals and actions which were being actively pursued. Members noted that a Programme Board had been put in place to coordinate the various initiatives, provide timelines and track projects to ensure they were on target. It was expected that the output from this group would be presented to Finance & Policy Committee for scrutiny and to inform recommendations to Court.

**Resolved:** to note the update.

## 7. DRUG DISCOVERY UNIT (DDU)/CURE UPDATE

The University Secretary provided an update to the Committee in relation to the CURE Fund. In doing so he advised that the pre IPO package had closed and was now proceeding to IPO which was expected to close in June 2016.

**Resolved:** to note the update.

## 8. ANNUAL REVIEW OF TREASURY POLICY

The Director of Finance introduced the annual review of the Treasury Policy. In doing so members noted the summary provided in relation to the counterparty risks and limits, liquidity risks, currency risks, currency swaps and inflation risks. The Director highlighted the reduction in credit rating for the Royal Bank of Scotland, and highlighted that it no longer met the ratings required by the Treasury Policy.

The Director reminded members that the Committee had the authority to approve the continued use of banks which fall below this policy requirement, and proposed the continued use of the Royal Bank of Scotland to hold University funds until a tender process could take place in October or November 2016 to potentially identify a suitable replacement.

Members also noted that an annual review of Treasury Operations had recently been completed and deemed fit for purpose.

**Resolved:** (i) to approve the continued use of the Royal Bank of Scotland until the tender process is undertaken in October or November 2016; and

(ii) to note the report.

## 9. POTENTIAL CHANGES TO UODSS

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

The Director of Finance presented an update on the University of Dundee Superannuation Scheme. In doing so he highlighted a proposal to consider changing to a defined contribution scheme. Members noted that this would potentially reduce costs and risks for the University and through varying contribution rates, might encourage employees to join and/or remain in the scheme.

The Committee proposed that a meeting of the Pensions Sub-Group be scheduled to further consider the matter and recommended that an actuary be invited to attend the meeting to provide information on options, savings, and the deliverability of options. It was also suggested that comparisons of provision from other Higher Education institutions be provided and members recommended that advice be sought from University lawyers prior to the meeting.

**Resolved:** (i) to arrange a meeting of the pensions sub-group in May 2016 to discuss the proposal to change the pension scheme; and

(ii) to note the update.

**10. ESTATES & BUILDINGS**

The Director of Campus Services provided a paper outlining space utilisation and the capital expenditure programme. He explained that the estate strategy had targeted a reduction in the size of estate and that over the last few years the University had disposed of various buildings which in turn increased the activity levels in other buildings on the City and Ninewells campuses. Members noted that leases had also been reviewed and savings of £70k had been made from exiting the lease of the Comet building in West Henderson's Wynd.

The Director highlighted the improved usage rate for central teaching rooms on City campus, from 19% to 29% which was in line with the sector average of 30%. The Committee was informed that the next area to be reviewed would be office space, which currently makes up 22% of the estate.

Turning to the Capital expenditure programme, the committee was informed that a revised programme had been produced, reflecting funding limits of £7m (2015/16), £5m (2016/17) and £5m (2017/18). The Director highlighted to members that the Tower Cladding project which had been approved at the last meeting of the Finance & Policy Committee had subsequently been withdrawn for the present given the current budget constraints. Members questioned a potential capital refurbishment cost associated with the CURE initiative and requested that officers report back to the Committee at its next meeting.

**Resolved:** (i) to report on potential costs attributed for the CURE project; and  
(ii) to note the report.

## APPENDIX 3

GOVERNANCE & NOMINATIONS  
(Minute 52(1))

A meeting of the Committee was held on 21 March 2016

Present: MR E F Sanderson (Convener), Principal Professor Sir Pete Downes, Ms J Aitken, Mr R Bint, Mr K Burns, Ms J Marshall and Professor M Scott

In Attendance: University Secretary, Vice-Principal (Research, Knowledge Exchange and Wider Impact); Director of Academic & Corporate Governance, Mr R Bowie, Policy Officer (Corporate Governance)

Apologies Ms B Malone

## 1. MINUTES

**Resolved:** to approve the minutes of the meeting on 25 January 2016.

## 2. MATTERS ARISING

(1) Update on appointment of Chairperson of Court (Minute 2(1))

The Committee noted the appointments of Mr R Bowie as the next Chairperson of Court and Mr N Menzies as lay member of the Audit Committee.

Turning to the recruitment of the Chairperson of Court, the Committee requested that officers undertake a full review of the recruitment and appointment process and provide a detailed report to the next meeting to inform refinement of guidelines and procedures. In particular, the Convener proposed that the report should be produced with significant input from both the University Secretary and the recruitment consultants, Saxton Bamfylde, and should focus on areas including; effectiveness of advertising, ensuring diversity of applicants, the level of interest shown in the vacancy, feedback from panel members and how the University is perceived externally.

**Resolved:** (i) to await the report on the recruitment and appointment process of the Chairperson of Court; and

(ii) to note the update

(2) Academic Calendar (Minute 2(4))

The Director of Academic & Corporate Governance introduced the draft Academic Calendar for 2016/17. In doing so he informed the Committee that the Calendar now spanned a period of 15 months in an effort to aid members in their forward diary planning.

Members were advised that the draft calendar would be considered by the Senate at its meeting on 22 March 2016 and subsequently submitted to the Court for final approval at its meeting on 18 April 2016.

**Resolved:** to note the update.

(3) Register of Interests (Minute 5)

The Director of Academic & Corporate Governance informed the Committee that the annual review of senior University officers' Declarations of Interests forms was underway and an update would be provided to the Committee at its next meeting.

**Resolved:** to note the update.

### 3. HIGHER EDUCATION (SCOTLAND) GOVERNANCE BILL

The Director of Academic & Corporate Governance introduced a paper which summarised the main provisions of the Higher Education (Scotland) Governance Bill (<http://www.scottish.parliament.uk/parliamentarybusiness/Bills/90125.aspx>), in doing so he confirmed that the Bill had been passed by the Scottish Parliament on 8 March 2016.

The Director highlighted areas in his report which would require further consideration by the Committee, including the amendment of existing Charter, Statutes and Ordinances of the University and the requirement for additional regulations to be developed. The Committee discussed the paper and consequently approved the establishment of a working group, with the following proposed membership, to focus on these matters:

Jo Elliot (Chair)  
University Secretary  
President, Students' Association  
Ms Bernadette Malone  
Ms Jane Marshall  
Mr Stuart Cross  
Ms Janice Aitken  
Mr Dave Ritchie  
Director of Academic & Corporate Governance

The Convener informed members that the Scottish Funding Council (SFC) required that the Scottish Code of Good HE Governance be updated to reflect the outcomes of the Bill. In doing so he confirmed that the Committee of Scottish Chairs (CSC) had proposed a Chair and two lay members to serve as members of a working group which would consider changes to the Code, and that this group was expected to meet over the summer.

- Resolved:**
- (i) to approve the formation of a working group to further consider the implications of the Higher Education (Scotland) Governance Bill and to make recommendations in relation to changes required to ensure compliance with the Bill; and
  - (ii) to note the update.

### 4. RECTOR'S ASSESSOR

The University Secretary informed the Committee that after discussion with the new Rector, Mr Mark Beaumont, Ms B Malone would continue to serve on Court as Rector's Assessor.

**Resolved:** to note the update and welcome Ms Malone's continued membership of the Court.

### 5. LAY MEMBER VACANCY ON COURT

The University Secretary informed the Committee that subsequent to Mr R Bowie's successful appointment to Chairperson of Court from June 2016, a lay member vacancy had arisen on the Court. The Committee agreed that it was desirable that the process to fill this vacancy be initiated. Members discussed the advertising and recruitment process used previously and requested that the University Secretary and The Director of Academic & Corporate Governance produce a proposal for consideration at the next meeting.

The Committee extended congratulations to Miss Indre Urbanaviciute, who had been appointed Student President and Mr Kevin Burns who had been appointed Deputy President

**Resolved:** to note that a paper would be provided to the Committee at its meeting on 9 May 2016 outlining the proposed process for the appointment of a new Lay Member of Court.



## APPENDIX 4

### AUDIT COMMITTEE (Minute 53(1))

A meeting of the Committee was held on 1 March 2016.

**Present:** Mr J Elliot (Convener), Mr R Bint, Dr WGC Boyd, Ms B Malone, Mr N Menzies, Ms SS Morrison-Low, Mr K A Richmond

**In Attendance:** University Secretary; Director of Academic & Corporate Governance; Director of Finance; Deputy Director of Finance; Mr C Brown (Scott- Moncrieff); Mr D Eardley (Scott-Moncrieff); Mr R McKenzie (Scott-Moncrieff); and Policy Officer (Academic & Corporate Governance).

The Convenor welcomed Mr Neil Menzies to his first meeting of the Audit Committee.

