MINUTES OF THE PROCEEDINGS

at the

Thirty-first Meeting of the

COUNCIL

of the

IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE

The Thirty-first Meeting of the Council was held in the Council Room, 170, Queen’s Gate at 10:30 a.m. on 11 July 2003, when there were present:

Dr. E. Buttle (Deputy Chairman), Professor J. N. B. Bell, Professor Sir Leszek Borysiewicz, Professor M. Green, Professor D. Griffiths, Professor M. P. Hassell, Mr. D. P. Hearn, Professor Dame Julia Higgins, Professor S. P. F. Hughes, Professor A. B. Kay, Dr. M. P. Knight, Professor F. Leppington, Sir Alastair Morton, Professor J. D. Perkins, Eur. Ing. A. D. Roche, Dame Rosemary Spencer, Dr. C. L. Vaughan, Dr. D. J. Wilbraham, the Rector, the Deputy Rector and the President of the ICU, together with the Clerk to the Court and Council.

In attendance: the Academic Registrar, the Director of Estates, the Director of Finance, the Director of Human Resources, the Director of ICT, the Director of Policy and Planning, the Director of Strategy Development and Communications, the Pro Rector for Public and Corporate Affairs, the Imperial College Union Observer and the Assistant Clerk to the Court and Council.

Apologies: Lord Vincent, Mr. G. Able, Mr. P. Gershon, Mr. B. Gidoomal, Mr. H. B. Lowe, Mr. R. J. Margetts, Dame Judith Mayhew, Professor G. H. C. New, Professor R. D. Rawlings, Dr. B. G. Smith and Sir Peter Williams.

CONGRATULATIONS

On behalf of the Council, the Deputy Chairman congratulated Professor J.M. Polak on her appointment as DBE and Professor A.R. Boobis on his appointment as OBE in the Birthday Honours List. The Deputy Chairman also congratulated Professor P. Dornan and Professor G. Smith on their election as Fellows of the Royal Society and Professor H.S. Wheater and Professor C.M. Wise as Fellows of the Royal Academy of Engineering. Furthermore, she said, Professor C. Bangham, Professor A. Barrett, Professor Sir Ara Darzi, Dr. P Farrell, Dr. A. Fisher, Professor I. Huhtaniemi, Professor F. Muntoni and Professor J. Saklatvala had all been elected as Fellows of the Royal Society of Medical Science, while Professor D. Hands had been elected as a Fellow of the British Academy. This large number of appointments and elections reflected the high quality of the staff at the College.
MINUTES

Council – 16 May 2003

1. The Minutes of the Thirtieth Meeting of the Council, held on 16 May 2003, were taken as read, confirmed and signed.

MATTERS ARISING

South Kensington Sports Centre (Council Minutes, 16 May 2003, Minute 12)

2. The Director of Estates, Mr. Brooks Wilson, said that he had intended to present the Sports Centre Project to the Council for approval at this Meeting. However, following discussion at the Finance Committee, it had been agreed that the Project’s detailed costing should be reviewed. This was now being done and he expected that the Project would be presented for approval either at the Council’s next Meeting in October, or to the Vacation Powers Committee if approval were to be required before then.

Paddington Health Campus (Council Minutes, 16 May 2003, Minutes 35 - 43)

3. Professor Green reported that there had been considerable progress since the last Meeting of the Council. The NHS would be issuing a Prior Information Notice (PIN) in the European Journal at the end of July. This non-binding Notice would announce the intention to develop the Paddington scheme by way of a PFI Project in which there would be three partners: the Royal Brompton and Harefield Hospitals Trust, the St. Mary’s Hospital Trust and Imperial College. It was expected that the formal OJEC notice calling for tenders would be issued in the Autumn. Because the PIN was not legally binding, it had been decided that it was not necessary for the College to enter into a Memorandum of Understanding (MoU) with the NHS as yet, although there would be a formal exchange of letters before the PIN was issued. Moving on, Professor Green said that the NHS had also now agreed a financial package with Imperial for the Project. The NHS would provide £56M for the new Imperial building, with the College’s contribution being £8.5M for expansion space together with an estimated £8.5M for the costs of moving and new equipment, as well as releasing the Dovehouse Street building to the NHS. Professor Green said that Imperial expected to find at least £8.5M from charitable sources. Turning to progress with the complete scheme, which Professor Green reminded the Council would cost in the region of £800-£1,000M, he said that this was still being considered by the Department of Health, although it was expected that formal approval would be forthcoming shortly.

4. Professor Sir Leszek Borysiewicz said that the considerable progress made was in no small part due to the hard work of both Professor Green and Dr. Eastwood. If the Project came to fruition it would, he said, be one of the most exciting schemes in the Country and represented an excellent opportunity for Imperial. Dr. Eastwood noted that the exchange of letters would take place shortly and that it was expected that formal approval for the Project would be sought from the Council in October. He reminded the Council that, should this be required before the October meeting, it had already delegated authority to an augmented Vacation Powers Committee to give such approval.
RECTOR’S BUSINESS

Staff Matters (Paper A)

5. The Rector formally presented Paper A, which was received for information.

6. Mr. Hearn asked if the College had any arrangements in place for ensuring that statements to the Press were cleared before they were issued. The Rector said that members of academic staff were free to express controversial opinions within the law and that it would be neither desirable nor practical to try to curtail this.

7. Dame Rosemary Spencer asked what responsibilities had been allotted to the Director of Operations. The Rector said that, as he would explain in his presentation on the Strategic Plan, the College was undertaking a review of its support operations. Ms. Taverne had been employed to manage this Review, which would take at least two years.

REPORT FROM THE HEALTH AND SAFETY AUDIT COMMITTEE (PAPER B)

8. Before introducing Paper B, the Chairman of the Health and Safety Audit Committee, Mr. Roche, responded to a point that had been raised at the Council’s last Meeting. Sir Alastair Morton had suggested that the increase in accidents might be related to the large increase in capital works at the College. At Mr. Roche’s request, the Safety Department had reviewed the previous year’s accident reports and had determined that only 5% of the reported accidents either involved external contractors or were otherwise related to project activity at the College. He suspected that this low percentage was a reflection of incomplete reporting by some contractors. The Safety Department and the Estates Division were working together to improve reporting in this area.

9. Turning to his Report, Mr. Roche said that the Committee had visited the Students’ Union before its last Meeting and had been very impressed with the progress it had made in health and safety matters. The Committee had felt that the fact that the current President, Mr. Ganesh, had been in post for two years rather than for one year, as was normal, had allowed him to make a greater contribution to the management of health and safety in the Union. Mr. Roche hoped that the Union would now build on the progress it had made in the last two years.

10. Turning to the Committee meeting itself, Mr. Roche said that the standard of Departmental Annual Reports continued to show an improvement year on year. Last year the Committee had suggested that Heads of Department should countersign the annual reports from their Departments. This had been adopted successfully and the Committee was now recommending that this be taken a stage further and that Heads be asked to present their reports to the College’s Health and Safety Council in person, or at least through a senior deputy. The Committee was also concerned that Departments were raising the same issues in their annual reports in successive years. It was important that Departments should see that issues they raised were being
resolved or they would become disillusioned with the reporting process. The Committee had therefore suggested that the Health and Safety Council consider how to ensure that action was taken and Departments were provided with feedback.

11. The ICU President, Mr. Ganesh, said that the Union had welcomed the Committee’s visit and had found it a very positive experience. He acknowledged the issue of management continuity raised by the Committee and said that the Union now involved its permanent staff in health and safety management to ensure greater continuity. He also thanked the College, which had provided additional funding to allow the Union to address health and safety matters.

12. Professor Hassell said that the College’s Health and Safety Council, which he chaired, had met shortly after the Health and Safety Audit Committee’s meeting and had accepted its recommendations. The Health and Safety Council’s meetings would be restructured in the coming year to provide for a fourth meeting at which all of the Departmental Annual Reports would be considered. Heads of Department would be invited to attend this meeting to present their reports. He said that the College’s Central Secretariat was best placed to provide feedback to Departments and it had therefore been asked to make proposals on how this might best be achieved for consideration by the Health and Safety Council at its next meeting.

**DfES CONSULTATION “WIDENING PARTICIPATION IN HIGHER EDUCATION – THE COLLEGE RESPONSE (PAPER C)**

13. Introducing Paper C, the Director of Planning and Policy, Dr. Eastwood, said that the timetable for responding to the Department for Education and Skills (DfES) had been such that it had not been possible to present the College’s response to the Council prior to submission. Paper C was therefore provided for Governors’ information.

**REPORT FROM THE FINANCE COMMITTEE (PAPER D)**

14. The Honorary Treasurer, Dr. Knight, introduced Paper D and said that the main items considered by the Finance Committee at its last meeting had been the College’s Strategic Plan, Capital Investment Plan and Budget, which would be discussed by the Council later in the Meeting. The Committee had also received, for the first time, a sources and application statement. This confirmed the considerable reduction in working capital (mainly by debt reduction) achieved in the current year by the Finance Division.

15. Sir Alastair Morton said that the College had acknowledged that there was a shortfall in the money provided for long term maintenance (LTM) annually and that it was hoped that the Strategic Research Investment Fund (SRIF) would help to address this. He asked if this funding would meet all the College’s LTM requirements. The Director of Estates, Mr. Brooks Wilson, said that, once the College’s proposals for SRIF II funding had been accepted by HEFCE, the Estates Division would be
conducting an analysis to assess the extent to which the LTM gap was covered by SRIF funding.

FINANCE MANAGEMENT REPORT (PAPER E)

16. The Director of Finance, Mr. Cannon, introduced Paper E and said that the College was now expecting to generate a small surplus of £400K for the year, rather than the £1.1M deficit originally forecast. This was mainly due to underspends within the Faculties. Exceptional income was expected to be nil as the sale of the sports ground was now likely to take place in the next financial year. The College’s debt position was still improving and the amount over a year old at 30 June was below £4M. Finally, he reported that the College’s borrowing facility of £100M was expected to be fully utilised by May 2005.

17. Mr. Hearn noted that the College was not now expecting to raise £500K of unfettered income from fundraising and asked if the College needed to devote more resources to this activity. The Pro Rector (Public and Corporate Affairs), Dr. Maini, said that the College had been very active in fundraising, but that most of the money raised had been for specific purposes such as projects or student bursaries and scholarships. It was, he said, very difficult to get people to give the College unfettered money rather than donations for specific purposes. The Rector agreed, saying that the original target of £500K of unrestricted income had been unrealistic.

STRATEGIC PLAN 2003/04 – 2007/08, INCORPORATING THE CAPITAL INVESTMENT PLAN (PAPER F)

COLLEGE BUDGET 2003-04 (PAPER G)

18. The Deputy Chairman suggested that, as the Strategic Plan, the Capital Investment Plan and the College Budget were all interlinked, they should be taken together. The Rector then gave a presentation on the Strategic Plan, which the Deputy Rector followed with a presentation on the Capital Investment Plan. Copies of these presentations are attached as an annex to these Minutes.

19. Mr. Cannon then introduced Paper G confirming that the College Budget had been endorsed by the Finance Committee.

20. Commenting on the Papers presented, the Honorary Treasurer, Dr. Knight, said that this was the first time that the Strategic Plan, the Capital Investment Plan and the College Budget had been presented to the Council at the same time. This was, he said, a major step forward as it allowed the Council to assess if the three documents were coherent and consistent, as they should be. Turning to the budget, Dr. Knight said that the establishment of the Strategic Investment Fund was very important as it provided a means by which the College could make a real investment in achieving its
Strategic Plan, rather than just funding its current operations. This would, he suggested, become even more important in future years.

21. Responding to a point in the Rector’s presentation, Professor Bell noted that the Research Councils would be required to make a greater contribution to overheads and asked if this would lead to a concomitant reduction in the number of grants they made. The Rector confirmed that the Government would be providing additional funds to meet these overheads and that there should not therefore be any reduction in the number or size of grants made by the Councils.

22. Mr. Hearn remarked that SRIF funding had been very important for the College and asked how long such funding initiatives were likely to continue. The Rector said that, in his view, there would be a third round of SRIF and possibly another round after that, but that the sums distributed in SRIF III and IV were likely to reduce. Dr. Eastwood agreed that SRIF III funding would probably be made available. He suspected though that, once the full costs of research were being obtained from the Research Councils and industrial sponsors, it would become institutions’ responsibility to ensure that they maintained their infrastructure from this income and that SRIF funding would consequently cease. The Rector agreed, but said that this position could only be attained once the backlog caused by years of under-funding had been addressed.

23. The Deputy Chairman said that the difference between current funding levels and those required to meet the full costs of research were very large and she was concerned that the Government might not be able or willing to meet this funding gap completely. Dr. Vaughan agreed and said that it would also be difficult to persuade industrial sponsors to meet the full overhead rate. The Rector said that the College already obtained very good overhead rates from industry as these sponsors recognised that they had to pay good rates to obtain the quality of research they needed.

24. Dr. Wilbraham agreed that the Plans were coherent and consistent, but noted that the College’s financial plans were to an extent based on the sale of some of its non-core assets. He asked for clarification of the value of these assets. The Rector said that approximately £60M of non-core assets had been identified and that their value was being monitored by the Finance Committee. The Deputy Chairman said that the decision to allow the College to take on borrowing had been very sensible as it meant the College had not had to sell these assets at a time when it would have been disadvantageous to do so.

25. Professor Sir Leszek Borysiewicz said that the Faculty of Medicine was the second largest higher education recipient of charity income in the Country and that this paid for significant research activity in the Faculty. Although charities would not meet overhead costs, the College did receive additional money from HEFCE to compensate for this. Even though the College made a loss on charity-funded research, the College could not refuse this funding since the volume of research conducted by the College was important for its success in the Research Assessment Exercise. Professor Borysiewicz also noted that the overall amount of charity income available had reduced considerably because of the state of the stock market. Despite this, the Faculty had maintained its income levels by obtaining a much greater share of the
Mr. Hearn asked if the Government’s proposals for the NHS University posed a threat for the College. Professor Sir Leszek Borysiewicz said that it was perceived as a threat by a lot of the other medical schools, especially those that offered nursing education, as this was an area in which the NHS University intended to offer programmes of study. It also represented a threat for Imperial, but for different reasons. It was proposed that NHS research funding, which was currently distributed by the Trusts, would in future be distributed through the NHS University. Imperial now received about 20% of the NHS research budget and, if these proposals went ahead, this funding would be subject to the NHS University’s priorities rather than those of the Trusts. However, he said, the University had been a favourite project of the previous Secretary of State for Health, Alan Milburn MP. It was not yet known if the new Secretary of State, Alan Reid MP, had the same degree of commitment to it.

Turning to the budget, Mr. Hearn noted that the Faculty of Life Sciences had a deficit of £4.7M and asked what was going to be done to reduce this. The Rector agreed that the Faculty could not continue to generate a deficit in this manner, but said that it was working on strategies to address its current shortfall.