#### 1. MINUTES

**Resolved:** subject to minor revisions, to approve the minutes of the meeting of 30 November 2015.

#### 2. MATTERS ARISING

##### (1) Risk Management: Business Continuity Planning (Minute 2(3))

The Director of Academic & Corporate Governance informed the Committee that a new post within Academic & Corporate Governance had been created to support and oversee risk management, business continuity and internal audit processes.

**Resolved:** to welcome the update.

##### (2) Whistleblowing Policy (Minute 2(6))

The Director of Academic & Corporate Governance introduced an updated version of the Whistleblowing (Public Interest Disclosure) Policy. The Committee reviewed the Policy and offered further suggestions and proposed amendments including the addition of a section to address claims made in bad faith.

**Resolved:** to ask officers to submit a further revised policy to the next meeting.

#### 3. CONVENER'S REPORT

The Committee noted that the Convener had met with the internal auditors since the last meeting and had also had the usual pre-meeting with the University Secretary, Director of Academic & Corporate Governance, Director of Finance and Policy Officer directly before the meeting. Matters arising would be covered elsewhere in the agenda.

#### 4. INTERNAL AUDIT

##### (1) Internal Audit Progress Report

The Committee considered a report from the internal auditors Scott-Moncrieff detailing progress to date on the 2015/16 Internal Audit Plan. Members noted that four audits had been completed with one currently in progress and one which had been deferred until April due to the lack of availability of key members of staff. The Auditors highlighted that this report would now be presented to the September Audit Committee.

The Audit Manager highlighted that they had uncovered several unexpected control weaknesses during the course of their audit work. In general terms the Internal Auditors felt that the University did not yet have a strong enough culture of control, an issue which it was particularly important to address given the current financial position of the University. They indicated that this was not inconsistent with their findings in relation to other institutions in the sector.

In response, Officers indicated that the implementation of the Integrated Business System and the Business Transformation project was designed to deliver robust in-built processes and controls and thereby improve the culture of control within the University. Members asked whether more internal audit days were necessary to provide additional assurance in the areas of concern. Further discussion was held on the three-year audit programme and members recommended that the existing plan be reviewed to identify areas of risk, given the current financial position of the University, and report those findings to the next Audit Committee.

**Resolved:** (i) to review the scope of three-year audit programme to address potential areas of risk; and

(ii) otherwise, to note the report.

(2) Payroll

The Auditors introduced their report on payroll. In doing so they highlighted that the focus of the audit was to assess the adequacy, reliability and effectiveness of the internal controls surrounding the payroll process. The report made three high-risk recommendations in areas where the audit team believed there was scope for improvement. These included: review of system access required by payroll staff and process used to add casual employees to the system; introduction of exception reports for regular review by the Payroll Manager; and the introduction of sample reviews of variance reports.

The Auditors informed the Committee that whilst the system on the whole functioned, there were some key controls not being applied. It was highlighted that progress towards meeting the recommendations was essential to safeguard the University from potential misappropriation of funds.

In response Officers expressed concern that these control weaknesses had not been identified in previous internal audits of the payroll function but assured members that controls to address these recommendations were already being put into place and that the implementation of the Integrated Business System should resolve any outstanding control issues.

**Resolved:** to note the report

(3) Expenditure and Creditors Expenses

The Auditors provided an overview of their report into Expenditure and Creditors Expenses. In doing so, they highlighted that they had found no high-risk or fundamental failures of key controls. The report made three limited and one moderate risk recommendations in which the auditors identified scope for improvement and all had been accepted by management. These included: the Procurement Manual and Financial Regulations being updated to correctly reflect the current University structure; checks introduced to ensure file transfer from PECOS to CODA is completed accurately and completely; overdue balances being appropriately reviewed in conjunction with relevant School or service areas and further reviewed by the Financial Controller on a monthly basis, and the Staff Reimbursement Policy to be dated to identify the most recent version.

**Resolved:** to note the report

(4) Research Contracts

The Auditors presented a report on Research Contracts. In doing so they acknowledged that officers had sought an internal audit review of this area because they were aware that processes required refinement and that a clear programme of improvement was essential. The report made three high and three moderate risk recommendations in which the Auditors identified scope for improvement. These included: developing and implementing a robust framework for assessing, overseeing and managing research activity; developing a reporting and approval process to ensure strategic oversight and challenge of research proposals, to ensure open ended funding agreements were checked annually with the relevant funding body; review of the management structure and processes; and ensuring the overall governance structure for research contracts was well defined.

The Committee noted the report and its recommendations, all of which had been accepted by management. The University Secretary informed members that the Vice-Principal (Research,

Knowledge Exchange & Wider Impact) would attend the next meeting to report on the progress being made towards the implementation of the recommendations.

**Resolved:** to note the report

(5) Health and Safety

The Auditors provided an overview of the report on Health and Safety. In doing so they highlighted that the review had found no high risk or fundamental failures of control procedures. The report made four moderate risk level recommendations which had been identified as having scope for improvement. These included: a deadline for Schools to submit supporting guidance to enable the updated Health and Safety policy to be published; a deadline to be set for Schools to formally appoint Health and Safety Advisors; producing an action plan to be maintained and monitored by the Health, Safety & Well-being Committee; deadlines to be set to ensure all mandatory training was completed; and developing an inspection programme covering the whole university.

In response members noted that all recommendations had been accepted by management and recognised that the outcome of this report was extremely positive and that a great deal of progress had been made since the last audit.

**Resolved:** (i) to request the Acting Head of Health & Safety to update the management response for item 3.1 in the report; and

(ii) otherwise, to note the report.

5. **PROCUREMENT PROCEDURES FOR APPOINTING NEW AUDITORS**

The Director of Finance presented a report on the procurement procedures for internal and external auditors; and in doing so highlighted that the Advanced Procurement for Universities and Colleges (APUC) framework could be used for selection.

The Director clarified that the original internal audit contract with Scott-Moncrieff was for two years and expired at the end of July 2016. There was an option to extend the contract for a further year; however, the University could enter into a contract directly with the number one ranked firm on the framework (Scott-Moncrieff) and extend for a period beyond one year. Members discussed the benefits of being able to continue the positive relationship being developed with the internal auditors and agreed to request the extension of contract for a further two years.

In relation to the appointment of external auditors following the expiry of the appointment of PricewaterhouseCoopers, the Director of Finance presented the eight providers on the APUC framework and recommended initiating a mini-tendering process from those eight, from which a shortlist of perhaps three companies might be invited to present to a subset of the Audit Committee. It was suggested that a three year contract with options to extend for a further year to two years be offered. It was decided that the subset of the Committee should include the Convener of the Audit Committee, the Director of Finance and another lay member of Court.

**Resolved:** (i) for its part, to recommend to Court the approval of Scott-Moncrieff as internal auditors for a further period of two years;

(ii) to undertake a mini-tendering process within the APUC framework for an external auditor to be recommended to Court in April 2016; and

(iii) otherwise, to note the report.

6. **INTERNATIONAL PARTNERSHIPS**

The Committee received a draft copy of the Educational Partnerships Development Unit (EPDU) Operating Plan for the period 2015-18. The Convenor requested that a Risk Management Matrix be submitted to the next meeting.

**Resolved:** (i) to ask the Director of the EPDU submit the EPDU Risk Management Matrix to the next Committee;

(ii) to note the report

## 7. BUSINESS TRANSFORMATION

### (1) Business Transformation

The Committee received a report from the Director of Business Transformation, outlining the progress to date with the procurement of the Integrated Business System (IBS). Members discussed the Project Assurance Plan prepared by the internal auditors alongside the timeline in which the business objectives would be reviewed. It was suggested that a more detailed plan should be developed by the internal auditors which took account of the successful supplier and their subsequent timeline. This would provide a programme which would be more closely aligned to the project life cycle. The Auditors also highlighted that organisational readiness was an area for continual review.

**Resolved:** to note the report

### (2) Internal Audit Support for Business Transformation

Members were advised that the new IBS steering group had been created and would have its inaugural meeting on the 11 March 2016. In discussion members recognised the risks associated with bringing the project in on time and on budget, and noted that the role of the Steering Group would be considered in the context of the internal audit plan for project assurance discussed above.

**Resolved:** to note the update

## 8. IMPROVEMENTS IN VALUE FOR MONEY (VFM)

The Director of Finance provided an update on the procurement of IT hardware and devices, and highlighted that in future there would be one single supplier for 80-90% of the devices in the University. This would reduce risk, in terms of procurement processes, and enable enhanced management of the IT estate, whilst still providing the necessary academic flexibility required. The Director advised that it had also been proposed that the associated budget remain within the Schools and Professional Services at present, with the budget holder being responsible for cost savings and appropriate spend.

The Director of Finance advised that the routine Value for Money report for submission to the Scottish Funding Council would be presented at the next meeting.