Resolved:

(i) That the Strategic Plan and the Capital Investment Plan 2003/04 – 2008/09, as set out in Paper F, be approved.

(ii) That the College Budget 2003/04, as set out in Paper G, be approved.

PROMOTING RACE EQUALITY (PAPER H)

The Director of Human Resources, Mr. Gosling, presented Paper H and reminded the Council that it had approved the College’s Policy on Promoting Race Equality in March 2002. The Policy had subsequently been submitted to the HEFCE who had recommended that the College do more work on refining it. It had now been revised in line with HEFCE’s comments, and the accompanying codes of practice and action plans finalised. Picking up on this last point, Mr. Gosling said that the main body of work was actually in the codes of practice rather than the Policy and that the College appeared to be unique in adopting this approach. Turning to the Policy itself, he said that the main changes were:

a. The inclusion of more contextual material, such as extended references to the McPherson Report, which included important recommendations for combating institutional racism.

b. The inclusion of references to College initiatives that had been introduced since the Policy was first approved.

c. More detailed reference to the codes of practice and action plans.
Dr. Vaughan congratulated the College on the production of a comprehensive Policy document. Having been the Chairman of the Equal Opportunities Committee at the Hammersmith Hospital, she said that she would have preferred the College to have a single Policy to cover all forms of discrimination such as gender, race, age and disability, rather than one that dealt with just racism. Mr. Gosling agreed, but said that the production of a single Policy for Promoting Race Equality in this form was a statutory requirement of the Race Relations (Amendment) Act and that the College therefore had no choice but to present its policies in this way. He noted that the College did have an overarching Policy on Equal Opportunities and Diversity, which covered all forms of discrimination.

Dr. Vaughan then queried whether, given the importance of equality and diversity issues, there should be a Council committee concerned with them. The Clerk said that, while the Council was responsible for the Policy, the Rector was responsible for its implementation. For this reason the codes of practice, which were concerned primarily with implementation, had not been presented to the Council for approval. It was therefore appropriate that the Policy’s implementation should be overseen by the Equal Opportunities and Diversity Committee, which reported to the Rector through the Executive Committee. The Clerk then reminded the Council that it would receive an annual monitoring report on diversity issues and that this would signal the importance of this area for the College.

The Chairman of the Equal Opportunities and Diversity Committee, Professor Leppington, said that, as important as the Policy and codes of practice were, the key task would be ensuring that senior staff in the College took note of them in everything they did. Dr. Vaughan agreed and suggested that the College should consider appointing a Diversity Advisor as, in her experience, having a person with this responsibility would help to implement this Policy. Mr. Gosling said that a Diversity Advisor had been appointed within Human Resources and that she had already started to make a difference.

Finally, Dr. Vaughan noted that the Policy suggested that training would be provided for members of the Council and asked how this was to be provided. Mr. Gosling said that training would be included in the induction sessions provided for new governors at the beginning of each year. He would also be discussing with the Clerk how best to offer training for existing members, including the possibility of providing a presentation from external experts in this area.

Resolved: That the revised College Policy on Promoting Race Equality, as set out in Paper H, be approved.
REPORT FROM THE SENATE (PAPER I)

33. The Rector presented Paper I, comprising the Minutes of the last three Meetings of the Senate. The Academic Registrar, Mr. McClure, said that the Senate was recommending revisions to the College’s Academic Regulations that would ensure transparency and also make the College’s procedures more explicit for students.

Resolved: That the revisions to the College Academic Regulations, as set out in Paper I, be approved to take effect from 1 October 2003.

CLERK’S BUSINESS

Petitioning the Visitor (Paper J)

34. The Academic Registrar, Mr. McClure, introduced Paper J and reminded the Council that, once students had exhausted their rights of appeal within the College’s procedures, they were advised of their right to apply to the Visitor. Following a recent case, the Visitor had recommended that students’ right of appeal to the Visitor should be made explicit from the outset in all relevant College procedures, rather than being notified to the appellant once the College processes had been exhausted.

Resolved: That the insertion of the statement regarding a student’s visitorial rights at the appropriate point in the College’s procedures on Discipline in Imperial College, Scientific Misconduct, Dealing with Complaints by Students and Appendix 2 of the Academic Regulations, as set out in Paper J, be approved.

Athletics Committee (Paper K)

35. The Clerk introduced Paper K and said that the Athletics Committee had recommended a change to its title to more accurately reflect its terms of reference.

Resolved: That the change of name of the Athletics Committee to the Sport and Leisure Committee, as set out in Paper K, be approved.

Vacation Powers Committee (Paper L)

36. Introducing Paper L, the Clerk reminded the Council that the Vacation Powers Committee had first been established three years ago to deal with any urgent matters during the lengthy period between Council Meetings over the Summer and that the Committee’s terms of reference required the Council formally to delegate its powers to it each year.

Resolved: That the Vacation Powers Committee be empowered to make decisions on behalf of the Council on any matter for which a
resolution is required before the next scheduled Meeting of the Council in October 2003.

VALETE

37. The Deputy Chairman said that this would be the last Council Meeting for the current ICU President, Mr. Ganesh, and for the ICU Observer, Mr. Smith. On behalf of the Council she thanked both Mr. Ganesh and Mr. Smith for their contribution to the work of the Council and, in particular, thanked Mr. Ganesh for all his work as ICU President in the previous two years.
Strengths: our current position…

- Top tier in UK
- Research Assessment: 75% of staff in departments of international standing
- Has led to increased HEFCE funding for research (+14.5% in 2003/04)
- HEFCE funding increased by 8% overall
- Funding: Imperial now has 6.0% of total national public funding of university research
- Largest industrial sponsorship
Our recent achievements…

• Education:
  – Leading role in the tuition fee debate
  – Scholarship fund now established
  – SOLE and METRIC “launched”

• Research: external recognition of our value and performance
  – Gates Foundation grant for schistosomiasis control project
  – Increase in Government funding on basis of “double firsts”
    - 18% of all available new money

• Operational management
  – Cohesive Imperial brand
  – Novel funding mechanisms for innovation
  – New processes for grants management

Our Mission…

“Imperial College London embodies and delivers world class scholarship, education and research in science, engineering and medicine, with particular regard to their application in industry, commerce and healthcare. We foster interdisciplinary working within the College and collaborate widely externally”.

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Our Strategic Intent (re-viewed)…

- To remain amongst the top tier of scientific, engineering and medical research and teaching institutions in the world.
- To harness the quality and breadth of our research capability, across multiple disciplines, to address major challenges.
- To develop our range of academic activities to reflect the changing needs of society, industry, commerce and healthcare.
- To continue to attract and develop the most able students and staff worldwide.
- To communicate widely the significance of science in general and the purpose and ultimate benefits of our activities in particular.

Our Strategic Goals…

1. Teaching and learning at Imperial
2. Recruitment of suitably qualified students
3. Research strategy
4. Exploitation of intellectual assets and skills
5. Fund-raising
6. The Financial Management Plan
7. Staff attraction, reward and development and retention
8. Strengthening the reputation and global position of Imperial
9. Managing the estate
10. Improving the effectiveness of the organisation
11. Health, safety and the environment
12. Influencing the development of the higher education environment
13. Improving access to, and use of, information
14. Creating a Business School that displays Imperial values and excellence
Major challenges…

- **Financial**
  - Operating to budget
  - Low endowment
  - Small studentship fund
  - Access to private money

- **New Government initiatives**
  - Admissions
  - Funding
  - Quality assessment

- **Estate**
  - Large build / refurbishment programme
  - Rationalisation
  - Maintenance backlog

- **Management / organisational capabilities**
  - Performance management / pay and grading
  - Effectiveness of support services

Opportunities: significant changes in funding…

- **Tuition Fees**
  - Imperial well placed to charge at the upper limit
  - Increased fee income could amount to c.£11m pa
  - Option to increase number of overseas students

- **Comprehensive Spending Review**
  - Imperial’s share of the second SRIF Programme is £63m
  - Increased indirect cost reimbursement rates from Research Councils
    should allow College to move closer to economic cost recovery
  - HEFCE “double 5 star” allocation will enable College to build research capacity

- **Borrowing**
  - Approval for borrowing up to £100m
The debate on student fees…

- Imperial loses £2,800 per year for every student we teach
- White paper proposal is a step in the right direction but does not go far enough
- With fees at £3,000 Imperial will lose about £900 per student per year
- No real market likely to develop, as majority of universities will wish to charge full £3,000
- Fees at £5,000:
  - would cover the full costs of an education at Imperial
  - yield some resources to fund educational developments
  - lead to a true market in tuition fees

Increasing our endowment and creation of a studentship fund…

- Increase number of major donors
- Develop planned and regular giving
- Build corporate and foundation gifts
- Engage more actively with alumni
- Foster culture of ‘giving’ within the College
- Find variety of opportunities to promote the “studentship fund” as an attractive option for internal and external donors
Government initiatives…

- Improved support for the science base: “Investing in Innovation – A strategy for science, engineering and technology” (July 2002).
- Need for research to be funded in realistic economic terms and reforms to the way the Dual Support system works: DTI / OST report entitled “The Sustainability of University Research” (May 2003)
- The report of Sir Gareth Roberts to the UK funding bodies, entitled “Review of Research Assessment” (May 2003).

Proposed features of the Research Quality Assessment (RQA)…

- Many features of previous system remain - Peer review, panels, criteria, etc.
- Many new features however, including:
  - Choice of two channels (research intensive, “the rest”)
  - Red channel: detailed review (80% threshold submission of eligible staff); “star profile” determines funding
  - Green channel: no review (threshold level of funding)
Implications for the College…

- Assessing implications in detail
- Concentrating on the following:
  - Grading Method
  - Eligibility of staff
  - Outputs
  - Metrics and Data
  - Research Strategy

The Estate…

- The largest university estate in the UK
  - 542,100 sq m of built space
  - 3.5 Canary Wharf towers
  - £1bn insurance replacement value
- Some is surplus to requirement
  - Release of value for mission-related purposes
- New buildings
  - Attraction and retention of world class people and projects
  - Facilities fit for the present and the future
  - Increased organisational effectiveness
Two major advanced projects…

**Tanaka Business School**
- Academic use, prestigious new College entrance
- Cost: £28M (donation)
- Anticipated completion: 4Q2003 (occupation 1Q04)

**Faculty Building**
- Administrative use, operational effectiveness
- Cost: £14M (own funds)
- Anticipated completion: 2Q2004

Other significant projects…

- Sports Hall – SK
- Southside Accommodation – SK
- Burlington Danes – Hammersmith
- Strategy for Sherfield – SK
- Biomedical engineering facility
- Mathematical sciences institute
- Laboratory & CBS facilities - CX
- Major refurbishment across all academic campuses
Management & organisational capabilities…

• Key drivers
  – Corporate Governance
  – Government expectations
  – Our own analyses on effectiveness and efficiency
• Need
  – Manageable organisation
  – Compliant, effective and transparent processes
  – High level competence amongst staff
  – Removal of impediments to achievement of Mission

Organisation of the College…
Staff performance management...

- Methodology established for annual appraisal of performance and development needs for all staff
- Performance objectives to be set and assessed for all staff groups
- Greater use of bonuses to recognise specific achievement
- Specific initiative to address research capability
- New broad banded grading structure going “live” in the Autumn – with new emphasis on pay/performance linkage
- Intent to establish local annual pay bargaining

Today’s environment has placed increasing demands on Imperial’s Support Services...

**Imperial College**
- Complex multi-site, central London location
- Added complexity of mergers with the medical schools sites, staff and services shared with NHS Trusts
- Cross-faculty initiatives
- Increased internal expectations of service
- Rise of international collaborations

**Environment**
- Government requirements for optimisation of resources
- Increasing number of interdisciplinary initiatives
- Increased need for investment – big science
- Global competition for top academic talent
- Competition for major grants and industry relationships

The aim of the initiative is to establish a culture of first class services to support first class scholarship
Support Services project: four clear goals…

1. Ensure support services are responsive to the strategic needs of the College

2. Measurably improve quality of service as defined by the users

3. Ensure and demonstrate the effective stewardship of resources

4. Release academic time for the academic mission

Support Services project: where we are now…

- Project team in place led by Suzanna Taverne
- Analysis and design of selected processes underway:
  - decision-making
  - people management
  - finance management
- Implementation in line with established milestones
  - Faculty Building March 2004 (occupancy in line with project direction)
  - Implementation 4Q03 through 2004
Summary: my priorities for the next phase…

- Create environment and policies to ensure academic excellence
- Improve management of people and resources
  - Cost-effective, efficient, productive, enabling
- Create financial flexibility
  - Studentships, staff, buildings, facilities
  - New reward and recognition practices
- Develop the Estate
  - Attract and retain top quality staff and students, enable new research, realise value
- Ensure that we develop and communicate our strategic plans as our environment and capabilities change.

Imperial College
London

Capital Investment Plan 2003-07

Meeting of the Council 11th July 2003

Professor Peter Bearman
Deputy Rector
Background…

• Presented to Council annually.

• Outlines existing and new capital projects, changes to College’s academic priorities or policies, extra funding that has become available and additional liabilities.

• Rolling plan, continually reviewed and revised according priorities - snapshot of the College’s intentions

• Approval is not synonymous with authorisation of each project (those >£1M must be approved separately).

Core Expenditure…

• Over the next two years, major capital expenditure will relate to:

  – SRIF (Science Research Investment Fund) - Completion of projects in round 1 and undertaking projects in round 2
  – Tanaka Business School
  – Faculty Building
  – Sports Centre
  – Burlington Danes Development
Five Categories of Funding…

– Academic Projects
– Residences
– Social, Sporting and Leisure Amenities
– Long-term Maintenance Projects (LTM)
– Organisational Effectiveness

Academic Projects…

Aim:
To further the College’s pursuit of academic excellence.

• Projects funded from College reserves and external funds:
  – Tanaka Business School
  – St Mary’s Research Building
  – Paddington Waterside
  – Royal School of Mines
  – Burlington Danes
  – CBS & laboratory facilities - CX
Academic Projects…

• Projects funded through SRIF
  
  – SRIF I projects (£68M)
  
  – SRIF II projects (£70M). HEFCE allocated £63M. College will finance 10% of total cost from reserves (£7M).

SRIF 2: Allocations to Russell Group Universities…

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Residences…

Aims:
To remain a residential university
To guarantee accommodation for 1st year UGs
To increase accommodation at S. Ken. Campus.

*Income from Residences insufficient to fund major refurbishments*

- Projects: Bernard Sunley Hall and Southside Hall
- Disposals: Montpelier Hall and 21 Ossington St.

Social, Leisure and Sporting Amenities…

Aim:
To develop non-academic facilities for both staff and students.

Projects:
- Sports Centre
- Quality of the Environment
Long Term Maintenance Projects…

Aim:
To reduce the College’s LTM backlog (c. £166M), including liabilities under the Disabilities Discrimination Act (DDA) and safety glazing legislation.