**Resolved:** to note the update.

## 9. APPROACH TO COSTING (TRAC) RETURN

The Director of Finance presented the TRAC return. The Committee heard that there were no significant areas of change in comparison to the previous year; however, there had been an improved response rate in the Teaching Allocation Survey (TAS). It was anticipated that with agreement on an improved workload allocation model in due course, such a model would be able to supplant reliance on completion by academics of the TAS.

**Resolved:** to confirm the return in terms of the Committee's responsibility for ensuring an accurate return to the Scottish Funding Council.

## 10. INSTITUTIONAL RISK REGISTER

The Director of Academic & Corporate Governance presented the updated Institutional Risk Register and advised that it had not yet been reviewed by the University Executive Group (UEG) and that comment and suggestions would be welcome. Following discussion the Committee recommended that Business Transformation be listed as two separate risks to address both the risk of overrun and or overspend as well as the risk of not achieving the expected savings as a result.

**Resolved:** for its part, to approve the register subject to the changes set out above.

## 11. MEASURES TO ADDRESS THE FINANCIAL POSITION OF THE UNIVERSITY

The Convener acknowledged the requirement for the Audit Committee to provide strong guidance and support whilst the University navigated its way through a challenging financial position.

The University Secretary advised the Committee that the financial plan formulated by UEG would be submitted to the next meeting of Court on 18 April. This would subsequently be reviewed by the Audit Committee meeting so that it could consider both the risk analysis and the support required.

**Resolved:** to note the update.

12. **RESERVED BUSINESS: EU INVESTIGATION UPDATE**

*[Secretary's note: The papers and discussions of this item were considered to be strictly confidential and exempt from public disclosure, with the University claiming the exemptions in S.30 and S.34 of the Freedom of Information (Scotland) Act 2002.]*

The University Secretary provided an update on the EU Investigation.

**Resolved:** to note the update.

13. **RESERVED BUSINESS: LEGAL MATTERS**

*[Secretary's note: The papers and discussions of this item were considered to be strictly confidential and exempt from public disclosure, with the University claiming the exemptions in S.30 and S.34 of the Freedom of Information (Scotland) Act 2002.]*

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

**Resolved:** to note the update.

14. **PRIVATE MEETING WITH AUDITORS**

The officers withdrew from the meeting at this point so that the Committee could speak in private with the internal auditors. At the conclusion of the discussion, officers were re-admitted, and the Convener advised them that no issues of concern, other than that addressed in minute 4 (1), had been raised by the auditors.

15. **PRIVATE MEETING WITH OFFICERS**

The auditors withdrew from the meeting so that the Committee could speak in private with the officers. The Committee noted that the relationship with the auditors continued to be positive but that the matter raised in minute 4 (1) had not previously been raised by the auditors with management in their regular meetings.

## APPENDIX 5

### SEVERANCE POLICY (Minute 54)

#### Contents

1. Background
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  14. Reporting
  15. Confidentiality
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  17. Personal Considerations
  18. Delegated Authority
- Annex – Application for Approval of Settlement Agreements Form

#### 1. Background

The University is required to comply with the Scottish Funding Council's Financial Memorandum with Higher Education (2014) which states that the University must have a Severance Policy. This policy is produced in response to that requirement.

#### 2. Introduction

Severance can describe a variety of termination arrangements related to the contract and relationship between an employer and an employee.

For the purposes of this policy the focus will be on:

- **Voluntary Severance (VS)**
- **Mutually agreed severance**
  - **In the case of dispute**
  - **Instigated by Protected Conversation where there is no dispute.**

#### 3. Severance Policy

The University of Dundee is committed to maintaining, as far as possible, security of employment for its employees.

However, there may be occasions when external or internal factors impact on the type or number of employees required and the University may have recourse to VS.

There may also be cases where both the University and the individual employee are in mutual agreement that it would be beneficial for the employment relationship to be ended.

#### 4. Aims of the Severance Policy

The Severance Policy aims to ensure that all employees will be treated fairly and the process applied is transparent, objective, rational and fully understood.

The policy provides an operating framework which will ensure that the University does not use its funds (which includes public funds) wastefully by making over-generous severance arrangements.

It aims to set out the University's approach to the use of severance which is appropriate, good practice, transparent, fair, defensible and represents value for money when balanced against alternative courses of action.

## 5. Scope

This policy applies to all employees of the University. It should be noted, however, that there may be financial, resource and/or other imperatives at any particular time which means that VS and/or mutually agreed severance may require to be varied. Nevertheless, the University's aims and principles set out in this policy will apply as far as is practical and appropriate.

## 6. The Principles of Fairness, Equity, Consistency and Transparency

Fairness of treatment amongst employees is central to the University's core values of Integrity and Valuing People and is an essential requirement when considering severance for individuals.

The principle of equity will be applied to ensure that no employee will be disadvantaged due to any protected characteristic: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion and belief; sex or sexual orientation.

Particular attention should be paid to ensuring that no additional benefits or enhancements (financially or otherwise) are extended to employees who have either meritorious records or employees where the University is eager to terminate the employment relationship.

Such circumstances can result in unintended bias and could result in, for example, direct or indirect age discrimination. Any departure from this framework for severance payments/benefits must be shown to be *objectively justified* by demonstrating that the action taken is a *proportionate means of achieving a legitimate aim* for the University.

This policy recognises the entitlement of the employee to exercise their statutory rights.

## 7. Voluntary Severance (VS)

From time to time the University may seek expressions of interest in VS in order to reduce employee numbers and/or to reshape the workforce either across the University or in specific areas of the University for the purpose of corporate development, efficiencies and financial sustainability.

The University will utilise VS when it considers it appropriate, for a specified period. It does not operate an open-ended VS scheme for which employees may ask to be considered. On each occasion where there is a need for employee reductions and/or to reshape resources the University will consult with the campus unions and consider VS as an option. The financial position of the University will determine whether or not VS is viable.

No eligibility restrictions will apply on the basis of length of service.

The right will be reserved to decline applications for VS where they are not in the University's interest or where a severance date cannot be mutually agreed.

The cost saving that must accrue to the University and the recovery period of the cost of VS payments for the Scheme will be determined in advance of VS being launched. A maximum period of 2 years is allowed to recoup the cost of VS but the duration may be shorter.

Whilst the VS payment offered may be considerably lower, the total VS payment should not exceed one year's salary/with a maximum ceiling of £100,000 (see section 13 – Governance). Salary will be calculated only on contractual salary components, awarded by the University. Due to the circumstances of the severance, the employee will benefit from the first £30,000 being tax-free. This is subject to change in employment legislation and HMRC guidelines.

VS will be executed by means of a legally binding Settlement Agreement.

The University will offer a contribution to the individual's solicitor's fees to ensure the employee obtains independent legal advice. The contribution will be reviewed periodically and announced when launching a VS scheme.

There is no general right of appeal against any refusal to grant a VS application. Where an employee considers that their request has not followed policy or has been dealt with unfairly, they will be entitled to follow the Grievance Procedure.

#### **8. Mutually agreed severance**

Situations can arise where both parties (employer and employee) agree that to continue the employment relationship would be unproductive. In such circumstances a formal Settlement Agreement may be negotiated. The University's offer should be reasonable but not generous, bearing in mind the responsibility the University negotiator has for the University's (including public) funds.

The Settlement Agreement will specify the negotiated sum of money paid to the employee by the University, normally based on the notice period payment, but will take account of circumstances and risk.

Salary will be calculated only on contractual salary components, awarded by the University and generally the practice is to agree a global figure. Due to the circumstances of the severance, under current legislation, the employee will benefit from the first £30,000 being tax-free. This is subject to change in employment legislation and HMRC guidelines.

Mutually agreed severance will be executed by means of a legally binding Settlement Agreement.

The University will offer a contribution to the individual's solicitor's fees to ensure the employee obtains independent legal advice. The contribution will be reviewed periodically and the amount detailed in the Settlement Agreement.

#### **9. Replacement of Posts**

Typically, no replacement will be made and the post will be deleted from the School's or Directorate's establishment and budget. If a replacement or reconfigured role is required this must be requested at the time of the application for approval of the settlement agreement.

#### **10. Pension**

Any pension to which the employee is entitled will not be augmented by the University. It will only be enhanced if the individual elects to direct part of their Settlement Agreement payment to supplementing their pension. This is matter between the individual and their pension scheme.

#### **11. Re-employment or Re-engagement with the University**

The Settlement Agreement states that individuals in receipt of a settlement payment will not be considered for re-employment or re-engagement, including on a consultancy basis, for a period of 12 months from the Termination Date otherwise they must immediately reimburse 75% of the settlement payment.

It is acknowledged, however, that there may be circumstances where it is in the University's interest, having made a settlement payment in order to reduce high recurring salary costs, to re-engage the individual on a very part-time basis, and at a considerably lower rate in order to take advantage of an aspect of their specialist knowledge. Should such exceptional circumstances arise approval will be required from UEG.

#### **12. Approval Process**

In considering cases of VS and mutually agreed settlements for approval, the University Executive Group (UEG) must have regard to legal and regulatory compliance, propriety and value for money as well as employee relations. Cases must be approved by UEG or the Remuneration Committee (as indicated below). All decisions must be recorded (Annex - Application for Approval of Settlement Agreements Form).

Justification, including financial justification, will be provided to UEG or the Remuneration Committee by the following:

##### Application for Approval of Settlement Agreements Form

The form will contain:

1. An explanation of the circumstances of the case.
2. An assessment of the risk of litigation and likely outcome.



3. Confirmation that the relevant compliance, management and Human Resources procedures have been followed to date.
4. Proposed settlement including a breakdown of the constituent parts of the proposal, if relevant and proposed termination date.
5. An assessment of value for money offered by the proposal.
6. Any non-financial considerations.
7. Clarification in relation to the need or otherwise to replace the post-holder.

#### Grade 10 Employee Severance Agreements

All severance arrangements for Grade 10 employees must be approved, in advance, by the Remuneration Committee.

#### Divergence from the Policy

Any divergence from the framework this policy represents must be approved, in advance, by the Remuneration Committee.

### **13. Governance**

#### The Role of the Remuneration Committee and Court

The Remuneration Committee's role is to ensure the existence of a University Severance Policy, which must be approved by Court.

From time-to-time the Remuneration Committee will review the Severance Policy to ensure fitness for purpose. The Remuneration Committee must approve, in advance, any severance payment which:

- Exceeds a threshold sum, as defined by Court (£100,000).
- Deviates from the standard severance terms approved by Court
- Applies to a member of UEG.
- Where the severance package exceeds the maximum threshold agreed by Court, consultation with the SFC's Accountable Officer and external auditor requires to have taken place prior to the approval of the proposed severance package.

In considering these matters the Remuneration Committee must represent the public interest to avoid any inappropriate use of public funds. Care should be taken not to approve a severance package which employees, students and the public might reasonably deem excessive.

### **14. Reporting**

#### Equality Impact Assessment (EIA)

For the severance arrangements covered by this policy the Director of Human Resources & Organisational Development (HR & OD) will produce an EIA analysis of the following statistical data:

Throughout the lifecycle of a VS scheme:

- the number of potential employees eligible to apply for VS.
- the number of VS applicants.
- those VS applications which have been accepted and declined.

Annually, the Director of HR & OD will also produce:

- the number and categories of employees who have received mutually agreed severance.

Particular attention will be paid to inconsistencies relating to protected characteristics in either groups.

In addition the Director of Human Resources & Organisational Development will produce a final analysis and report detailing the outcomes of VS and mutually agreed severance together with any learning points that can be used to review and revise this policy as necessary.

### Remuneration Committee Reporting

The Director of HR & OD will produce a report, annually in October/November, for the Remuneration Committee. For the previous 12 months, the report will provide a synopsis of (if applicable):

- The number of VS cases granted and declined; cost savings
- Anonymised circumstances and rationale for extending mutually agreed severance agreements including:
  - The total amount of the severance (including all emoluments and benefits) in each case.
  - Details of the risk assessment undertaken, together with the risk of potential litigation.
  - Benchmarking data used.
  - Confirmation of compliance with governance, management and HR processes.
  -

The Remuneration Committee will make its annual report to Court in December.

### **15. Confidentiality**

Any undertakings in relation to confidentiality should allow the transactions to be open to proper public scrutiny and in line with the University's Public Interest Disclosure (Whistleblowing) Policy.

### **16. Poor performance**

VS or a mutually agreed settlement must not be used as a means of removing poor performers from the workforce. Poor performance should be addressed through use of the Capability Procedure and there should be no perception that poor performance is being rewarded.

### **17. Personal Considerations**

The University's ethic of Valuing People must be explicitly demonstrated when an individual's employment is being terminated.

It is essential that the communication flow between the manager/official dealing with VS or a mutually agreed severance arrangement is excellent at each stage of the process.

The employee's contribution and service should be recognised and honoured within the School or Directorate and more widely in the University where appropriate. It is acknowledged that in cases of mutually agreed severance, the relationship may be tense or difficult which makes this challenging.

In all cases, any announcement should be discussed and the content agreed with the individual.

Prior to the leaving date it may also be appropriate to discuss the gist or text of a reference that will be given in the event of a request from a prospective employer.

### **18. Delegated Authority**

Court has delegated authority to the Remuneration Committee for recommending a policy to Court on senior employee severance that sets out general principles regarding all severance packages.

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Other related information can be found at:

<http://www.dundee.ac.uk/hr/policiesprocedures/redundancyavoidanceagreement/>  
<http://www.dundee.ac.uk/hr/policiesprocedures/redundancypolicy/>

## Application for Approval of Settlement Agreements

**Name of Employee:**  
**School/Directorate:**

**Job Title:**  
**Date of Application:**

**Notes on Approval Process:**

The University Executive Group (UEG) must approve all applications for approval of mutually agreed settlement agreements including Voluntary Severance.

- a. **UEG** must approve all Settlement Agreements up to and including one year's salary /with a maximum ceiling of £100,000 (as approved by Court).
- b. **The Remuneration Committee** must approve, in advance:
  - All applications which are higher than the sum approved by Court (see a. above).
    - Where the settlement sum is higher than the threshold approved by Court, the University must first consult with the SFC's Accountable Officer and the external auditor and report the discussions to the Remuneration Committee.
  - All applications relating to Grade 10 employees, including members of UEG, irrespective of whether or not the settlement amount is within the £100,000 threshold.
1. Details of the circumstances of the case (attach Voluntary Severance application if relevant):
2. Assessment of risk of litigation and likely outcome (*following discussion with HR Officer*). Not required in cases of Voluntary Severance:
3. Confirmation that the relevant compliance, management and Human Resources procedures have been followed to date:
4. Proposed Settlement including a breakdown of the constituent parts of the proposal, if relevant and proposed Termination Date:
5. Assessment of value for money offered by the proposal. If Voluntary Severance, detail the period over which the savings will be recouped.
6. Any non-financial considerations:
7. Clarification in relation to the need or otherwise to replace the post-holder:

Signature of Dean or Director:

Signature of Vice-Principal, Academic Planning & Performance  
 or University Secretary:

UEG/Remuneration Committee Decision:  
 Date:

## APPENDIX 6

### COMMUNICATIONS FROM THE SENATUS ACADEMICUS (Minute 57(1))

Meeting held on 23 March 2016.

#### 1. PRINCIPAL'S REPORT

The Senatus received a report from the Principal on issues arising from the most recent meetings of the University Executive Group (UEG).

##### Staff Survey

The Principal introduced his report by noting the results of the Staff Survey that had been recently published. He noted that although scores in some areas relating to change management had declined since the previous survey was carried out two years ago, some other areas, such as line management effectiveness and reported incidents of bullying and harassment had shown a marked improvement. Senate noted that the significant challenges surrounding sustainability and restructuring would have been reflected in some of the more disappointing scores for certain disciplines in the Survey and that the University would ensure that it responded appropriately to the concerns expressed by some staff in the Survey.

##### HE Governance Act (Scotland) 2016

The Principal explained the significance of the recent vote in the Scottish Parliament to approve the Higher Education Governance Bill. He noted that the Scottish Government had eventually agreed to remove some of the more contentious parts of the proposed legislation that related to the powers of Ministers but sections that related to the representation, membership and chairing of governing bodies remained. Senate noted that when the legislation became effective there would be a requirement to alter the composition of University Court in terms of having two members appointed by trade unions and to introduce an election process for the position of Chair the next time the position became vacant. The Principal reported that although some institutions might face difficulties during implementation the University was in a favourable position to ensure compliance with the new requirements. In terms of the changes to University Court the Principal reflected that the structure of the governing body was less important than its dynamics and cultural attitude.

##### Widening Access Commission

The Principal also highlighted the publication of the Widening Access Commission's report that recommended a number of actions to the Scottish Government, including the appointment of a Commissioner to co-ordinate policy and the development of minimum entry criteria for all academic programmes that would be used in admission decisions for relevant students. The Principal noted the praise for the University's "joined up approach" from the Commission's Chair and the decision of the University to maintain this approach even if, as appeared likely, SFC funding for additional places is withdrawn in 2016/17.

##### Staff Council

In response to a question the Principal outlined his support for the proposal to establish a Staff Council as a way of making the current Academic Council more inclusive and open to all staff at the University.

The Principal concluded his report by congratulations Wendy Alexander, Andrew Hopkins and s for their recent election as Fellows of the Royal Society of Edinburgh and to Indre Urbanivicuite on her recent election as President of the Students' Association.

- The Senatus decided:**
- (i) for its part, to welcome the proposal to rename Academic Council as Staff Council; and
  - (ii) to otherwise note the report.

#### 2. UNIVERSITY COURT

The Senatus received a communication from the Court meeting held on 16 February 2016.