Key Issues:

– HEFCE indicate annual recurrent spend should be £16M; can only afford £3M.
– SRIF allocations making a major contribution to reducing maintenance backlog
– £873K from HEFCE (Apr 2004-Mar 2006) to respond to DDA requirements

Organisational Effectiveness…

Aim:
To improve the overall efficiency of the College, including projects in IT and telecommunications

• IT Projects:
  – ICIS Upgrades
  – SAMS
  – RAMP

• Non-IT Projects:
  – Faculty Building
Projects Under Evaluation…

Projects being evaluated by Estates:

– Fisher Hall
– Princes Gardens
– Sherfield Redevelopment

Finance Strategy…

Historically – 3% of annual turnover set aside for capital projects together with sale of non-core assets.

Now – financial pressures increased. Long-term borrowing arrangement with management of non-core assets.
- To satisfy interest payments.
- To establish endowment fund to increase income.
Capital programme of works - a balance of costs, realistic timings and priorities…
PAPER A

STAFF MATTERS

A Note by the Rector

APPOINTMENT OF DEPUTY PRINCIPAL OF THE FACULTY OF MEDICINE

Professor Christopher Kennard, Professor of Clinical Neurology has been appointed Deputy Principal of the Faculty of Medicine from 1 June 2003, in succession to Professor Mark Walport.

DEAN FOR THE FACULTY OF ENGINEERING

Professor Richard I. Kitney OBE, Professor of Biomedical Systems Engineering, Faculty of Engineering, has been elected Dean for the Faculty of Engineering with effect from 1 September 2003 to 31 August 2006, in succession to Professor C.L. Hankin.

APPOINTMENT OF DIRECTOR OF OPERATIONS

Ms Suzanna Taverne has been appointed Director of Operations with effect from 1 July 2003. Ms Taverne has worked in strategic and financial roles in senior management in both the public and private sectors. Before coming to Imperial as a consultant last October, she was Managing Director of the British Museum. Previously, she worked as Director of Strategy and Development at Pearson plc, as a consultant to the Board of Saatchi & Saatchi plc and as Finance Director of Newspaper Publishing, owner of The Independent.

FELLOWS OF THE ROYAL SOCIETY

The following have been elected as Fellows of the Royal Society:

Professor Peter Dornan, Professor of Experimental Particle Physics in the Department of Physics, Faculty of Physical Science.

Professor Geoffrey Smith, Professor of Virology in the Division of Investigative Science, Faculty of Medicine.

PROFESSORSHIP

Dr Eric Simoes, currently Professor of Paediatrics at the University of Colorado, USA has accepted appointment to the Chair in Paediatric Infectious Disease and Tropical Health Care
in the Division of Paediatrics, Obstetrics and Gynaecology, Faculty of Medicine with effect from 1 January 2002. (1)

CONFERMENT OF TITLE

Professor Carlo di Mario, currently Consultant in Interventional Cardiology at the Royal Brompton Hospital has been notified of the conferment of the title of Professor of Cardiology, Department of Cardiology, NHLI Division, Faculty of Medicine with effect from 1 January 2003.

VISITING PROFESSOR

Dr Christos Cotsakos, currently Chairman of the Board and Chief Executive Officer for E*Trade Financial Group Inc, USA, has accepted association with the College as Visiting Professor in the Business School with effect from 1 September 2003 for a period of three years.

RESIGNATION

Professor Oliver Dolly, Professor of Molecular Neurobiology in the Department of Biological Science, Faculty of Life Sciences has resigned with effect from 21 May 2003.

R.B.S.

1. This appointment is backdated due to complications with EU funding.
VISIT TO THE IMPERIAL COLLEGE UNION

1. The Health and Safety Audit Committee Meeting on 4 June 2003 was preceded by a visit to the Imperial College Union. Following an excellent presentation on the management of health and safety within the Union by the Deputy President (Clubs and Societies), Nona Ahamat, the Committee discussed a number of health and safety issues that were peculiar to the Union with the President, the Deputy President, the Union’s Departmental Safety Officer and representatives from some of the Sports clubs.

2. The Committee was impressed with the Union’s commitment to health and safety and with the improvements it had introduced during the course of the current year. The Union supports a wide range of sporting and other activities through its numerous clubs and societies, some of which inevitably involve dangerous activities such as mountain climbing and diving. The Union has a policy of withholding funding from any club which is unable to provide updated risk assessments, which appears to be effective. The Committee was also impressed with the procedures introduced by some of these clubs, such as the Sub-aqua Club, for maintaining the training records of all club members. The Committee raised three main issues for consideration by the Union as follows:

   a. **Management Continuity.** Although a number of permanent staff are employed by the Union, including a Union Manager, responsibility for health and safety resides with the President and, through him or her, the other sabbatical officers. These are elected posts normally lasting for one year only. This means that the management of health and safety from year-to-year is, to an extent, dependant on the quality and commitment of the individual officers appointed each year. The Union is aware of the potential problems this lack of continuity can cause and has a hand-over period so that, the incoming sabbatical officers work with the current incumbents for a time before taking on the reins themselves.

   b. **Procedural Issues.** The Committee recognised that the Union had well documented procedures for health and safety. It was suggested that the Union should now consider how to ‘close the loop’ to ensure that its excellent procedures were being implemented fully, perhaps by the introduction of random inspections and auditing.

   c. **Committee Representatives.** The Committee has noted from the Annual Departmental and Divisional Reports that it is often difficult to identify student representatives for Departmental Safety Committees. The Union was therefore asked to consider how to address this problem. It was suggested that the provision of training for Departmental representatives would enable them to make a more informed contribution to safety committee meetings and thus encourage them to attend more frequently.
HEALTH AND SAFETY AUDIT COMMITTEE MEETING

3. The Health and Safety Audit Committee Meeting on 4 June 2003 concentrated on reviewing the papers considered by the College Health and Safety Council at its meeting on 4 March. The main issues raised by the Committee were as follows:

   a. **Annual Safety Committee Reports.** The Health and Safety Council had considered the annual reports from a large number of Departmental and Divisional Health and Safety Committees. These had been prepared using a new proforma, which the Committee agreed was much clearer and provided a real basis for comparison between Departments. The Committee was generally impressed by the high standard of the reports presented and agreed that, once again, they showed a steady improvement on those presented in previous years.

   b. **Departmental Representation.** The Committee noted that, following its recommendation last year, the annual reports now had to be signed off by the Head of Department with his or her comments on the report where appropriate. However, when the reports were presented to the Health and Safety Council, the Department was usually represented by the Divisional Safety Officer. In some cases, there was no representative from a Department to present its report. The Committee was concerned that this meant that there was no one at the meeting with the relevant authority to respond to any concerns that might be raised by the Health and Safety Council in relation to the report. The Committee therefore recommended that the annual safety reports should normally be presented to the Health and Safety Council by the Head of Department or a senior member of staff with authority to respond on behalf of the Department.

   c. **Departmental Feedback.** The annual safety reports include a section in which the Department can raise any issues that it wishes the Health and Safety Council to address. The Committee noted that, in a number of cases, Departments were raising the same issues they had raised in the previous year. This suggested that, either the issue had not been resolved or that the Department had not been made aware of the resolution. The Committee therefore suggested that the Health and Safety Council should consider how best to ensure that, first, any such issues were resolved satisfactorily and, second, that Departments were advised that action had been taken as a result of them raising the issue. The Committee felt that such a process was vital if continued improvements were to be obtained. If Departments felt that their concerns were not being addressed, they would cease to see the value in the annual reporting process.

NEXT MEETING

4. The Committee’s meetings in 2003-04 will be on 25 September, 21 January and 26 May. Departmental visits to coincide with these meetings are being arranged.

A.D. Roche
1. Governors will recall that the Government White Paper on the Future of Higher Education included a number of proposals on widening participation, including the introduction of an Access Regulator. These have now been expanded upon in a DfES Consultation Paper ‘Widening Participation in Higher Education’.

2. Unfortunately, the timescale for response was such that it was not possible for the College’s response to the Consultation Paper to be shared with Governors prior to its submission to the DfES. The College’s response is therefore attached as an Annex to this Paper for information.

R.F.E
1. Imperial College London welcomes the publication of the DfES Consultation Paper: ‘Widening Participation in Higher Education’ as it contains a positive approach to widening participation and access. We are keen to ensure that the policy arising from the document acknowledges the distinctive mission of each higher education institution (HEI) and recognises that various different approaches are suitable. Of utmost importance to the College is the maintenance of standards and quality within any framework for change. Our specific comments are provided below.

2. The analysis of application trends was particularly helpful, especially the tables which show that acceptance rates are the same irrespective of social background. We agree that differential rates of application, rather than any bias in admissions procedures, is the main cause of any under-representation of groups within higher education.

3. In general, we are content with the proposed areas for inclusion in the Access Agreements. We agree that the general thrust should be to raise attainment, aspirations and applications. We support the intention of the document to raise aspirations and application rates of students of the highest calibre. Of course, schools as well as HEIs have an important role to play here. The partnership approach to widening participation should encourage, where appropriate, joint working between different HEIs and involve other relevant stakeholders, for example, the NHS. A co-ordinated approach would prevent institutions from competing with each other and facilitate interactions with schools.

4. Imperial College aims to raise aspirations and to encourage all students to fulfil their potential so that they are able to study at the HEI most appropriate to them. As with many other HEIs, the aim of our widening participation activities is to increase entry to higher education in general. For this reason we would have concerns if the Access Regulator were to set, or even worse, require institutions to set, targets for the number of students to be recruited to that institution from particular backgrounds. Institutional level admissions targets are also likely to lead to institutions competing with each other for certain students at the expense of others. A more general approach to Widening Participation is preferable to a specific focus on particular subjects or institutions. Process targets, for example the number of pupils to benefit from a particular Open Day, or targets about those who have been involved with outreach work at one institution but who have gone on to study at another institution, should both be acceptable.

5. We would not support any initiatives which were aimed at lowering entrance requirements for students from backgrounds with a low participation rate in higher education. We support the notion of fair admissions which are based upon merit irrespective of class, background or type of school. Imperial College London recruits those students who are best able to benefit from its courses, irrespective of their background. It would be unwise to raise expectations by encouraging someone to apply to an institution where they were unlikely to
meet the entrance requirements. Equally, it would be unfair on the students concerned to recruit those who did not have the necessary skills and knowledge to cope with the course. Although the College has excellent support networks and mechanisms for students who require extra subject knowledge or assistance, students who have significantly poorer qualifications may still struggle to keep up with the rest of the class. Academics providing increased amounts of extra tuition will naturally have less time to devote to other students and to research, leading to an overall decline in standards. We agree with the statements, in the first paragraph of section two, that improving prior attainment is the main driver for widening participation to higher education in the longer term.

6. The review to identify good practice in admissions is both timely and sound. We support the thrust of the document that the review must lead to a set of guidance which can be adapted to local circumstances. We agree that it may seem timely to look at new mechanisms to facilitate the admissions process (perhaps additional tests). ‘A’ levels are becoming less suitable as a mechanism to discriminate between the ablest candidates. Equally however, it needs to be recognised that additional tests might lead to a further disincentive to apply to higher education.

7. We believe that careful thought needs to be given to the establishment of the Office for Fair Access (OFFA) and in particular the remit of the Access Regulator. The Access Regulator should work with each particular HEI and support activities which promote their individual mission. The Access Regulator should offer best practice and advice, acting as a mechanism to facilitate interactions and suggest, rather than enforce, appropriate activities. In most instances the Regulator should encourage the development of existing activities to promote access and raise aspirations. Each higher education institution has a distinctive mission and one approach does not fit all.

8. We do not agree that the Office for Fair Access should function as a separate body with distinct powers. Unless OFFA forms part of HEFCE, accountability problems are likely to result particularly if financial sanctions are to be imposed on an institution. In order to facilitate institutional planning, we would ask that Government and OFFA priorities remain consistent and are not subject to frequent revision.

9. The Government might wish to consider whether the maximum loan available to students in high cost locations (for example London) should be increased. We also have concerns that the proposed grant of £K1 may not be sufficient to attract students from disadvantaged backgrounds into higher education.

IMPERIAL COLLEGE
30 May 2003
REPORT FROM THE FINANCE COMMITTEE MEETING
HELD ON 30 JUNE 2003

A Report by the Chairman of the Finance Committee

BUDGET 2003/04

1. The Committee received from the Director of Finance a copy of the proposed budget for 2003/04 as presented to the Executive Committee. It was noted that the budget had been devised to provide an underlying increase in support to the Faculties and with the further intention of developing a Strategic Investment Fund, which would be allocated to specific projects designed to improve the College’s Research Assessment profile. This approach, coupled with the decision not to top slice the interest costs in the coming year, resulted in a planned operating deficit of £4M. It was noted that this operating deficit was covered by the depreciation charge in respect of College-funded assets. In addition, exceptional income of £12M was anticipated from the sale of properties. The Committee accepted the reasoning behind these budgetary decisions and welcomed the adoption of the new Strategic Investment Fund. The Committee therefore agreed to endorse the budget and requested that the Finance Director take it forward to Council for approval.

CAPITAL INVESTMENT PLAN

2. The Committee received the latest edition of the College’s Capital Investment Plan from the Deputy Rector noting that it had developed into a clear and coherent statement of the College’s intentions with regard to its physical estate. The Committee also welcomed the fact that the Budget and the Capital Investment Plan were now connected and presented to the Committee simultaneously. The Deputy Rector advised that, of necessity, the Plan always represents a snapshot of the position at any one time, and therefore there was an acceptance that the College needs to respond flexibly within the framework set out by the Plan. The Committee were advised that over the plan period, the Science Research Investment Fund (SRIF) programmes dominate the capital expenditure programme for the College, and it was noted that this funding stream has been invaluable for investment in major academic initiatives and in terms of helping to deal with the College’s long-term maintenance backlog. The Committee recommended that the Deputy Rector take the Capital Investment Plan forward for approval by the Council with the full support of the Committee.

FINANCE DIRECTOR’S REPORT

3. The Committee received a report from the Director of Finance which included an update on the College’s financial performance, a sources and applications statement for the year to date, and an updated report on the status of the College’s non-core asset portfolio. The Committee reviewed the information provided and stressed again the importance of a clear audit trail for the use of the funds realised through the non-core asset portfolio. It was
agreed that future reports should aim to cover both the operating account and the capital account of the College to make transparent the role of the non-core assets in funding both future investment and the debt service obligations arising from the College’s borrowings.

CAPITAL PROJECTS REPORT

4. The Committee received an updated Capital Projects Report from the Director of Estates, who advised the Committee that the only project noted as being a cause for concern, the Burlington Danes Project, had now been revised to bring it back to an acceptable position for the College. The Director of Finance commented that he had been given to understand that the revised Project would be managed by GlaxoSmithKline (GSK) and that GSK would accept the whole development risk. Only on this basis, once confirmed, could such a large additional project be considered for inclusion in the College’s balance sheet. It was noted that one of the SRIF I projects, Materials Processing and Characterisation, had some issues to be resolved which might result in a delay in completion. However, the Committee were assured that the time delay was manageable and should not result in any financial implications.