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

### 3. RECOVERY AND SUSTAINABILITY

The Principal gave a presentation that set out plans for the financial recovery and future sustainability of the University. He emphasised that the University's current financial situation needed an urgent and robust response but did not mean that the University's Vision and Values or its commitment to quality and the transformation agenda would be diminished. He urged members to reframe financial challenges as hurdles to be overcome in pursuit of the University's goals rather than as reasons for abandoning the University's ambitions.

The Principal explained that the plans would be submitted to University Court, which would want an assurance, from Senate, that the plans were compatible with the University's commitment to academic quality and coherence.

The context of the current financial challenges was introduced with particular emphasis on the external pressures from cuts to core funding and increases in staff-related costs. Internal imbalances between research and teaching activity were also highlighted as contributing factors to the potential deficit of £9 million in 2016/17 unless urgent action was taken. Senate was asked to note that University Court had already agreed to set strict limits on the planned deficit to meet the requirements of external funders and lenders so as to ensure a managed return to a surplus budget within three years.

The Principal explained that, in order to deliver the required level of savings for the next academic year the University would need to implement a range of strategic projects to generate higher levels of marginal income, improve efficiency and productivity and maintain a sustainable balance between high quality research and teaching. He outlined a number of projects to be overseen by a programme board, but driven by the leadership in the relevant Schools: integration of translational research activity in Medicine and Life Sciences, reorientation of academic programmes in Humanities towards the liberal arts model, cost-reduction measures in all Schools and Directorates, the development of foundation programmes and an accredited 'Business School' to help ensure substantial growth of overseas student numbers at all levels.

The Principal argued that the success of these projects required cultural change, supported by the recent structural changes in the University in order to deliver financial transformation while maintaining the University's core values and vision. He explained that in the rebalancing of teaching and research activity the University will need to build on the recognition of teaching excellence and focus support for research on high quality and strategically aligned activity.

In the discussions that followed the presentation members welcomed the proposal to establish Business School programmes although it was noted that this might be a tough market to enter and would need investment in order to succeed. It was recognised that many areas of excellence already existed in the University in these disciplines and that the School sought to build on this reputation in a more co-ordinated way. Some members while welcoming the proposed investment in business programmes argued that other areas of the University would, in turn, require investment in order to attract full-fee paying students in the numbers required to be sustainable.

Some members expressed concerns about the prospect of the University collaborating with private for-profit providers to deliver international foundation programmes. The Director of External Relations explained that although the proposed International College would be hosted on campus it would not seek to compete with or replace any existing University provision and that employment issues would be carefully considered and consulted upon as part of the development of the project.

On the question of consultation, the President of the Students' Association reminded members of the need to communication with students on the University's financial and strategic challenges and Senate agreed that student participation in the decision-making process was both necessary and beneficial.

Senate also discussed the proposed development of an undergraduate liberal arts programme, designed to be more attractive to international students and to the North American market in particular. Some members worried that the University might find it difficult to compete with institutions that had already established a strong track record of recruiting US students. The Vice-Principal (Academic Planning & Performance) explained that the market was segmented and that if the University was clear about which part of the market it would align to, there were real opportunities for growth. He reported that the project was already at an advanced stage and that the emerging business plan had provided reassurance of its practicability and chances of success.

On the issue of international students, some members argued that offer making and conversion processes would benefit from further refinement and co-ordination especially in relation to the ability of academic staff to make offers to students whilst overseas. Senate acknowledged that the participation of academic staff in recruitment and conversion activity was often highly effective and welcomed the suggestion of further improvement in processes to support this activity.

Senate also discussed the financial impact of widening access activity and noted that although the Funding Council would be looking again at its proposed cuts, the University would continue to consider this a priority area and core to its institutional values.

Members discussed the budget setting process and questioned how the targets for income growth and cost reductions were agreed. The Vice-Principal (Academic Planning & Performance) explained that a comprehensive analysis of School finances along with appropriate risk-assessments and consideration of a range of metrics had informed debate and negotiation. He emphasised that where there was a clear quantitative rationale for action this was translated into agreed and realistic targets.

The Principal thanked members for their helpful comments and contributions. He concluded with the observation that the plans and projects were being taken forward in a dynamic and responsive way and that a more developed position, which took into account the views of Senate, would be presented to the University Court at its next meeting.

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

#### 4. **QUALITY & ACADEMIC STANDARDS COMMITTEE**

The Senatus received a Report from the Quality & Academic Standards Committee meeting of 8 February 2016.

The Vice-Principal (Learning & Teaching) introduced the Report and asked Senate to note that the new quality assurance procedures implemented by the Committee were working well and had further enhanced the management of the University's academic portfolio.

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

#### 5. **INTERNATIONALISATION COMMITTEE**

The Senatus received a Report from the Internationalisation Committee meeting of 17 February 2016.

The Vice-Principal (Internationalisation) introduced the Report and asked Senate to note the important role that academic staff had played in the improvements to conversion rates in the current admission cycle.

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

#### 6. **RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE**

The Senatus received a Report from the Research & Knowledge Exchange Committee meeting of 24<sup>th</sup> February 2016.

The Vice-Principal (Research, Knowledge Exchange & Wider Impact) reported that the Committee had been developing a positive collegial culture and held open discussions on a number of issues, including the Annual Research Review, improvements to grant application procedures and preparations for the next Research Excellence Framework.

The Vice-Principal asked Senate to note, in particular, the open access requirement for research output admissibility to the next REF exercise and the work of the Library & Learning Centre staff whose expertise was central to helping support staff prepare for open access obligations.

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

#### 7. **LEARNING & TEACHING COMMITTEE**

The Senatus received a report from the Learning & Teaching Committee meeting of 7 March 2016 and the Learning & Teaching Strategy KPI Report.

The Vice-Principal (Learning & Teaching) introduced the Committee report and the Learning & Teaching Strategy Performance Indicator report. He outlined the progress made in relation to the targets in the University's Strategic Plan and explained that the performance indicators were populated with data supplied by the University's planning team and supplemented with commentary from the Vice-Principal and input from the Learning & Teaching Committee.

Senate was asked to note the progress made in relation to National Student Survey scores and to the number of First and Upper Second Class degrees awarded. The Vice-Principal explained that in areas where progress had been less evident there would be a refocusing of effort, particularly in relation to the retention and progression of undergraduate students.

Members noted the approval of a University-wide attendance monitoring policy that would help ensure early intervention with students in danger of dropping out or failing at assessment. Members agreed that strategic policies of this kind needed to be flagged at School level for consultation prior to formal approval at Learning & Teaching Committee and that in the case of the Attendance Policy it would be helpful if Schools were involved in implementation from an early stage to help devise workable and efficient business solutions. It was also important to ensure that School representatives on key committees ensured that they communicated effectively with the range of disciplines within their Schools on such matters.

Members also welcomed the progress made in recognising and rewarding excellence in teaching as seen in the increase in the number of promotions of teaching staff. The Principal concurred and noted that the University's approach was distinctive for a research intensive University and helped reinforce the message that teaching quality often had a profound effect on institutional reputation.

In response to a question Senate also noted the proposed DUSA referendum on examinations and assessment. The President of DUSA explained that the topic of the referendum came from the general membership and was related to student concerns over the need or otherwise for traditional written examinations.

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

#### 8. SUMMARY REPORTS OF SCHOOL BOARDS

The Senatus received summary reports from each of the School Boards.

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

#### 9. FINANCE AND POLICY COMMITTEE

The Senatus received the Minutes of meetings of the Finance & Policy Committee held on 16 November 2015, for information.

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

#### 10. POSTGRADUATE APPEALS COMMITTEE

The Senatus received the Report of a meeting of the Postgraduate Appeals Committee held on 17 February 2016.

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

#### 11. DUSA ELECTIONS 2016

The Senatus received the results of the DUSA Elections March 2016, for information:

**DUSA President:** Indre Urbanaviciute

**Deputy President:** Kevin Burns

**Vice President Representation:** Liam Graham

**Vice President Communications and Campaigns:** Andrew Stewart

**Vice President of Student Welfare:** Thara Packiahrajah

**Vice President of Student Activities:** Miriam Balfour

**Vice President Engagement:** Vladimir Ghita

**Vice President Fundraising:** Ana Ranceva

**Independent Member of Court:** Sean O'Connor

12. **ACADEMIC CALENDAR 2016-17**

**The Senatus decided:** to approve the Academic Calendar for 2016-17 and Semester 1 2017-18 (annex).

13. **PROFESSORES EMERITI**

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

Professor John Connell  
Professor Stephen Greene  
Professor Alastair Munro



## ACADEMIC CALENDAR 2016-17

| MONTH            |             |   | MEETING   | START TIME | WEEK   |
|------------------|-------------|---|---|------------|--------|
| <b>JULY</b>      | <b>2016</b> |   |   |            |        |
| 22               | FRI         |   | Last day for announcement of results & Issue of Termination Letters |            |        |
| <b>AUGUST</b>    | <b>2016</b> |   |   |            |        |
| 10               | WED         |   | Space Management Group  | 3pm        |        |
| 12               | FRI         |   | Last day for lodging appeals  |            |        |
| 15               | MON         | C | Finance and Policy Committee  | 2pm        |        |
| 19               | FRI         |   | First issue of Termination of Studies (Appeals) Committee agenda    |            |        |
| 20               | SAT         |   | Masters Degree Show (until 27 Aug)                                  |            |        |
| 23               | TUE         |   | Professional Services Group   | 10am       |        |
|                  |             |   | Learning & Teaching Spaces Sub-Committee                            | 2.30pm     |        |
| 25               | THU         |   | Senate ToS (Appeals) Committee                                      | 9.15       |        |
| 29               | MON         |   | Undergraduate Open Day  | 9.30       |        |
| <b>SEPTEMBER</b> | <b>2016</b> |   |   |            |        |
| 2                | FRI         |   | Information Management Committee                                    | 11am       |        |
| 5                | MON         |   | Welcome Week  |            | Week 0 |
|                  |             | S | Quality & Academic Standards Committee                              | 10am       |        |
| 6                | TUE         | C | Health & Safety Sub-Committee                                       | 10am       | 0      |
| 8                | FRI         | C | Court Retreat   | 4.00pm     |        |
| 9                | FRI         |   | Last day for Matriculation  |            | 0      |
|                  |             | C | Court Retreat   | 9.00       |        |
| 12               | MON         |   | Semester 1 begins   |            | Week 1 |
| 13               | TUE         | S | Research Governance & Policy Sub-Committee                          | 3pm        | 1      |
|                  |             |   | University Opening Service  | 5.15pm     |        |
| 15               | THU         | C | Union Local Joint Committee   | 9am        | 1      |
|                  |             | S | Employability & Enterprise Committee                                | 2pm        |        |
| 19               | MON         |   |   |            | Week 2 |
| 20               | TUE         | S | Internationalisation Committee                                      | 9am        | 2      |
|                  |             | S | Research & Knowledge Exchange Committee                             | 1pm        |        |
|                  |             | C | Audit Committee   | 2pm        |        |
| 21               | WED         |   | Professional Services Group   | 2pm        | 2      |
| 22               | THU         |   | L&T Development Forum   | 2pm        | 2      |
|                  |             | S | E-Learning Sub-Committee  | 2pm        |        |
| 24               | SAT         |   | Undergraduate Open Day  | 9.30am     | 2      |
| 26               | MON         |   | School Boards in Wk 3   |            | Week 3 |
|                  |             | C | Remuneration Committee  | 11am       |        |

|                 |             |   |  |      |         |
|-----------------|-------------|---|--|------|---------|
| 27              | TUE         | S | Senate Business Committee  | 9am  | 3       |
|                 |             | C | Human Resources Committee  | 10am |         |
|                 |             | S | Learning & Teaching Committee  | 10am |         |
| 29              | THU         |   | University Planning & Review Meeting (Full Day)                              |      | 3       |
| <b>OCTOBER</b>  | <b>2016</b> |   |  |      |         |
| 3               | MON         |   | Dundee Autumn Holiday  |      | Week 4  |
|                 |             | C | Governance & Nominations Committee   | 10am |         |
|                 |             | C | Finance & Policy Committee   | 2pm  |         |
| 4               | TUE         | S | Student Recruitment & Admissions Committee                                   | 10am | 4       |
| 5               | WED         |   | Personal Chairs Committee  |      | 4       |
|                 |             | C | Welfare & Ethical use of Animals Committee                                   | 2pm  |         |
| 10              | MON         |   |  |      | Week 5  |
| 12              | WED         | S | Senate   | 2pm  | 5       |
| 17              | MON         | S | Quality & Academic Standards Committee                                       | 10am | Week 6  |
| 24              | MON         |   | Court  | 2pm  | Week 7  |
| 25              | TUE         |   | Art, Design & Architecture Undergraduate Open Day                            | 10am | 7       |
|                 |             |   | Professional Services Group  | 10am |         |
| 26              | WED         |   | Art, Design & Architecture Undergraduate Open Day                            | 10am | 7       |
|                 |             |   | NSS Forum  | 2pm  |         |
| 28              | FRI         | S | Research Degrees Sub-Committee   | 10am | 7       |
|                 |             |   | Information Management Committee   | 11am |         |
| 31              | MON         |   |  |      | Week 8  |
| <b>NOVEMBER</b> | <b>2016</b> |   |  |      |         |
| 1               | TUE         |   | Staff Council Standing Committee   | 1pm  | 8       |
|                 |             |   | Learning & Teaching Spaces Committee   | 2pm  |         |
| 3               | THU         | S | Employability & Enterprise Committee   | 2pm  | 8       |
| 7               | MON         |   | School Boards in Week 9  |      | Week 9  |
| 8               | TUE         | S | Internationalisation Committee   | 9am  | 9       |
|                 |             | S | Honorary Degrees Committee   | 10am |         |
|                 |             |   | Space Management Group   | 3pm  |         |
| 9               | WED         | S | Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures | 10am | 9       |
|                 |             |   | Postgraduate Open Day  | 2pm  |         |
| 10              | THU         | S | Senate Business Committee  | 9am  | 9       |
|                 |             | S | Research & Knowledge Exchange Committee                                      | 1pm  |         |
| 11              | FRI         | S | E-Learning Sub-Committee   | 2pm  | 9       |
| 14              | MON         | C | Governance & Nominations Committee   | 10am | Week 10 |
|                 |             | C | Finance & Policy Committee   | 2pm  |         |
| 15              | TUE         | S | Learning & Teaching Committee  | 10am | 10      |
| 16              | WED         | S | Graduation   |      | 10      |

|                 |             |   |   |         |          |
|-----------------|-------------|---|---|---------|----------|
| 17              | THU         | S | Graduation  |         | 10       |
| 18              | FRI         | S | Graduation  |         | 10       |
| 21              | MON         | C | Remuneration Committee  | 11am    | Week 11  |
|                 |             |   | Staff Council – Principal's Question Time                                 | 1pm     |          |
|                 |             |   | School of Art & Design Planning & Review Meeting                          | 3pm     |          |
| 22              | TUE         |   | Professional Services Group   | 10am    | 11       |
|                 |             |   | School of Dentistry Planning & Review Meeting                             | 3pm     |          |
| 23              | WED         | C | Endowments Sub-Committee  | 10.30am | 11       |
|                 |             |   | School of Education & Social Work Planning & Review Meeting               | 1pm     |          |
| 24              | THU         |   | School of Humanities Planning & Review Meeting                            | 9.00am  | 11       |
|                 |             |   | School of Life Sciences Planning & Review Meeting                         | 3pm     |          |
| 25              | FRI         |   | School of Medicine Planning & Review Meeting                              | 9am     | 11       |
|                 |             |   | School of Nursing & Health Sciences Planning & Review Meeting             | 3pm     |          |
| 26              | SAT         |   | Graduates' Association Business Meeting                                   | 10am    | 11       |
| 28              | MON         | S | Quality & Academic Standards Committee                                    | 10am    | Week 12  |
|                 |             | C | Audit Committee   | 2pm     |          |
| 29              | TUE         |   | School of Science & Engineering Planning & Review Meeting                 | 10am    | 12       |
|                 |             |   | School of Social Sciences Planning & Review Meeting                       | 3pm     |          |
| 30              | WED         | S | Senate  | 2pm     | 12       |
| <b>DECEMBER</b> | <b>2016</b> |   |   |         |          |
| 1               | THU         |   | Directorates Group for Corporate Infrastructure Planning & Review Meeting | 9am     | 12       |
|                 |             |   | Directorates Group for Income Generation Planning & Review Meeting        | 3pm     |          |
| 5               | MON         |   | Semester 1 Examinations begin   |         | Week 13  |
|                 |             |   | Directorates Group for Student Experience Planning & Review Meeting       | 3pm     |          |
| 6               | TUE         |   | Personal Chairs Committee   | 2pm     | 13       |
| 11              | SUN         |   | University Carol Service  | 5pm     | 13       |
| 12              | MON         |   | Complaints Session Workshop   | 10am    | Week 14  |
|                 |             | C | Court   | 2pm     |          |
| 13              | TUE         |   | Professional Services Group   | 10am    | 14       |
| 16              | FRI         |   | Information Management Committee  | 11am    | 14       |
|                 |             |   | Semester 1 Examinations end   |         |          |
|                 |             |   | End of Semester 1   |         |          |
| 19              | MON         |   |   |         | VACATION |
| 23              | FRI         |   | University Closed after business until start of business on 4 Jan 2017    |         |          |