PADDINGTON HEALTH CAMPUS

5. The Committee discussed progress with the Paddington Health Campus Project. As this was a PFI Project the College would not have to provide capital funding. However, the Committee agreed that a Project of this magnitude would carry the same risk for the College as any other Project of this size and that it was therefore essential that it should be subject to the College’s normal approval procedures for capital projects.

INNOVATIONS REPORT

6. The Committee received a paper from the Pro-Rector (Public and Corporate Affairs) which updated the values ascribed to the College’s IPR portfolio. It was proposed that future Innovations reports would concentrate on the full range of activities in Innovations and Corporate Affairs, rather than focusing solely on portfolio valuation. In considering the main events covered within the Report, the Committee noted that there had been a positive outcome to the recent funding round for Toumaz Technologies, but that the listed securities continued to show volatile performance. The Committee noted the successful outcome to discussions with the Esmeé Fairburn Foundation and the large number of fundraising initiatives being undertaken.

M.P.K.
HIGHLIGHTS

1. The full year forecast has been revised as part of the Planning Round process. (1) The latest forecast operating result is a welcome improvement, from a deficit of £1.1M to a surplus of £0.4M.

2. The exceptional income forecast has been revised from £3.25M to nil as the sale of the sports ground is now most unlikely to occur before year-end.

3. The main changes at the operating level, against the last forecast, are:
   a. A £5.5M increase in direct research income, principally in Life Sciences and Medicine, but this is offset by a corresponding increase in research expenditure.
   b. A favourable variance within Faculties of £1.2M (being across all four Faculties, but particularly in Engineering and Medicine).
   c. Underspends from the Deputy Rector’s Reserve and from the Rationalisation Fund totalling £0.7M.
      but these are offset by
   d. The deletion of £0.5M of unfettered income (included within Other Operating Income) which was expected to be raised from fund-raising activities and which is now unlikely to be achieved.

4. The over-12 month element of debtors has resumed its downward trend, as expected, and at 31 May was £4.7M (against £9.8M a year ago).

5. The borrowings chart has been revised to reflect the results of the Planning Round, revised property sales and the latest patterns for capital expenditure. This shows that the sanctioned facilities of £100M are expected to be largely utilised from May 2005. In practice this point is likely to be reached a few months later as payments for capital expenditures tend to lag behind predictions.

A.S.D.C.

(1) The full Finance Management Report is not included with these Minutes.
A Note by the Rector

1. A copy of the draft Imperial College Strategic Plan 2004-2007 is enclosed with these Papers. (1) In previous years, the College’s Capital Investment Plan (CIP) has been presented separately from the Strategic Plan. However, as the CIP forms a central part of the College’s strategy, for the first time this year the CIP has been incorporated within the Strategic Plan and the College’s Budget, which is effectively the costing of the first year of the Plan, is being presented to the Council at the same meeting.

2. The Plan itself should be seen as a base line from which work will progress on both the development of strategic and operational plans. The Plan itself is thus a living document, which, will be updated at least annually, and more often if appropriate. The broad strategic agenda set out in it will direct the planning framework and major priorities for the whole College for the coming year. Over the next few months, the plans for the Faculties and major administrative functions will be updated in the light of the Plan.

3. A presentation introducing the Strategic Plan, the Capital Investment Plan and the College Budget for 2003-04 will be given at the Meeting.

4. The Council is invited to consider, and if it sees fit, approve the College Strategic Plan 2004-07.

R.B.S.

(1) Only the Strategic Plan Summary is included with these Minutes
IMPERIAL COLLEGE LONDON - STRATEGIC PLAN: 2003-2007

Comment by the Rector

I am delighted to present the third edition of our Strategic Plan which, this year, contains an integrated Capital Investment Plan. Whilst formulation of such a plan is a clear requirement of the corporate governance process and a demonstration of our public accountability, I also see it as a vital management and communication tool, which facilitates understanding of our aims across the whole of the College. The Plan lays out clearly what we, Imperial, stand for and how we want to develop in all major aspects of our work. I should stress that this Plan is not just a top-down exercise – much of its content is a reflection of ideas and needs expressed from the heart of the College, the academic departments.

My prime concern, as Rector, is to ensure that Imperial maintains its world class status, excellent in all it does. To do this, we must ensure that Imperial continues to attract the best students and staff from around the world and provides the facilities and amenities they need to learn, research and innovate. We must also continue to invest in cutting-edge science and technology. In achieving these aims, it is vital that we keep in tune with our operating environment. Over the last 12 months, we have seen the emergence of a number of initiatives which will impact on our future strategies in very significant ways. Prominent amongst these are the Government’s White Paper entitled “The Future of Higher Education”, the very recent report from Gareth Roberts’ team on “Review of Research Assessment” and a DTI report on the “Sustainability of University Research”. A further important review on admissions policies and practices is also being carried out by Professor Steven Schwartz and his broad-based task force. Hence, virtually every element of our mission is subject to new funding, assessment or regulatory mechanisms and this Plan shows how we are starting to adapt to and address the issues raised.

A very important influence on our future environment will be the final enactment of proposals contained in the UK Government’s White Paper, published in January of this year. The White Paper addresses a range of topics including the much needed improvement in research support, funding through fees and the widely discussed topic of “fair access”. Much in this Paper is to be welcomed as it recognises the crucial role of higher education in the knowledge economy and acknowledges that the sector is diverse and hence has a variety of differing needs. We support the proposed increased investment in first class research and the commitment to focus research funding in the very best institutions. This latter proposal makes economic sense but will also be vital for support of “big science” projects of the future, whether they be in the life sciences, physical sciences or engineering, or, of great relevance to us, in interdisciplinary areas such as informatics and biomedical-engineering.

The White Paper lays out proposals for allowing conditional increases in fees after 2006. I believe that Imperial needs maximum freedom to raise income and manage its disbursement, recognising market conditions and operating with freedom from unnecessary government-imposed conditions. Hence, we support a market-led system for funding education through fees, provided that there are good safeguards to ensure that candidates with the right abilities and commitment are not dissuaded from applying to study at Imperial for purely financial reasons. We do not believe that the current proposals, themselves, allow institutions like Imperial to realise their fullest potential. Institutions need to cover the full economic costs of teaching just as much as they do for research. Thus, we will continue to argue for relaxation of the “cap” on fees and greater freedom for institutions to set economically-sound fee rates which, together with the HEFCE grant, will aim to cover the full costs of teaching. We will also participate actively in the Government led evaluation of how research costs might be better assessed and tracked, with a view to ensuring that the full economic costs of research are covered in the future. Planned moves in this area are greatly welcomed as universities like ours continue to lose money on much of the research we undertake.

There has been much talk within the higher education sector and the media about “elitist institutions”, particularly in relation to admissions policies. I should, therefore, re-emphasise our position. In
Keeping with our aspirations for excellence in all we do, we are absolutely committed to a merit-based selection process. We seek to ensure that anyone who can benefit from Imperial’s high quality education is encouraged to apply and we already have a number of outreach schemes in place. Whilst our admissions criteria are academically demanding, grades are not the only important factor in the selection process. We interview candidates and our admission tutors exercise discretion when making offers following interview. Overall, I believe we can be proud of our admissions policies but we will continue to seek practical ways by which we might reinforce them and look forward to the outcomes of the Schwartz review.

Turning now to the recently issued Roberts review of research assessment, I believe the proposed new assessment framework offers both challenges and opportunities for Imperial to remain, and indeed advance, as a world class research institution. It is essential that we understand the demands of the new assessment process and take all reasonable steps to ensure that our academic staff are enabled to focus on the pursuit of excellence in preparation for the next Research Quality Assessment (previous RAE) in 2007-8. It is therefore a priority that we release as much academic time as possible for academic work. To help with this aim, we are embarking on a major review of our administrative processes to ensure that they are effective, efficient and professionally managed. We are also creating, for the first time, a centrally held fund which will be available for the support of initiatives which we consider to be important in securing our research pre-eminence.

In addition to recognising the importance of active involvement in initiatives arising within the UK higher education environment, we also seek to influence the international context. We are leading responses from the UK to the Bologna initiative under whose proposals the UK Government will be asked to sign up to participation in a pan-European Higher Education Area which will have significant implications for the structure of many of the degree courses run at Imperial.

A new opportunity for Imperial has arisen recently. We now have formal permission to award our own degrees; options for how these new powers might be used will be developed over the next few months. Exercising such powers would represent yet another sign of our intention to develop and promote our own personality – one which is challenging, embraces excellence in all things and seeks freedom to follow its own instincts.

My view of the future for Imperial is an optimistic one but our position is not assured and any sense of complacency is unacceptable. To harness the benefits from the new opportunities we face, and to overcome the undoubted challenges, will require strong and highly capable management as well as clarity of vision and effective, transparent, processes. I am confident that the strategies set out in this plan represent an important step forward in meeting these objectives.

Sir Richard Sykes
Rector, Imperial College London, June 2003
SUMMARY OF THE STRATEGIC PLAN

The Mission of Imperial College London

1. We continue to develop our strategy within the remits of our Mission Statement:

“Imperial College London embodies and delivers world class scholarship, education and research in science, engineering and medicine, with particular regard to their application in industry, commerce and healthcare. We foster interdisciplinary working within the College and collaborate widely externally”.

Our Strategic Intent

2. Whilst our Mission reminds us why we exist, it is also vital that we have a clear vision of what we wish to be in the foreseeable future. We have reviewed and expanded the statements of our strategic intent:

- To remain amongst the top tier of scientific, engineering and medical research and teaching institutions in the world.
- To harness the quality and breadth of our research capability, across multiple disciplines, to address major challenges.
- To develop our range of academic activities to reflect the changing needs of society, industry, commerce and healthcare.
- To continue to attract and develop the most able students and staff worldwide.
- To communicate widely the significance of science in general and the purpose and ultimate benefits of our activities in particular.

3. This Strategic Plan has been constructed, as last year, using a traditional strategic planning framework, to provide the means for managing and communicating necessary and desired change within the College over the next four-year period (the Planning Period). The Plan will be a living document, and will be formally updated annually, or more often, as necessary. This year, the Strategic Plan includes the College’s Capital Investment Plan.

4. The Strategic Plan contains the elements necessary to translate the Mission and Strategic Intent of the College into clear actions, which are meaningful and relevant within the opportunities, and constraints of the prevailing environment. During 2002, the framework of mission, strategic intent and goals, defined in the previous edition of the Plan, has been taken forward on all fronts as planned. Particular emphasis has been placed on developing our Estate; setting up appropriate Faculty management infrastructures; progressing the fund-raising and brand communication programmes and generally improving the financial management of the College. We have started to implement important changes to major processes, particularly those involved in the management of research grants and the structure and content of the internal and external College web presences. We are also developing electronic means to enhance teaching and learning, including the launch of SOLE (Student On-Line Evaluation) and web based Personal Development Planning.

Our unique strengths in the field of higher education

5. Imperial College operates and competes on an international stage and ranks as a leading global research and higher education teaching establishment. Imperial is amongst the highest research-funded Universities in the UK, attracting around 6.0% of total national funding for research in the Higher Education sector. It also attracts the highest level of externally sponsored research in
the Higher Education sector, in both total and per capita terms. The most recent Teaching Quality Assessment results underscore the excellence of teaching within Imperial, whilst the 2001 RAE placed Imperial firmly in the premier league of UK Higher Education Institutions. In 2003, HEFCE declared “double 5*” institutions, based on performance in two consecutive RAIs, and used this as a basis for funding decisions. Imperial fared very well in this exercise, securing 18% of available new money.

6. We believe that one of Imperial’s fundamental strengths derives from the close linkage of leading-edge science to high quality teaching. This enables leaders in their fields to educate students using the latest advances in knowledge and technology, factors which undoubtedly contribute to the attractiveness of an Imperial graduate to many employers.

7. We believe that being a residential university remains attractive to potential students and staff, and hence we have not placed any major emphasis, to date, on distance learning, although the established external MSc programme on the environment, agriculture and the food industry, which is run by the Department of Agricultural Sciences, has been successful. The School of Medicine and the Business School have also recently developed distance learning courses.

8. We have a strong enterprise culture, coupled with necessary support skills and financial resources, to enable academics, who wish to do so, to commercialise their research through licensing or creation of start-up companies. We currently have a portfolio of over 50 such companies and continue to enrich this portfolio at a steady rate although the current adverse economic climate may slow the rate at which we expand our activities in company formation.

9. The close relationship between what we do and the important issues facing industry, healthcare or society in general is illustrated by our prominence in the media. Imperial is mentioned in the UK and international media many times each week as staff readily offer their expertise, perspective and punditry on a diverse range of topics. Almost any major news event with a scientific, technological, medical, environmental or management angle to it will lead the media to seek swift comment and reactions from relevant Imperial experts; recently SARS, the space shuttle disaster, tissue banking issues, GM crop field trials, London's congestion charging scheme, the science and ethics of cloning, the dangers of cannabis usage, London's bid for the Olympics, Government financial policy at home and within the EU, financing of Higher Education and tuition fees, and the role of universities in early exploitation of new technologies have all featured prominently. This activity is part of our Communications strategy that seeks to promote the College through publicising the research and teaching achievements of the College's staff and students.

10. A major exercise was carried out during 2002 to examine what attributes specifically characterise Imperial and set us aside from others. A ‘boilerplate’ description of Imperial emerged from this:

“Imperial College London is a world leading science-based university institution whose reputation for excellence in teaching and research, in an environment of cultural diversity, inspires staff and students of the highest international quality.

Our innovative research explores the interface between science, engineering, medicine and management to deliver practical solutions to enhance the quality of life and the environment through a dynamic enterprise culture.”

11. Whilst this somewhat unwieldy text is unlikely to be used in this form, it does encompass the key attributes which make Imperial special:

- Specialisation in world class science
- Academic excellence
12. The last of these attributes is key. The scope and quality of our interdisciplinary activities comprise a major differentiator of Imperial and one which enables a range of important opportunities for the future. Wherever practical, we give high priority to seeking organisational and physical ways of stimulating interdisciplinary research and also increasingly teaching.

13. In early May 2003, we were formally notified that Imperial has been granted Degree Awarding Powers, independent of the University of London, and thus has the potential to operate as a truly independent university. We are currently addressing how and when we might use such powers.

Analysis of our operating environment

14. The UK higher education sector faces very significant problems which have major impacts on its performance and hence its competitiveness on the world stage. Declining resources, resulting from decades of under investment and clumsy control by subsequent Governments, coupled with unrealistic caps on student fees, have led to a situation where Universities lose money, day by day, on virtually every aspect of their activity. Current Government proposals, contained in their White Paper “The future of higher education” could help to redress the deficits in a number of areas although, on their own, will not meet the full costs of providing world-class education or carrying out leading edge research on a competitive scale.