| JANUARY  | 2017 |   |   |        |         |
|----------|------|---|---|--------|---------|
| 4        | WED  |   | Start of Business   |        |         |
| 9        | MON  |   | Welcome Week – January intake                             |        |         |
| 10       | TUE  | S | Senate Business Committee                                 | 9am    |         |
|          |      | C | Union Local Joint Committee                               | 10am   |         |
|          |      | S | Research & Knowledge Exchange Committee                   | 1pm    |         |
|          |      | C | Health & Safety Sub Committee                             | 2pm    |         |
| 11       | WED  | C | Welfare & Ethical use of Animals Committee                | 2pm    |         |
| 12       | THU  |   | Discovery Day   |        |         |
| 13       | FRI  |   | Discovery Day   |        |         |
| 16       | MON  |   | School Boards to meet in Week 15                          |        | Week 15 |
|          |      |   | Start of Semester 2                                       |        |         |
|          |      | S | Learning & Teaching Committee                             | 10am   |         |
| 17       | TUE  | S | Student Recruitment & Admissions Committee                | 10am   | 15      |
|          |      | S | Internationalisation Committee                            | 3pm    |         |
| 23       | MON  | C | Governance & Nominations Committee                        | 10am   | Week 16 |
|          |      |   |   |        |         |
|          |      | C | Finance & Policy Committee                                | 2pm    |         |
| 24       | TUE  |   | Professional Services Group                               | 10am   | 16      |
|          |      | C | Human Resources Committee                                 | 2pm    |         |
| 25       | WED  | S | Research Governance & Policy Sub-Committee                | 2pm    | 16      |
| 30       | MON  |   |   |        | Week 17 |
| FEBRUARY | 2017 |   |   |        |         |
| 1        | WED  | S | Senate  | 2pm    | 17      |
| 2        | THU  | S | Employability & Enterprise Committee                      | 2pm    | 17      |
| 3        | FRI  |   | Information Management Committee                          | 11am   | 17      |
| 6        | MON  | S | Quality & Academic Standards Committee                    | 10am   | Week 18 |
|          |      |   | Staff Council Standing Committee                          | 1pm    |         |
| 7        | TUE  |   | Learning & Teaching Spaces Sub-Committee                  | 2.30pm | 18      |
| 13       | MON  |   | School of Art & Design Planning Update Meeting            | 2pm    | Week 19 |
|          |      |   | School of Dentistry Planning Update Meeting               | 4pm    |         |
| 14       | TUE  | C | Court   | 2pm    | 19      |
| 15       | WED  |   | School of Medicine Planning Update Meeting                | 2pm    |         |
|          |      |   | School of Education & Social Work Planning Update Meeting | 4pm    |         |
| 16       | THU  | S | E-Learning Sub-Committee                                  | 2pm    | 19      |
| 20       | MON  |   | School of Humanities Planning Update Meeting              | 11am   | Week 20 |
|          |      |   | School of Life Sciences Planning Update Meeting           | 2pm    |         |
| 21       | TUE  |   | Professional Services Group                               | 10am   | 20      |

|              |             |   |   |         |          |
|--------------|-------------|---|---|---------|----------|
|              |             |   | School of Nursing & Health Sciences Planning Update Meeting | 2pm     |          |
|              |             |   | School of Science & Engineering Planning Update Meeting     | 4pm     |          |
| 22           | WED         | S | Research Degrees Sub-Committee                              | 2pm     | 20       |
|              |             |   | School of Social Sciences Planning Update Meeting           | 4pm     |          |
| 23           | THU         |   | Learning & Teaching Development Forum                       | 2pm     | 20       |
| 27           | MON         |   |   |         | Week 21  |
| 28           | TUE         | S | Internationalisation Committee                              | 9am     | 21       |
|              |             |   | Space Management Group                                      | 10am    |          |
|              |             | C | Audit Committee   | 2pm     |          |
| <b>MARCH</b> | <b>2017</b> |   |   |         |          |
| 1            | WED         | S | Senate Business Committee                                   | 9am     | 21       |
|              |             |   | Staff Council – Principal’s Question Time                   | 1pm     |          |
| 2            | THU         | S | Research & Knowledge Exchange Committee                     | 1pm     | 21       |
| 6            | MON         |   | School Boards meet in Week 22                               |         | Week 22  |
|              |             | S | Learning & Teaching Committee                               | 10am    |          |
| 13           | MON         |   |   |         | 23       |
| 20           | MON         | C | Governance & Nominations Committee                          | 10am    | Week 24  |
|              |             | C | Finance & Policy Committee                                  | 2pm     |          |
| 21           | TUE         | S | Student Recruitment & Admissions Committee                  | 10am    | 24       |
| 22           | WED         | S | Senate  | 2pm     | 24       |
| 27           | MON         | S | Quality & Academic Standards Committee                      | 10am    | Week 25  |
| 28           | TUE         |   | Professional Services Group                                 | 10am    | 25       |
| 31           | FRI         |   | End of Teaching   |         | 25       |
| <b>APRIL</b> | <b>2017</b> |   |   |         |          |
| 3            | MON         |   | Spring Holiday (Dundee Holiday)                             |         | VACATION |
| 4            | TUE         |   | Staff Council -Standing Committee                           | 1pm     |          |
| 10           | MON         |   |   |         |          |
| 11           | TUE         |   | Planning & Draft Budget Review Meeting                      | 9am     |          |
| 14           | FRI         |   | Good Friday   |         |          |
| 17           | MON         |   |   |         |          |
| 18           | TUE         | C | Court   | 2pm     |          |
|              |             | S | Research Governance & Policy Sub-Committee                  | 2pm     |          |
| 19           | WED         | C | Endowments Sub-Committee                                    | 10.30am |          |
| 20           | THU         |   | Complaints Session Workshop                                 | 10am    |          |
|              |             | S | Employability & Enterprise Committee                        | 2pm     |          |
| 21           | FRI         |   | Information Management Committee                            | 11am    |          |
| 24           | MON         |   | Start of Semester 2 Examinations                            |         | Week 26  |
|              |             |   | Staff Council – Principal’s Question Time                   | 1pm     |          |
| 25           | TUE         |   | Professional Services Group                                 | 10am    | 26       |

|            |             |   |  |      |         |
|------------|-------------|---|--|------|---------|
| 27         | THU         | S | Research Degrees Sub-Committee   | 2pm  | 26      |
| 28         | FRI         |   | Union Local Joint Committee  | 9am  | 26      |
| <b>MAY</b> | <b>2017</b> |   |  |      |         |
| 1          | MON         |   | May Day (Dundee Holiday)   |      | Week 27 |
| 2          | TUE         | C | Health & Safety Sub-Committee  | 2pm  | 27      |
| 3          | WED         |   | Personal Chairs Committee  | 2pm  | 27      |
| 4          | THU         |   | School of Art & Design Planning & Review Meeting                             | 9am  | 27      |
|            |             | S | Research & Knowledge Exchange Committee                                      | 1pm  |         |
|            |             |   | School of Dentistry Planning & Review Meeting                                | 3pm  |         |
| 5          | FRI         |   | School of Education & Social Work Planning & Review Meeting                  | 9am  | 27      |
|            |             | S | E-Learning Sub-Committee   | 2pm  |         |
| 8          | MON         |   | School Boards meet in Week 28  |      | Week 28 |
|            |             | C | Governance & Nominations Committee   | 10am |         |
|            |             | C | Finance & Policy Committee   | 2pm  |         |
| 9          | TUE         | S | Learning & Teaching Committee  | 10am | 28      |
|            |             | S | Internationalisation Committee   | 2pm  |         |
| 10         | WED         | S | Senate Business Committee  | 9am  | 28      |
|            |             |   | School of Life Sciences Planning & Review Meeting                            | 2pm  |         |
| 11         | THU         | S | Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures | 10am | 28      |
|            |             |   | School of Medicine Planning & Review Meeting                                 | 2pm  |         |
| 12         | FRI         |   | School of Nursing & Health Sciences  | 9am  | 28      |
|            |             |   | School of Science & Engineering Planning & Review Meeting                    | 2pm  |         |
| 13         | SAT         |   | Graduates' Association Business Meeting                                      | 10am | 28      |
| 15         | MON         | C | Human Resources Committee  | 2pm  | Week 29 |
| 16         | TUE         | S | Student Recruitment & Admissions Committee                                   | 10am | 29      |
| 17         | WED         | C | Audit Committee  | 2pm  | 29      |
| 18         | THU         |   | School of Humanities Planning & Review Meeting                               | 11am | 29      |
|            |             |   | Learning & Teaching Development Forum  | 2pm  |         |
| 19         | FRI         |   | School of Social Sciences Planning & Review Meeting                          | 9am  | 29      |
|            |             |   | Directorates Group for Corporate Infrastructure Planning & Review Meeting    | 2pm  |         |
| 20         | SAT         |   | Degree Show (until 27 <sup>th</sup> May)                                     |      | 29      |
| 22         | MON         |   | Directorates Group for Income Generation Planning & Review Meeting           | 2pm  | Week 30 |
| 23         | TUE         |   | Professional Services Group  | 10am | 30      |