15. Imperial College has assessed and rehearsed its own position carefully. We need confidence that any funding system has long-term stability. In our view of funding for teaching, the best system is one which operates like a market, linking quality to perceived benefit and hence to payment. Thus, a market-led, fee-based system is, in our opinion, appropriate as it incentivises people to make conscious choices about what kind of tertiary education they want and can benefit from. Current Government proposals do foresee a rise in fees after 2006 to a conditional maximum of £3000. We view this as insufficient to meet the full costs of providing the type of tuition we provide and unlikely to create a proper market in higher education. Hence, we believe that greater differentials in fees should develop in the sector over time to reflect differing needs and outputs. To ensure that infrastructure and flexibility demands are met with respect to research, we look to the ongoing formal review of the “dual support system” for the much needed re-balancing.

16. An added challenge from our environment is an apparent, increasing, social mistrust of several aspects of scientific advance, which may be linked to the decline in the uptake of science at school level and a further decline in those who seek to study science in tertiary education. This, in turn, has led to a growing realisation that British industry is at risk of not having access to an adequate supply of scientists, mathematicians and engineers, particularly those with training in research philosophies and methodologies.

17. A report, published in April 2002, showed that fewer students in the UK are choosing to study key subjects such as the physical sciences, mathematics and engineering and concluded that these emerging shortages will act to constrain innovation in the UK, not just in the disciplines identified, but also more widely since much cutting-edge science is multidisciplinary. A more recent

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3 “The Sustainability of University Research: A consultation on reforming parts of the Dual Support System”, OST, May 2003
4 “SET for success: The supply of people with science, technology, engineering and mathematics skills”, April 2002
report to the DTI by Michael Porter and Christian Ketels finds that UK competitiveness is falling behind its rivals and that a step change in strategy is required to improve skills, stimulate innovation and foster enterprise. The UK Government has illustrated a clear willingness to play their part in addressing the eroding science base and have announced the largest growth in science expenditure for a decade – amounting to £1.25 billion extra a year by 2005-06. The SRIF2 fund has emerged from these commitments bringing £63m of infrastructure funding to the College.

18. Recently (May 2003), Sir Gareth Roberts submitted a report on the “future of research assessment”5 which contains 16 major recommendations on how research quality should be assessed and funded in future, starting from the next Research Quality Assessment (previous RAE) in 2007-8. If implemented, these recommendations will have vitally-important relevance to institutions such as Imperial as they will determine our future funding. We must, therefore, seek effective ways of ensuring that our own research has the potential to meet the new quality profile category of “three star” in all disciplines and we are putting a number of initiatives in place to do so. We will seek to revise our administrative procedures so that we free as much academic time as possible for academic work. We are also creating, for the first time, a centrally held fund (Strategic Investment Fund) which will be available for initiatives deemed important for securing our research excellence.

19. Imperial has to deal with the substantial costs associated with living and working in London which present challenges to the attraction of high quality staff and students. We have started to address these issues through our actions on staff salaries and quality of student residential accommodation offered. However, staff salaries remain too low, and there will be continued efforts to address the problem. We do, however, recognise that there is a very positive aspect to being situated in and around London. Recent survey results have shown that our students are generally willing to accept the cost element for the amenities and excitement, which flow from living in a great capital city.

20. Decline in equity markets has adversely affected a number of key funding sources including Charity sponsorship and venture capital investment. In fact, the variety of financial and political pressures experienced by the College necessitate a strategically-directed programme of alternative funding activities, involving borrowing, increasing philanthropic giving and enhancing exploitation of intellectual assets. Current strategies to increase our pool of discretionary funds are outlined in the plan.

21. The aspirations and practices of Imperial are dependent, to varying degrees, on the policies and practices of its key partners. This is particularly the case with major Charities, the Funding Councils and the National Health Service. Imperial devotes considerable effort to monitoring and understanding changes within these sectors so that appropriate internal action can be planned or opportunities to influence outcomes identified. Several recent changes in NHS organisation and policy may well have significant impacts on Imperial, of which the following are key:

- The reconfiguration of the NHS, which could change patterns of resource distribution and bring together, for the first time, competing calls on training funds for health professionals.
- NHS re-badging of research under Support for Science and Key Priorities, and the recent indication of a possible move of all NHS Research funding to the NHS University, threaten significant funding streams to our key Trusts which could have an impact on the Medical Faculty research delivery.
- The decision to move all clinical trial activity into NHS Trusts will create some challenges in continuing academic involvement in such research programmes.

5 “Review of Research Assessment”, Report by Sir Gareth Roberts to the UK Funding Bodies, May 2003
The management team in our Medical Faculty recognises these risks and will address them through direct involvement and positive input.

The internal context

22. Imperial is different from most leading HEIs in the world in its specialisation and focus on a limited number of disciplines: life sciences, physical sciences, engineering and medicine. A decade of expansion, through mergers, has added breadth and depth to the academic potential of the College but it has also brought significant challenges, which necessitate new approaches to operational management, in terms of organisation, processes and systems. The major challenges are summarised here:

- Effectiveness and efficiency of the organisation - Imperial has embarked on a wide-ranging review of policies and processes aimed at creating an appropriate balance between the needs of the College as a whole, with those of the Faculties and Departments. As a key part of this, the College has decided to review its core administrative services.

- Another key element of organisational effectiveness is personal effectiveness. Two new linked processes – a new grading structure together with performance management practices – aim to bring our approach to staff remuneration and reward in line with the aims of a leading university with meritocratic ideals.

- Inevitably, a focus on all round excellence, coupled with review of operating processes and introduction of performance management practices, leads to the need for a special re-structuring budget to enable necessary re-balancing of skills.

- Complexity of information – unless processes and systems are reviewed and updated regularly, large evolving organisations like Imperial soon suffer from an overload of poor quality information. Imperial is making steady progress in the development of robust systems for the future, to ensure that data is accessible, relevant, up-to-date and of high integrity. In particular, systems for research grants management, student administration, space management and conference management are being procured and/or updated.

- Accommodation – Imperial will implement clear plans to achieve fit-for-purpose accommodation, an efficient use of space, an effective maintenance plan, and decanting space to allow major projects to proceed. Increased space availability will be required for expansion of both academic and technology transfer endeavours. The past two rounds of SRIF grants will assist greatly in our ability to upgrade our facilities.

Major strategic goal areas for the planning period

23. The strategic agenda for Imperial will be developed within a framework of 14 major Goal areas:

(i) Teaching & learning at Imperial
(ii) Recruitment of suitably qualified students
(iii) Research strategy
(iv) Exploitation of intellectual assets and skills
(v) Fund raising
(vi) The financial management plan
Teaching, learning and student attraction

24. Imperial remains committed to providing education at both undergraduate and post-graduate levels in a predominantly residential context. Our student population is drawn from across the world with around 20% being from outside the UK and EU. Tuition is delivered within its four Faculties and its Business School, and is supported by two graduate schools and a humanities programme. Imperial’s high percentage of 5* research active academic staff is seen as a fundamental strength, ensuring that students are taught by leaders in their fields.

25. A full range of teaching methods is employed with particular emphasis on lectures, tutorials, practical work and projects. Additional modes of tuition, such as e-learning tools, are welcomed where they add real benefit; a number of such tools are under development.

26. A high priority is given to continuous improvement of the quality of teaching delivered at Imperial. Methods employed include student feedback, audit, and provision of support for personal skills development.

27. There is considerable and growing effort made within the College to support the learning of students in a number of ways that are ancillary, but also essential, to the main discipline-based teaching. Skills enhancement support is key to attracting able students, to supporting the full diversity of the student population and to maintaining the high standard expected of Imperial students on graduation.

28. Recognising the increasingly competitive environment within which Imperial operates, this year’s Plan provides an update on the comprehensive strategy for enhancing the recruitment of suitably-qualified students. This strategy addresses:

- Courses of study offered at Imperial;
- External influences (e.g. from the EU) on the courses that are offered;
- The Imperial campus and its appeal to prospective students;
- Ways and means by which potential students can be informed of the College and its courses and those who are suitably-qualified encouraged to apply to us;
- The effectiveness of our processing of the applications that are received;
- The development of a portfolio of scholarships aimed to attract the very best applicants to come to Imperial.

29. A particularly important area of consideration this year is the Bologna Declaration initiative. Here, changes are anticipated in the accepted norms for degrees throughout the EU, with the prospect of a more prescriptive line being taken by the EU in respect of what will constitute an ‘approved’ degree. The College is helping to guide the DfES, together with UUK, HEFCE, QAA, Engineering Council and Engineering Technology Board, as the Berlin Conference approaches (September 2003) at which the Bologna procedures and ‘rules’ will effectively be agreed and put into practice.
Research strategy

30. Research at the frontiers of scientific, medical, engineering and management knowledge is a dominant feature of the academic activity of Imperial, with fundamental research taking place in all the major disciplines taught at the College, and also at the interfaces between them.

31. A college-wide review of research activities has identified a number of areas where creation of clear strategic direction is required. In addition to our ongoing support for interdisciplinary research, the following have been identified as priorities:

- Recovering economically-sound costs for research;
- Maximising performance at the next assessment of research quality;
- Improving the efficiency of the administration of research grants and contracts;
- Creation of a Mathematical Sciences Research Institute and an Institute of Biomedical Engineering; and
- Enhanced Library Service provision.

32. Recovering economically sound costs for research is an essential element of improving the overall financial health of Imperial and is a realistic goal as it will be a requirement of Government in its willingness to improve public funding of such activity. In future, the College will seek to compete for grants on the basis of value and quality, not price.

Exploitation of intellectual assets and skills

33. Imperial’s Mission and culture engender a vibrant entrepreneurial approach to exploiting new knowledge and skills. Technology transfer and consulting activities continue to increase and are now of such importance to the College that support mechanisms have been reviewed thoroughly and strengthened where necessary. The following are currently being consolidated or developed:

- Enhancement of skills and capability in the technology transfer organisation;
- Creation of a Commercialisation Advisory Board to provide strategic and expert oversight of all commercial activities;
- Creation of a Business Development Services operation; and
- Support of entrepreneurship through provision of professional resources, including a technology transfer manual, “masterclass” seminars on the strategic and practical aspects of protecting IP and company formation, networking events for directors to share best practice and meet investors.

34. Significant financial returns have been realised by Imperial, underlining the interest investors show in our inventions. The creation of the limited liability partnership by IC Innovations with Flemings/Gordon House plus the sale of royalty rights to Paul Capital during the last financial year generated around £9m. In addition, Nikko Principal Investments have set aside £20m to invest in Imperial spin-outs over the next few years. Seven investments have already been made. In May 2003, Imperial announced a partnership with BioScience Managers Ltd, a specialist fund manager, to raise £50m for investment in early stage medical and life science companies.

35. To support the College’s research activities, and facilitate its participation in large, multi-partner consortia projects, ICON has been developing project management support services. These skills are particularly relevant to academic staff in bidding for and co-ordinating European Union FP6 projects involving wide networks of collaborators, and in helping with the bid preparation process for competitive tenders to government and industry. ICON will continue to be a vehicle to bring together universities across London and the UK to bid for programme support from major sponsors e.g. MRC, Department of Health and the Wellcome Trust.
36. There is a well-recognised shortage of adequate space for start-up companies in the Greater London area. We also recognise the importance of early start-ups remaining close to their academic home to enable the academic founders to continue their College work and make the necessary scientific and technical input to their companies. This matter has been reviewed and a number of key decisions have been made which relate to the current planning period:

- Formal acknowledgement of the importance of establishing an Incubation and Science Park Policy for Imperial College and allocating responsibility for its formulation.
- Commitment to including at least one significant incubation facility within the College in the current planning horizon.
- Acknowledgement of the importance of Science Parks in the commercialisation of technology and commitment to further exploring whether Imperial should become formally involved in the creation of one or more such ventures in the London region.

Fund-raising and alumni relations

37. The Office of Alumni & Development (OAD) has been restructured to ensure that Imperial can develop its standing and level of support and raise substantial philanthropic funds. In order to achieve this, OAD has developed a strategy, which takes into account:

- Increasing the number of major donors to the College
- Developing planned and regular giving to the College
- Building corporate and foundation gifts to the College
- Engaging Alumni with the College
- Fostering a “culture of development” within the College

38. Closer links with alumni associations are being forged through the Imperial College Association, which was launched at Commemoration Day 2002 for new graduates, and existing alumni associations. Over the next year, the OAD will continue to build the Association and in particular to realign and regenerate the constituent college associations and international alumni branches to channel their activities to the greatest benefit of their members and the College.

Financial management

39. The major strategic objectives of the financial management plan are:

- Managing the term finance facilities recently raised to fund projected expenditure
- Improving the efficiency of financial administration.

40. Expenditure on planned projects within the Capital Investment Plan amounts to over £232.74m over the next three years. Financial resources to support this programme will come from public funding, private benefaction, IPR realisation, property disposals and borrowing. The key risks associated with each of these are continuously monitored and updated as the funding environment changes.

41. To allow maximum flexibility for the College in managing these risks, a revised funding policy, which now incorporates loan facilities of up to £100m, has been established. The policy permits a strategic approach to optimising the return from the asset base of the College. The need to extract maximum value from surplus property assets and IPR realisation remains clear; however, in the short term the emphasis is on tight control of the operating result and effective treasury management.
Staff attraction, reward and development

42. Advancing our mission and strategic intent demands that we attract and retain only the most able staff in all key areas. World-class academic staff are at a premium, and recruitment of such people will increasingly take place in a competitive global context. To support the academic pursuits of the College, we also need to attract highly skilled professional managers, capable of operating effectively both externally and internally and who are credible and effective in the academic environment.

43. It is of the highest priority for the College to develop its reward strategy and to establish a local pay framework which rewards commitment and performance rather than simple length of service and which facilitates due recognition of the market as well as the size of the job/role. Much of the initial development work in this area has now been done and we are consulting with the appropriate constituencies with a view to implementation of new role definitions and reward strategies during 3Q2003.

44. During 2002/03 a review of criteria applicable to promotion of academic staff took place, with particular attention, to those whose contribution is largely focused on teaching. The review concluded that education and research were inextricably linked to the College’s strategic intent and mission, and that excellence in both areas must be recognised and rewarded. The review made a number of recommendations, with the view that the new scheme be introduced in time for the 2003-04 Promotions Round.

45. The College has a commitment to equality of opportunity both for business and equity reasons – it seeks to attract, appoint and fully develop the most talented people in all areas of activity. There is a particular concern about our success in attracting and retaining female academic staff to the College as women represent only 17% of the total of academic staff numbers. A series of initiatives to address this issue are continuing.

46. A number of important legislative developments are being addressed:

- Fixed term workers;
- Maternity, paternity, adoption and parental leave;
- Disciplinary and grievance procedures;
- Flexible working legislation;
- Duty to promote Race Relations;
- Data Protection.

Strengthening the reputation and international dimension of Imperial

47. Imperial aspires to remain in the premier division of science-based universities world-wide and, indeed, to improve its ranking in that arena. This aspiration depends almost entirely on the quality of our staff, our teaching, our graduates and our research, but it will also demand some proactive initiatives in addition to that output. Two main themes are being developed:

- Continuing communication and development of the Imperial Brand;
- Greater involvement in international partnerships and networks.

48. The “rebranding” exercise has established how we might better portray, position and promote ourselves in the future. As a result, it has been determined that we should be referred to formally as Imperial College London, using “Imperial” as a short form when appropriate. The new visual identity
and toolkit of promotional tools was launched in January 2003 and now features prominently in all College publications. Consistency of message will, in future, be easier to manage.

49. Recognising the importance of ready availability of clear, comprehensive and up-to-date information about the College and its activities, significant effort has been expended on the content of both the internal and external websites. Formal ‘events management’, ‘marketing co-ordination’ and ‘internal communication’ roles have been created within the Strategy Development and Communications function to manage and maintain informational content and process for the future.

50. Our international presence will also be greatly enhanced by development of a series of strategic relationships in parts of the world where we wish to recruit students or exploit our skills and intellectual assets. We will continue to seek opportunities to create and nurture relationships with overseas partners in the realms of research, teaching and commercialisation.

Managing our Estate

51. Following last year’s external review of the Estates Division, significant progress has been made in implementing the recommendations of independent consultants. A new Director has been appointed and a review of the responsibilities of the senior team has led to a new, more transparent, organisational structure.

52. A Property Advisory Committee has been established by the Rector to advise on Estates’ strategic direction and to consider proposals for estates development and management. A key priority at present is the prosecution of the SRIF2 programme. Other current priorities are the clarification of development strategies for:

- Princes Gardens
- Burlington Danes
- Paddington Waterside
- Student Residences

53. The Division will also be concentrating on improving the management of the estate, with particular regard to maintenance, operations and enhancement, assessing space utilisation and consideration of housing for staff.

Improving the effectiveness of the organisation

54. Following the introduction of the Faculty-based organisation on 1st August 2002, it has become clearer that a number of key administrative processes need to be improved. The Support Services Initiative was launched in June 2003 to help the College make a significant and lasting improvement in the way support services are delivered at Imperial. Over a period of 18-24 months, a dedicated project team will analyse and redesign specific processes and make clear recommendations. Implementation will commence during 2004.

55. Effective risk management is an essential element of good corporate governance in all organisations. We are required by HEFCE to move to full implementation of the Turnbull and Combined Code Recommendations on Corporate Governance, which recommended that institutions should regularly assess their risks, implement appropriate controls in the light of these assessments and monitor their effectiveness. The College’s Risk Management Policy requires that the Executive Committee schedules an annual review of the Risk Register and Action Plan for its formal meeting in July of each year. The Executive Committee’s recommendations are then passed to Audit Committee in September of each year which, in turn, makes its report to the Council at the latter’s October
meeting. The annual review of the Risk Register and Action Plan considers the management of all College level risks during the previous year and includes recommendations on:

- New controls and processes that should be put in place, especially for any unforeseen risks identified as a result of the annual review.
- Changes or improvements to existing risk management processes and controls recommended for next year.

56. The Freedom of Information Act 2000 (FOIA) will come fully into force across the public sector on 1 January 2005. For the College, this means that members of the public will have a statutory right to request any personal information held by the College. A Working Group has been established by the College Secretary to look at the FOIA and to develop an Action Plan to prepare the College for the legislation. A Publication Scheme is being developed, together with Polices and Codes of Practice.

57. A number of the College’s “trading” functions (excluding the technology transfer and consulting entities) have been realigned to form Business Services. An organisational review is also underway, within these departments, to determine ways of improving and developing their services. This review should result in improved services to the College across the full spectrum of Business Services, better value for money and an increase in generation of income from external sources.

Health, safety and the environment

58. Health and safety management and improvement continue to be key objectives of Imperial. We take seriously our obligations to enforce existing, and adopt new, legislation. Four major areas of focus have been identified for the Planning Period:

- Improved monitoring and audit;
- Improved risk assessment;
- Further improvements to training;
- Design standards for new building projects.

59. The College is committed to reviewing its environmental policy and practices. This will follow the appointment of a new Energy Manager in the 2H2003.

Influencing development of the higher education environment

60. The environment for higher education in the UK is determined principally by the Government and Government agencies, though other significant funders, as well as the universities themselves, can exert considerable influence. The College’s ideas and views are often sought and members of the College are frequently invited to chair or join working groups considering national policy or strategy for science or higher education. The College is well positioned to offer advice to government and it agencies, the NHS, NGOs, and others on a range of subjects and staff are encouraged to accept appropriate engagements to do so. As appropriate, the College will engage in initiatives elsewhere in the world which impact on our operating or competitive environment.

61. During the period of the plan, the College will seek to influence the following areas of national policy:

- Research
- Teaching
- Recruitment, reward & retention of staff
- Fair access
62. Imperial has made, and will continue to make, significant input to the reviews of how higher education should be funded. In doing so, Imperial will work with other research intensive institutions who share similar objectives.

Improving access to, and use of, information

63. A complex, knowledge-based institution like Imperial requires robust, integrated systems and a professional organisation to develop and maintain these. The ICT Division continues to strengthen its capabilities to address these demands. There are four priority areas requiring action to ensure improved and extended access to information:

- Governance in partnership with customers;
- Infrastructure and IT Support Services;
- Management Information Services; and
- Web services.

64. An initial review has helped identify the resources, skills and organisation necessary to deliver the plan. ICT has structured into four major areas: IT Services, Technology Operations, MIS and Business Analysis and Programme Management

65. To optimise the ability to access and share information, ICT has gained agreement to move to greater central asset management, maintenance and renewal for “infrastructure equipment” throughout the College, and a Faculty based support model with an enhanced central, integrated Help Desk.

66. ICT has prioritised a number of major application areas including: Student Administrations System, ICIS enhancements for HR and Finance, Estates and Grants Management, which are vital to our ability to manage resources effectively and efficiently.

67. In the area of web development, it has been acknowledged that the College requires a web presence that expresses, and is part of, its global brand with a consistent approach to security and legal compliance. The new approach to managing the web will reduce the overall cost and risk to the College, whilst providing, over time, a steadily increasing array of enhanced services.

Creating a Business School that displays Imperial values and excellence

68. With the appointment of a new Principal of the Business School, the strategic direction of the School has been reviewed. The revised strategy calls for a radical repositioning of the School, its ambitions and its performance, which, in turn, calls for a review of administration, attitudes and facilities. The opening of the new Tanaka Business School building in 2004 will be an important milestone in the School’s evolution.

69. The School will build further on its improved RAE rating. Recent growth has already led to the significant development of research activity and outputs. The School intends to build on existing strengths, as well as increasing its interdisciplinary strength, particularly with the Faculties of Medicine and Engineering.

70. There are also plans to further develop teaching activities. Particular attention is being given to the development of the MBA and Executive MBA as these are the principal currency of business school comparisons. The Business School therefore plans to raise the number and quality of student
applications, modernise the syllabus, attract a faculty of greater international renown and provide students with more assistance post-graduation. Other areas for potential development include:

- Executive Education short courses;
- Distance learning;
- Specialist MSc courses, especially those which can tap into other expertise in the College, particularly the new MSc in Business and Engineering; and
- Undergraduate teaching.

71. The following table shows the Priorities for action mapped against the Strategic Goal Areas.

<table>
<thead>
<tr>
<th>Strategic Goal</th>
<th>Strategic Priorities</th>
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| Teaching & Learning at Imperial                   | • Refine and promote our position on the economics of teaching  
| Goal Leader: Pro Rector (Educational Quality)     | • Further develop our e-learning strategy  
|                                                   | • Refine and promote our position within the EU course structure context  
|                                                   | • Continue to develop support of teaching and learning  |
| Recruitment of Suitably Qualified Students        | • Implement strategy for student recruitment  
| Goal Leader: Pro Rector (International Relations) | • Implement strategy for Widening Participation  |
| Research Strategy                                 | • Recover economically-sound costs for research activities  
| Goal Leader: Deputy Rector                        | • Develop and implement Faculty Research Strategies  
|                                                   | • Maximise our performance at the next Research Assessment Exercise  
|                                                   | • Create a Mathematical Sciences Research Institute  
|                                                   | • Improve the efficiency of the administration of research finances  |
| Exploitation of Intellectual Assets and Skills    | • Enhance skills in the technology transfer organisation  
| Goal Leader: Pro Rector (Development & Corporate Affairs) | • Develop the role of the Commercialisation Advisory Board  
|                                                   | • Review support needed for entrepreneurship and develop as appropriate  
|                                                   | • Plan to include at least one incubation facility for start-up companies within the College  
|                                                   | • Further explore potential College involvement in creation of a Science Park in the London region  
|                                                   | • Create additional seed funds  |
| Fund Raising                                     | • Focus activity on key areas:  
| Goal Leader: Pro Rector (Development & Corporate Affairs) | o Increasing the number of major donors  
|                                                   | o Develop planned and regular giving  
|                                                   | o Build corporate and foundation gifts  
|                                                   | o Engage alumni with the College  
|                                                   | o Foster a “culture of development” within the College  
<p>|                                                   | • Forge closer links with existing alumni associations through the Imperial Alumni Association  |</p>
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<thead>
<tr>
<th>Strategic Goal</th>
<th>Strategic Priorities</th>
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| **The Financial Management Plan**  
*Goal Leader: Director of Finance* | • Manage term facilities required to fund projected expenditure  
• Improve the efficiency of financial administration |
| **Staff Attraction, Development & Retention**  
*Goal Leader: Director of HR* | • Attract and retain key people of talent  
• Develop reward and grading strategy and review criteria for promotion of academic staff  
• Develop the potential of all staff  
• Deliver on our commitment to equality of opportunity  
• Meet legislative developments and changes |
| **Strengthening the Reputation and Global Dimension of Imperial**  
*Goal Leader: Director of Strategy Development & Communications / Pro Rector (International Relations)* | • Strengthen the Imperial Brand  
• Implement the Communication Plan  
• Develop the events and marketing functions  
• Develop strategic relationships in parts of the world where we wish to recruit students or exploit our skills and intellectual assets  
• Develop procedures to optimise collaborative exchange agreements with overseas institutions  
• Extend opportunities for student exchanges with overseas partners |
| **Managing the Estate**  
*Goal Leader: Director of Estates* | • Maintain and operate the estate  
• Evaluate the estate  
• Identify opportunities for estate efficiencies  
• Enhance the estate  
• Realise surpluses |
| **Improving the Effectiveness of the Organisation**  
*Goal Leader: Director of Operations* | • Implement the Support Services Project  
• Monitor and, where necessary amend, the College’s Risk Register  
• Meet the demands of the Freedom of Information Act 2000  
• Further consolidate the Business Services function |
| **Health, safety and environment**  
*Goal Leader: College Secretary / Director of Estates* | • A duty to create a safe working environment for staff, students and visitors  
• A need for ready availability of training and guidance for required practices  
• Mechanisms to analyse and influence new legislation |
| **Influencing the Development of the Higher Education Environment**  
*Goal Leader: Director of Policy & Planning* | • Make significant input to reviews conducted on the funding of higher education  
• Continue to encourage partnering with institutions who share similar objectives |
| **Improving Access to, and Use of, Information**  
*Goal Leader: Director of ICT* | • Continue to implement and develop four priority areas:  
  - Governance in Partnership with Customers  
  - Infrastructure and IT Support Services  
  - Management Information Services  
  - Web Services |
<table>
<thead>
<tr>
<th>Strategic Goal</th>
<th>Strategic Priorities</th>
</tr>
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| Creating a Business School that displays Imperial values and excellence  
*Goal Leader: Principal, Business School* | • Develop a culture producing research of international quality  
• Rejuvenate existing courses and seize opportunities to create new ones  
• Boost the School’s external presence through events, executive education and alumni  
• Attract high quality staff and students |
PAPER G

COLLEGE BUDGET – 2003-04

A Note by the Director of Finance

1. As in previous years, the process for preparing the 2003-04 College Budget has involved a detailed Planning Round exercise involving all academic, academic support and administrative functions. The outcome, after some iteration, was presented to and endorsed by the Executive Committee at its meeting on 27 June.

2. A shortened version of the presentation given on that occasion is attached as Annex A. (1) The figures for 2002-03 are based on estimates provided in the course of the Planning Round with some subsequent amendments.

3. The Council is invited to consider and, if it sees fit, approve the College Budget for 2003-04.

A.S.D.C.

(1) The highlights of the presentation given to the Council are attached at Annex A.
HIGHLIGHTS

OVERALL RESULT

1. Operating activities before exceptional income are budgeted to generate a £3.9m deficit in 2003/04 compared with a surplus of £0.4m forecast for the current year.

2. The operating deficit turns to a small surplus in cash terms (depreciation expense being slightly greater than the operating deficit).

3. Exceptional income is budgeted at £12.2m. This comprises the sale of two halls of residence and a sports ground.

4. The net result is therefore a surplus of £8.3m.

INCOME

5. Total income is budgeted at almost £400m - 4% up on the current year forecast.

6. Grants from HEFCE are set to increase by 8%.

7. Academic fees and support grants are budgeted to rise by 5%.

8. No increase in total research income is budgeted but the contribution to overheads is expected to be 7% higher than current year forecast.

OPERATING (RECURRENT) EXPENDITURE

9. Generally-funded expenditure is budgeted to total £169m in 2003/04, some 8% higher than the current year forecast. Within this total:

   a. Faculties receive £87m (52% of total), a 10% increase over current year forecast

   b. Support services receive £70m (41% of total), a 3% increase over current year

   c. Other non-faculty costs are £10m (6% of total). This includes depreciation of College-funded assets (£5.3m) and funding for Innovations (£2.0m)

   d. Interest payable is £3m (2% of total).
10. As part of the distribution of general funds, £9.4m was allocated to the SIF, including £2.0m from the HEFCE grant for Rewarding and Development of Staff. From SIF £7.3m was awarded to faculties, £2.0m to Innovations and £0.3m to ICT.

CAPITAL EXPENDITURE

11. Capital expenditure is budgeted at £78.8m in 2003/04 which compares with £74.0m planned for the current year.
INTRODUCTION

1. Governors will recall that, like all Higher Education institutions and public sector authorities, the College was legally obliged to have a Race Equality Policy in place last May in order to meet its obligations under the Race Relations Act 1976, as amended by the Race Relations (Amendment) Act 2000. The Act places a general duty on public authorities, including universities, to “promote race equality”. This means that, in everything they do, these bodies should have due regard to the need to eliminate unlawful racial discrimination, promote equality of opportunity and promote good race relations between people of different racial groups. In addition to this general duty, Higher Education institutions must also comply with a set of specific duties. These are:
   a. To prepare a written policy on race equality;
   b. To assess the impact of the institution’s policies on ethnic minority students and staff;
   c. To monitor the recruitment and progress of ethnic minority students and staff;
   d. To set out the monitoring arrangements for publishing its written policy, impact assessments and monitoring.