|               |             |   |   |        |          |
|---------------|-------------|---|---|--------|----------|
|               |             |   | Directorates Group for Student Experience Planning & Review Meeting | 2pm    |          |
| 24            | WED         | S | Senate  | 2pm    | 30       |
| 25            | THU         | S | Quality & Academic Standards Committee                              | 10am   | 30       |
| 26            | FRI         |   | End of Semester 2 Examinations                                      |        | 30       |
|               |             |   | End of Semester 2   |        |          |
| 29            | MON         |   | Victoria Day (Dundee Holiday)                                       |        | VACATION |
| 31            | WED         |   | Space Management Group  | 10am   |          |
| <b>JUNE</b>   | <b>2017</b> |   |   |        |          |
| 5             | MON         | C | Court   | 3pm    |          |
| 20            | TUE         |   | Graduation Ceremonies   |        |          |
| 21            | WED         |   | Graduation Ceremonies   |        |          |
| 22            | THU         |   | Graduation Ceremonies   |        |          |
| 23            | FRI         |   | Graduation Ceremonies   |        |          |
| 27            | TUE         |   | Professional Services Group   | 10am   |          |
| 28            | WED         | S | Quality & Academic Standards Committee                              | 10am   |          |
|               |             |   | Personal Chairs Committee   | 2pm    |          |
| 30            | FRI         |   | Information Management Committee                                    | 11am   |          |
| <b>JULY</b>   | <b>2017</b> |   |   |        |          |
| 3             | MON         |   | Resit Examinations Begin  |        |          |
| 7             | FRI         |   | Last Day of Resit Examinations                                      |        |          |
| 12            | WED         | C | Welfare & Ethical Use of Animals Committee                          | 2pm    |          |
|               |             |   | VLE Planned Maintenance (until 18th July)                           |        |          |
| 21            | FRI         |   | Last day for announcement of results & Issue of Termination Letters |        |          |
| 24            | MON         |   | Trades Holiday (Dundee Holiday)                                     |        |          |
| 25            | TUES        |   | Professional Services Group   | 10am   |          |
| <b>AUGUST</b> | <b>2017</b> |   |   |        |          |
| 4             | FRI         |   | last day for announcement of results                                |        |          |
|               |             |   | last day for issue of termination letters                           |        |          |
| 9             | WED         |   | space management group  | 3pm    |          |
| 11            | FRI         |   | Last day for lodging appeals  |        |          |
| 14            | MON         | C | Finance and Policy Committee  | 2pm    |          |
| 18            | FRI         |   | First issue of Termination of Studies (Appeals) Committee agenda    |        |          |
| 19            | SAT         |   | Masters Degree Show (until 26 <sup>th</sup> August)                 |        |          |
| 22            | TUE         |   | Professional Services Group   | 10am   |          |
|               |             |   | Learning & Teaching Spaces Sub-Committee                            | 2.30pm |          |
| 24            | THU         |   | Senate ToS (Appeals) Committee                                      | 9.15   |          |
| 25            | FRI         |   | Information Management Committee                                    | 11am   |          |



| SEP     | 2017 |   |  |            |        |
|---------|------|---|--|------------|--------|
| 4       | MON  |   | Welcome Week                               |            | Week 0 |
| 5       | TUE  | C | Health & Safety Sub-Committee              | 10am       | 0      |
| 7       | THU  | C | Court Retreat                              | Starts 4pm | 0      |
| 8       | FRI  |   | Last day for Matriculation                 |            | 0      |
|         |      | C | Court Retreat                              | Ends 4pm   |        |
| 11      | MON  |   | Semester 1 begins                          |            | Week 1 |
| 12      | TUE  | S | Research Governance & Policy Sub-Committee | 3pm        | 1      |
|         |      |   | University Opening Service                 | 5.15pm     |        |
| 14      | THU  |   | Union Local Joint Committee                | 9am        | 1      |
|         |      | S | Employability & Enterprise Committee       | 2pm        |        |
| 18      | MON  |   | Quality & Academic Standards Committee     | 10am       | Week 2 |
| 19      | TUE  | S | Internationalisation Committee             | 9am        | 2      |
|         |      | S | Research & Knowledge Exchange Committee    | 1pm        |        |
|         |      | C | Audit Committee                            |            |        |
| 20      | WED  |   | Professional Services Group                | 2pm        | 2      |
| 25      | MON  |   | School Boards in Wk 3                      |            | Week 3 |
|         |      | C | Remuneration Committee                     | 11am       |        |
| 26      | TUE  | S | Senate Business Committee                  | 9am        | 3      |
|         |      | C | Human Resources Committee                  | 10am       |        |
|         |      | S | Learning & Teaching Committee              | 10am       |        |
| OCTOBER | 2017 |   |  |            |        |
| 2       | MON  |   | Dundee Autumn Holiday                      |            | Week 4 |
|         |      | C | Governance & Nominations Committee         | 10am       |        |
|         |      | C | Finance & Policy Committee                 | 2pm        |        |
| 3       | TUE  | S | Student Recruitment & Admissions Committee | 10am       | 4      |
| 4       | WED  |   | Personal Chairs Committee                  |            | 4      |
|         |      | C | Welfare & Ethical use of Animals Committee | 2pm        |        |
| 9       | MON  |   |  |            | Week 5 |
| 11      | WED  | S | Senate                                     | 2pm        | 5      |
| 16      | MON  |   |  |            | 6      |
| 23      | MON  |   | Court                                      | 2pm        | Week 7 |
| 24      | TUE  | S | Quality & Academic Standards Committee     | 10am       | 7      |
|         |      |   | Professional Services Group                | 10am       |        |
| 25      | WED  |   | NSS Forum                                  | 2pm        | 7      |
| 27      | FRI  | S | Research Degrees Sub-Committee             | 10am       | 7      |
|         |      |   | Information Management Committee           | 11am       |        |
| 30      | MON  |   |  |            | Week 8 |
| 31      | TUE  |   | Staff Council Standing Committee           | 1pm        | 8      |
|         |      |   | Learning & Teaching Spaces Committee       | 2pm        |        |
| NOV     | 2017 |   |  |            |        |
| 2       | THU  | S | Employability & Enterprise Committee       | 2pm        | 8      |
| 6       | MON  |   | School Boards in Week 9                    |            | Week 9 |
| 7       | TUE  | S | Internationalisation Committee             | 9am        | 9      |

|            |             |   |  |         |              |
|------------|-------------|---|--|---------|--------------|
|            |             | S | Honorary Degrees Committee   | 10am    |              |
|            |             |   | Space Management Group   | 3pm     |              |
| 8          | WED         | S | Monitoring & Advisory Group on Appeals, Complaints and Discipline Procedures | 10am    | 9            |
| 9          | THU         | S | Senate Business Committee  | 9am     | 9            |
|            |             | S | Research & Knowledge Exchange Committee                                      | 1pm     |              |
| 10         | FRI         | S | E-Learning Sub-Committee   | 2pm     | 9            |
| 13         | MON         | C | Governance & Nominations Committee   | 10am    | Week         |
|            |             | C | Finance & Policy Committee   | 2pm     | 10           |
| 14         | TUE         | S | Learning & Teaching Committee  | 10am    | 10           |
| 15         | WED         | S | Graduation   |         | 10           |
| 16         | THU         | S | Graduation   |         | 10           |
| 17         | FRI         | S | Graduation   |         | 10           |
| 20         | MON         | C | Remuneration Committee   | 11am    | Week         |
|            |             |   | Staff Council – Principal's Question Time                                    | 1pm     | 11           |
| 21         | TUE         |   | Professional Services Group  | 10am    | 11           |
| 22         | WED         | C | Endowments Sub-Committee   | 10.30am | 11           |
| 25         | SAT         |   | Graduates' Association Business Meeting                                      | 10.00am | 11           |
| 27         | MON         | C | Audit Committee  | 2pm     | Week         |
| 29         | WED         | S | Senate   | 2pm     | 12           |
| <b>DEC</b> | <b>2017</b> |   |  |         |              |
| 4          | MON         |   | Semester 1 Examination begin   |         | Week         |
| 5          | TUE         |   | Personal Chairs Committee  | 2pm     | 13           |
| 10         | SUN         |   | University Carol Service   | 5pm     | 13           |
| 11         | MON         |   | Complaints Session Workshop  | 10am    | Week         |
|            |             | C | Court  | 2pm     | 14           |
| 12         | TUE         |   | Professional Services Group  | 10am    | 14           |
| 15         | FRI         |   | Information Management Committee   | 11am    | 14           |
|            |             |   | Semester 1 Examinations end  |         |              |
|            |             |   | End of Semester 1  |         |              |
| 18         | MON         |   |  |         | VACA<br>TION |
| 22         | FRI         |   | University Closed after business until start of business on 3rd Jan 2018     |         |              |