2. The College Policy on Promoting Race Equality was approved by the Council at its meeting in May 2002.

3. Subsequently, the HEFCE undertook an assessment of the Higher Education sector's policies which has resulted in the College being required to resubmit its Policy by 30 May 2003. The HEFCE determined that the College was "developing appropriately but with major work remaining to be done". This was a fitting assessment because, until recently and with the advent of HR Strategy Funding, the College did not deploy any resources specifically to address the growing equality and diversity agenda. Many other universities set up equality units over five years ago and were therefore able to show a greater institutional awareness of the issues, together with a record of solid achievement.

4. As was reported to the Council in May 2002, in addition to the draft Policy on Promoting Race Equality, a number of codes of practice for individual areas noted in the Policy were being prepared. As these had not been finalised at that stage, the codes of practice were not submitted to the HEFCE and its assessment of the College’s response was therefore based on the Policy alone.
5. In response to the HEFCE’s assessment, the College Policy has now been reworked, the Codes of Practice that accompany the Policy have been revised and Action Plans for each Code have been devised. There are Codes relating to: Procurement and Contract Compliance; Teaching, Student Services and Widening Participation; Partnerships with Business and Local Communities; Employment, Development and Staff Representation and Governance - both Council and College Committees. As this resubmission will include the Codes of Practice and Action Plans for the first time, the College is hopeful that it will result in an improved "mark". However, the major test will come when the College has to report progress against the Action Plans.

6. The revised Policy for Promoting Race Equality is attached to this Paper at Annex A, while copies of the associated Codes of Practice and Action Plans are available for any members who may wish to see them. The Council is invited to consider and, if it sees fit, approve the revised College Policy on Promoting Race Equality.

C.G.
IMPERIAL COLLEGE LONDON

PROMOTING RACE EQUALITY

A Policy for Members of the Court and Council, Staff and Students
and for External Organisations which have a business relationship with the College

INTRODUCTION

1. This Policy, and the associated Codes of Practice and Action Plans, are major components of the College’s Equality and Diversity programme. Their purpose is to promote justice, good race relations and equality of access and opportunity.

2. The College recognises that, in order to help fulfil its mission to deliver world-class scholarship, education and research in science, engineering and medicine, it must ensure equality of opportunity, good race relations and eliminate discrimination. These values are also particularly relevant to implement certain statements of the College’s Strategic Intent, namely:
   a. To remain amongst the top tier of scientific, engineering and medical research and teaching institutions in the world.
   b. To continue to attract and develop the most able students and staff worldwide.
   c. To develop our range of academic activities to meet the changing needs of society, industry and healthcare.
   d. To communicate widely the significance of science in general, and the purpose and ultimate benefits of our activities in particular.

3. This Policy applies to members of the Court and Council, staff and students, and governs the business and contractual relationships, which the College enters into with partners, consultants, funding bodies, contractors and suppliers. It is also important to our relationships with the communities within which the College is located, and the wider communities within which it operates.

4. The Race Relations (Amendment) Act 2000 (RRAA) came into force in April 2001 and amends the 1976 Act. The legislation makes it a statutory duty for the College to comply with both the General Duty and Specific Duties contained within the Act. The College embraces these duties positively.

5. This Policy, and its associated Codes of Practice, set out how the College will meet the General Duty to make the promotion of racial equality central to its work, tackle and prevent racial discrimination, and how it will promote racial equality and good race relations. This Policy, its associated Codes of Practice and Action Plans, also set out how the College will meet the Specific Duties, which are:
a. To ensure that the College considers the racial equality implications of its actions and decisions.

b. To assess whether the College’s policies and procedures have any adverse effects on students and staff from ethnic minority groups.

c. To consult widely on policies that the College intends to introduce.

d. To monitor, and then publish data by ethnic origin on the admission and progress of students and, in relation to staff, data on recruitment, career progression, development, grievances and disciplinary action.

e. Train staff and Governors on the Policy and Codes of Practice.

6. By undertaking these Specific Duties effectively, the College will be fulfilling its statutory duties.

BACKGROUND

7. In preparing this Policy and the associated Codes of Practice and Action Plans, the College has consulted with individuals, and via focus group discussions and formal committees, such as the Equal Opportunities and Diversity Committee and the Executive Committee. It has also taken into account the College’s particular concerns, its current priorities and the views of Council members who have considered and discussed the Promoting Race Equality Policy and the recommendations contained within the Diversity Audit Report (see paragraph 6b. below)

8. For staff and overall organisational development, these include:

a. To assess the population figures in the most recent census and identify the implications for the College as an employer.

b. To implement the recommendations of the College-wide Diversity Audit “Imperial College – a Good Place to Work”, undertaken in Spring 2002.

c. To improve the quality, completeness and consistency of data so that the College has an accurate picture of its staff make-up and progression.

d. To provide a supportive environment for staff who feel bullied or harassed and to encourage staff to report any incidents.

e. To improve consultation methods and mechanisms.

f. To continue to attract and retain the best staff and develop them.

g. To widen participation from staff from ethnic minority groups in Departmental, Divisional and the College’s decision-making committees.
9. For students, these include:
   a. To improve the quality, completeness and consistency of data to enable more effective monitoring.
   b. To prepare procedures which relate to racial equality in the curriculum and which cover the introduction of new courses and review of existing courses.
   c. To implement the College’s Widening Participation Strategy.

10. The McPherson Report, published in 1999, was the catalyst for the RRAA. The Report highlighted that institutional racism is common within public service organisations and it was defined as “the collective failure of an organisation to provide an appropriate and professional service to people because of their colour, culture or ethnic origin. It can be seen, or detected, in processes, attitudes and behaviour which amount to discrimination through unwitting prejudice, ignorance, thoughtlessness and racist stereotyping, which disadvantage minority ethnic people. It persists because of the failure of the organisation openly and adequately to recognise and address its existence and causes by policy, example and leadership”. It describes an environment in which discrimination occurs, even where blatant acts are rare. The College recognises this definition of institutional racism and, via this Policy, its Codes and Action Plans, aims to eliminate it.

11. The McPherson Report defined a racist incident to be “any incident which is perceived to be racist by the victim or any other person”. The College has adopted this definition of a racist incident so that any issues raised can be investigated and a conclusion can be made in the light of this definition.

**FUNDAMENTAL PRINCIPLES OF THE POLICY AND CODES OF PRACTICE**

12. The fundamental principles of the Policy and Codes support the College to fulfil its core functions. The College is to be proactive:
   a. To ensure that the promotion of racial equality is an integral part of its strategic planning process.
   b. To ensure that race equality is addressed by all those responsible for the College’s major functions, and that it is taken account of in policy making and in the day-to-day work of teaching, research, service delivery, employment practice, governance, procurement and general business.
   c. To examine how each of the College’s policies affect staff and students by using a “Framework for Conducting Impact Assessments” and take subsequent action to deal with any adverse impact that may be identified.
   d. To examine its day-to-day routine practices so as make every effort to avoid discrimination, both individual and institutional, before it occurs.
e. To collect data, and analyse and assess it against publicly available benchmarks to measure the College’s performance and effectiveness and to set targets against which it might improve.

f. To train, or brief, staff, students and Council and Court members on their responsibilities for race, equality and diversity matters.

g. To identify the needs and opinions of staff and students, and particularly the views of those from ethnic minority groups, (via surveys, focus groups and one-to-one discussions), and to improve communication methods where necessary.

h. To foster a culture where race equality is promoted, where discrimination is not tolerated and where people feel able to report discrimination or harassment without fear of any backlash, knowing that a confidential investigation and any other appropriate action will be taken.

i. To publish assessments of the impact of this Policy, the Codes of Practice and Action Plans and publish any subsequent changes; to make this information freely available to staff, students, the local community and other groups which may be involved or affected.

j. To provide the necessary resources to ensure the effective implementation and monitoring of this Policy, the associated Codes of Practice and Action Plans.

**ROLES AND RESPONSIBILITIES**

13. The Council has overall responsibility for this Policy and the Codes of Practice and is responsible for ensuring that they are complied with. Its role is:

   a. To ensure that the College complies with legislative requirements and with the General Duty and Specific Duties.

   b. To establish and maintain an overview on what is being done to challenge racism, institutional racism, and to promote race equality and good race relations.

   c. To ensure that appropriate procedures are in place, and that briefing and training are provided, which enable all those responsible to undertake their responsibilities.

   d. To monitor, evaluate and review the effectiveness of the Policy and Codes.

14. The Equal Opportunities and Diversity Committee has overall responsibility for equality issues in the College and it reports to Council via the Rector. The Chair is appointed by the Rector and is a member of the main College-wide decision-making body of the College, the Executive Committee. The Committee is serviced by the Human Resources Division, for whom the implementation of the Policy is a day-to-day responsibility.

15. In relation to race equality issues, the Equal Opportunities and Diversity Committee is responsible for approving specific action and for supporting the planning and development of
the Policy, Codes and Action Plans. It is also responsible for monitoring the impact of the Policy and Codes, reviewing progress on the Action Plans, setting challenging targets related to the achievement of the Policy and Codes, consulting with, and involving relevant people from outside College and taking account of the needs and interests of representative groups within College.

16. To help achieve these responsibilities, the Committee’s membership has been increased to include greater representation from women, staff from different ethnic origins, a range of job levels and the Students’ Union. The Committee is responsible for making an annual review report to the Rector, normally in January.

17. The Rector is responsible to Council for providing a consistent and high-profile lead on race equality and for taking overall responsibility for ensuring that the Policy, Codes and Action Plans are implemented, monitored and reviewed.

18. Day-to-day implementation, monitoring and assessment of the Policy is the responsibility of specific senior staff. All managers, however, within each Faculty, Centre, Department, Division, Academic Service, Administrative Division, and within companies or units with formal associations with the College, have a duty to be proactive in promoting race equality and good race relations, to show clearly that discrimination or racist stereotyping is not tolerated, to deal with racist incidents, to help meet the targets that the College has set for itself, and to ensure compliance with the Policy and Codes of Practice.

19. Each member of the Court and Council, each member of staff and each student, has a personal responsibility to comply with this Policy and those Codes of Practice which affect him or her. It is also the responsibility of all to draw any transgressions to the attention of managers so that they may take action in line with their responsibilities outlined in paragraph 16 above.

20. Each member of the Court and Council, each member of staff and each student must take up training and learning opportunities, which include racial equality issues.

CODES OF PRACTICE

21. This Policy is accompanied by separately published Codes of Practice for its major activities. The College believes that these Codes of Practice enable it to meet the General Duty and Specific Duties because they cover those functions that are most affected by the potential for discrimination. By focusing upon these functions, the College will see the quickest results.

22. The Codes define the responsibilities of individuals or groups, identify how race discrimination is to be tackled and how equality of opportunity and good race relations are to be promoted within each activity.

23. Each Code has an Action Plan which outlines the main priorities. The College will involve staff, students and other interested parties to review and supplement these priorities so that there is agreement that the College has its priorities right. The College seeks to ensure that it learns from its experiences.
24. The Codes of Practice relate to the following functions and a brief summary of the major areas which each Code covers is provided below:

FINANCE, BUSINESS AND COMMUNITY INVOLVEMENT FUNCTIONS

**Code of Practice - Partnerships and Relationships with External Bodies and with Local Communities.**

25. The College has relationships with a number of academic and non-academic external partners and related companies and, in so far as it is practicable, expects them to have, and to adhere to, an equal opportunities policy. It expects those partners who are covered by the RRAA 2000 to comply with its requirements, and with all relevant documentation issued by the Commission for Racial Equality (CRE). The College will not enter into partnership agreements with organisations that do not have an appropriate equal opportunities policy.

26. In order to inform and consult with the local community, the College meets with local residents and councillors to promote effective communication and to encourage participation where appropriate.

27. The College has established the Imperial Volunteer Centre (IVC) to promote interaction between the College and the wider community. The Centre develops links with partner external organisations and facilitates the participation of students and staff in community projects. Equality issues are a high priority for the Centre. Volunteering is viewed as a method of increasing positive interactions between different social groups, thus reducing barriers caused by stereotyping, prejudices and preconceptions.

28. The involvement of under-represented local groups and sections of the community is encouraged and many of the IVC’s projects focus on equality issues. Examples of projects that seek to promote racial equality and good race relations are detailed in the Code.

29. Should any specific harassment or racist incidents occur which involve the College’s staff or students, the College will use its own internal procedures initially to investigate and discipline if appropriate, and to work closely with the local community to identify if future, preventive action might be taken.

**Code of Practice - Procurement and Contract Compliance.**

30. The College operates a Purchasing Policy and a Contractors’ Code which promotes equal opportunities, and which complies with the RRAA 2000 and with the practical guidance and recommendations published by the CRE. All staff with responsibility for procurement and negotiating and agreeing contracts are expected to comply.

31. The College expects its suppliers and contractors to have, and to adhere to, an equal opportunities policy. It expects those suppliers, contractors or consultants which are covered by the RRAA 2000, to comply with its requirements and with all relevant documentation issued by the CRE, otherwise it will consider ceasing purchasing from them, or contracting with them.
GOVERNANCE FUNCTION

Code of Practice – Governance.

Appointment and Training of Members of the Court and Council and the Conduct of Court and Council Business.

32. The Court is a large, mainly formal body consisting of some 160 members appointed by bodies representing educational, research, international, regional, local and staff interests. The College expressly welcomes the appointment of members from ethnic minorities and proactively writes to this effect to those external bodies from whom the majority of members are appointed.

33. There are 32 members of the Council, which is the “governing and executive body of the College”, the majority of whom are lay members, including the Chairman, Deputy Chairman and Honorary Treasurer. Also included in its membership are elected representatives of the staff of the College and of the student body. Vacancies for lay and co-opted members of the Council are advertised within the College, and members of the Court and Council and staff and students are invited to submit names. The nomination of members from ethnic minorities is expressly encouraged by the Council. There is a wide distribution of information about the Council’s business and the forthcoming election in order to be as proactive as possible in generating interest from those who might previously not have stood.

34. An annual induction programme is made available for new and existing Governors. As well as informing Governors about the College’s operation and its aims and objectives, information is also provided on Governors’ legal responsibilities, including those under the RRAA 2000.

35. The membership of the Court and Council is monitored and a report on the ethnicity of its members will be included in the Annual Report to the Council.

Membership and Conduct of College, Faculty, Centre/Departmental/Divisional, Academic Service and Administrative Committees.

36. Members of the Committees of the Council are appointed by the Council acting on the advice of its Nominations Committee. In making its recommendations for appointment, the Nominations Committee invites nominations from a wide and diverse range of groups associated with the College, and reviews Governors’ skills and experience, including their experience of equality issues, to ensure that they are able to make an active contribution, and so that the College makes the best use of their time.

37. The Senate’s role is to direct and regulate the teaching and research work of the College and it draws its membership entirely from the staff and students of the College. The membership includes a number of ex officio appointments and a large number of elected members representing the various academic disciplines within the College. When agreeing the membership, every effort is made to ensure that it is as representative as possible and comprises a representative ethnic mix.
38. The Rector appoints the members of his advisory committees. Before making such appointments, the Rector consults widely within College to ensure that the Committees include as broad a representation of the staff as is possible.

39. Faculties, Centres/Departments/Divisions have established standing committees in order to ensure their effective management. Administrative and Academic Service Divisions have also established committees and/or working groups to assist them in the provision of effective services. Faculties, Centres/Departments/Divisions, and other organisational units, are responsible for ensuring that the membership of their standing committees and/or other formal committees/working groups, include as wide a representation of the staff as is possible. Those committees with decision-making powers are to use the “Framework for Conducting Impact Assessments” so as to ensure that race equality is taken account of systematically in its day-to-day work.

40. The membership of College, Faculty, Centre, Departmental, Divisional, Academic Service and Administrative Committees is to be monitored by the Central Secretariat and appropriate action will then be taken to redress any imbalance in line with paragraph 37 above. A report on the ethnicity of committee membership will be included in the Annual Report to the Council.

**STAFF-RELATED FUNCTIONS**

**Code of Practice - Employment, Development and Staff Representation.**

41. The College recognises the enormous impact of the recruitment and selection process upon its strategic aim to continue to attract and retain the most talented staff. It also recognises the extent to which a well-executed process can promote racial equality. The Code of Practice provides explicit guidance on recruitment and selection in order to ensure that those responsible tackle discrimination and promote race equality at the appointment stage.

42. The College has a workforce target in relation to the recruitment of female academic and research staff and, by using the 2001 census data as a basis for benchmarking, the College is to identify whether there is proper representation from ethnic minority people across the full range of jobs. Where inadequate representation is identified, this assessment will be communicated to those who undertake recruitment and selection so that action can be taken to redress imbalance. (The Code is also supplemented by full, practical guidance on all aspects of recruitment and selection and regular training is given to support the College’s policy that all selection panel members must be trained).

43. The Code identifies how it monitors ethnicity in relation to applicants for employment, those appointed, pay progression, career development and progression, the number and range of disciplinaries and grievances, harassment and dismissal cases, and monitors access to, and take-up of, staff development opportunities. The Code identifies how the monitoring data is to be used to make changes so that it can fulfil its obligations under the Specific Duties. The Code also covers how staff are to be briefed and trained so that they are aware of their responsibilities in relation to the Promoting Race Equality Policy and how they must ensure that it is put into practice.
44. One of the College’s staff-related priorities is to achieve a comprehensive and accurate staff database. While our data in relation to gender is complete, we need to improve our data in relation to those with any disability and there are no records of ethnic origin for 16% of staff. The wide-ranging recommendations that arose from our Diversity Audit can only be implemented successfully if we have more complete information. A data trawl of all staff is to be used regularly to: assess general trends and patterns in employment at the College; monitor the impact of policies and procedures to identify if there appears to be inequalities; take action to make any necessary changes to working practices, procedures or methods where inequalities are identified.

45. As part of its commitment to promoting equality and diversity, the College’s Staff Development Programme provides training and workshops on the full range of issues and race equality is a key component. Our approach is developmental rather than punitive; the major focus will be on how staff can “live” the values and fulfil the requirements of the Policy and Codes. The programme includes briefings on the Policy and Codes, legislative updates, how stereotyping, harassment, discrimination and inappropriate behaviour can be prevented, and how cultural diversity can benefit the College and lead to enhanced creativity. While the programme is available to all staff, the College’s immediate priority is senior and middle managers, so that they are aware of their responsibilities under the Policy and Codes, and can ensure that those staff for whom they are responsible also understand why they are important and comply with them. The second priority is to ensure that front-line staff, such as those employed in reception areas, security and catering are fully briefed and trained.

46. Our relationships with staff representatives are extremely valuable and we consult, and work with, the trade unions and specific staff groups to develop the effectiveness of our day-to-day employment practices. Following on from our valuable use of focus groups during the Diversity Audit, the College is to facilitate meetings of those with specific interests, including staff from ethnic minorities, in agreement with those who wish to have them.

47. Beginning in 2003, those staff with principal responsibility for equality and diversity in the Human Resources Division will work with departments and divisions to devise local equality action plans, which will include the implementation of this Policy and the Codes of Practice where applicable.

**STUDENT – RELATED FUNCTIONS**

**Code of Practice - Teaching, Widening Participation and Student Services**

48. The College seeks to ensure that potential and existing students are treated on a fair and equal basis and it is the responsibility of all academic staff, and those working in support services, to ensure that they do not discriminate against a student, or potential student, on the grounds of their race, and to ensure that complaints of discrimination or harassment are dealt with appropriately. In order to achieve this, training is provided to ensure that staff are fully briefed and supported. It is also the responsibility of those who arrange student placements to ensure that the working environment encourages learning and is free from any discrimination or harassment. Should any concerns be raised by any staff member or students, they will be taken seriously and thoroughly investigated by the Head of Department/Division.
49. Methods to show how the College promotes racial equality through its curricula, teaching delivery and supply of student services, and how it monitors its achievement of equality of opportunity, are set out in the Code of Practice on Teaching, Student Services and Widening Participation. The assessment of our monitoring data will determine what action we will take to address any identified deficiencies.

50. Through its Widening Participation Strategy, the College aims to raise the aspirations of potential students from lower socio-economic groups, including those specifically from ethnic minority communities. The Code shows how the College aims to widen participation by raising aspirations in science amongst potentially very able students in the state sector. From a race equality perspective, while the College is aware that a significant percentage of its students is Asian British or international students from Asia, figures show that representation from African, Caribbean and Black British students is relatively low. One of the aims of the Widening Participation Strategy is to encourage people from these groups to consider undertaking higher education.

51. The College promotes the understanding and valuing of different cultures in various ways. There are many clubs and societies which reflect the wide diversity of students and enable students to interact, to celebrate religious festivals and cultural events, and to learn about the rich cultural and racial mix of those who study and work at the College. Students’ Halls of Residences regularly put on events that celebrate cultural diversity and there is an International Students’ induction. The College provides facilities for staff and students who wish to practise their religious beliefs and the Chaplaincy organises multi-faith events. In order to respect the specific catering requirements of many different faiths and cultures, the College’s conference and hospitality organisers ensure that a wide variety of food and drink is available to purchase or order. Exhibitions are mounted to inform and educate staff, students and visitors about a wide variety of topics and which, on occasion, include a cultural and racial dimension.

MONITORING

52. The College is to improve its data collection so that it has an accurate baseline from which it can set targets and then monitor:

a. Student admissions, progress, attainment levels, fee status, dropout rates, disciplinary and grievance matters and complaints by ethnic origin.

b. Staff recruitment, progress, promotion, pay, development take-up, discipline and grievances and dismissals by ethnic origin.

c. Membership of the Court, Council, standing committees and other formal committees by ethnic origin.

d. Those organisations with which it has business relationships and assess whether the College has tackled racial discrimination and promoted racial equality through its choice of contractor, supplier or consultant.

53. The College will comply with data protection legislation in its collection and storage of data.
ASSESSMENT OF THE POLICY, CODES AND ACTION PLANS

54. In order to assess activity, progress and impact, the Equal Opportunities and Diversity Committee is to receive an annual report, normally each November, which is to include monitoring assessments from those that are responsible for the Codes and Action Plans. The Committee will use the data to plan what action is needed to increase the profile of promoting race equality, to inform planning and decision-making and so that further target setting can be undertaken. Specific Committees such as the Undergraduate Studies Committee and the Human Resources Customer Focus Group, which have a direct interest in particular Codes, will also consider activity, progress and impact and approve, and make recommendations for, specific action.

55. The Rector and the Executive Committee are to receive an annual report from the Equal Opportunities and Diversity Committee on activity and progress, normally each January. The report will enable the Rector and the Executive Committee to assess the impact of the Policy on staff and students in College, and upon the wider community through its participation initiatives and its choice of business partners or suppliers. The Executive will recommend and/or agree further action as required.

56. The Council is to receive an annual report from the Rector, normally each February, on activity and progress in all major areas, including relevant and appropriate data, so that it can assess the impact of the Policy on staff and students in College, and upon the wider community through its participation initiatives and its choice of business partners or suppliers.

CONSULTATION AND COMMUNICATION

57. Before the November review by the Equal Opportunities and Diversity Committee of the Policy, Codes of Practice and Action Plans, those responsible for the Codes of Practice will undertake consultation with formal staff and student representatives and groups, informal focus groups, external interested parties and within the local community. Various consultation methods will be used to build greater confidence in the consultation process, especially from ethnic minority staff and students, so that the process is open, focused and leads to their greater participation. The key findings of the consultation are an integral part of the Equality and Diversity Committee’s planning and review process. The subsequent changes made to the Policy, Codes and Action Plans will be fed back to those who have been involved in the consultation, and provided to a wider audience by a specific report, and/or by an article in IC Reporter and/or via the College’s intranet.

58. The College will ensure that those responsible for College communications e.g. Faculty Principals, Heads of Departments/Divisions, Faculty/Departmental/Divisional Administrators, the Communications Division, web managers, in whatever medium is used (print, by e-mail, on the web, via the telephone or face-to-face) will use language and images which are free from any racist bias, and will promote positive images of ethnic minority staff and students.
PUBLISHING THE POLICY AND PUBLISHING THE RESULTS OF MONITORING AND ASSESSMENT

59. This Policy is provided to new staff, students, Court and Council members and to external bodies or community groups where relevant. The Policy and Codes have been distributed to key managers within departments and divisions and are on the College’s intranet. The Policy will be translated into other languages (where practicable), Braille, or made available on cassette, on request to the Equality and Diversity Consultant in the Human Resources Division.

60. The College is to publish an Annual Report that provides an assessment of the impact and progress of the Policy, together with the main findings of its assessment and monitoring. The Report will be distributed to staff and student committees, representatives and groups, special interest groups where these have been formed, and will be available on the College’s intranet. The main findings will be translated into other languages (where practicable), Braille, or made available on cassette, on request to the Equality and Diversity Consultant in the Human Resources Division.

ACTION WHICH WILL BE TAKEN IF THE POLICY OR CODES ARE NOT FOLLOWED

61. If a member of staff or a student is found to have been in breach of the Policy or Codes, disciplinary action will be instituted in accordance with those procedures, which govern staff and students.

62. If, in the course of undertaking a monitoring or impact assessment for the report for the Equal Opportunities and Diversity Committee, it appears that discrimination might be taking place, the matter should first be raised with the Director of Human Resources, or his/her nominee. Working in partnership with those responsible for the Code, the Director, or nominee, is to initiate an investigation into the particular area which appears to be causing concern. Depending upon the outcome of the investigation, proportionate action will be taken, which may range from providing further training through to instituting disciplinary action in line with the College’s procedures.

63. Any breaches of the Policy or Codes will be followed by a general assessment of the positive action that the College might take to prevent any further breaches e.g. providing training or more explicit guidance.

64. External Members of the Court or Council who are found to be in breach of the Policy will be invited to relinquish their office.

65. If any contractor, supplier or consultant is found to be in breach of its own equal opportunities policy, or in breach of the RRAA and CRE guidance if they are covered by the legislation, they are liable to be removed or suspended from the College’s list of suppliers and not reinstated unless, and until, appropriate changes have been demonstrated.
ASSISTANCE FOR STAFF AND STUDENTS

66. The College has Equal Opportunities Policies for staff and students. Its Respect for Others Policy exists to ensure that staff and students are not subjected to harassment or unacceptable behaviour, the Students’ Union has an Harassment Policy for students, and an Harassment and Bullying Policy, with a protocol that covers both staff and students, is to be introduced during 2003. The Policy includes clear guidance to staff and students on how informal and formal complaints can be made and where responsibility lies for undertaking investigations.

67. Racial harassment includes the commitment or incitement of any hostile or offensive action or behaviour by one individual towards another based on difference in colour, culture, race, ethnic or national origin. Such action may include derogatory name calling, insults, racist jokes, racist graffiti, verbal abuse and threats, physical attack, ridicule or bullying because of racial and cultural differences, and results in an intimidating, hostile, offensive working and/or social environment. If a member of staff or student needs guidance and/or practical help, assistance is available from the Human Resources Division, the recognised Trade Unions, the Registry and the Students’ Union. Following the introduction of the Harassment and Bullying Policy, there will be fully-trained Harassment Support Contacts in place who will be available for informal support and advice.

68. General assistance is available to students through its Student Counsellors, and staff (and their family members) are provided with a 365-day, 24 hour telephone counselling service, supplemented by contact sessions where required.

69. The Occupational Health Service is provided with general data by the counselling service on the sort of issues that are concerning staff and this data is provided to the Director of Human Resources. An assessment of this data, together with an assessment of staffs’ Exit Questionnaires, will enable the Human Resources Division to identify if there are any particular areas in College where staff feel affected by discrimination, harassment and/or bullying, and which should be investigated if action is not already being taken.

VALIDATION

70. The first version of this Policy was approved by Council at its meeting on Friday, 17th May 2002. The second version of this Policy was considered and approved by Council at its meeting on 11 July 2003.
1. The Minutes of the meetings of the Senate held on 12 February 2003, 7 May 2003 and 18 June 2003 are attached. The following points are drawn to the attention of the Council for information and, where appropriate, action.

**Minutes 519 and 538 – Improving Standards in Postgraduate Education**

2. The Senate noted that the Funding Councils had invited consultation on proposals for improving standards in postgraduate education. These proposals included a set of core standards for the provision of research degree programmes, most of which should present no difficulties for the College. The College’s response, while supportive of the proposals in general, had made clear that the College had reservations about some of the proposed core standards, for example the focus on submission rates as an indicator of quality.

**Minutes 520, 563 and 564 – Reviews of Undergraduate Teaching**

3. The Senate approved reports by the Undergraduate Studies Committee on undergraduate teaching in the Department of Biological Sciences and in the Department of Chemical Engineering and Chemical Technology. The Senate was pleased to note that the assessors, all of whom were external to the College, had commented positively on the teaching in both Departments.

**Minutes 521 and 565 – Reviews of PhD Training**

4. The Senate approved reports by the Graduate Studies Committee on PhD training in the Department of Aeronautics and in the Business School. The Senate was pleased to note the positive outcomes of these reviews.

5. **Minutes 539 and 561 – Degree Awarding Powers and Institutional Audit**

   The Senate was pleased to note that the College’s application to the Privy Council to be granted degree-awarding powers had been approved. A decision had been taken in principle by the College Strategy Committee to recommend to Council that the College should seek to exercise its new powers, and the Senate looked forward to discussing detailed proposals at a future meeting.

6. The Report from the Quality Assurance Agency to the Privy Council on the College’s application, which would also serve as an institutional audit report on the College, was

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(1) The Minutes of Senate Meetings have not been included with these Minutes
considered by the Senate in its draft form. It was agreed that the Report when finalised should be published, even though it was now some considerable time since the Agency’s visit to the College in January 2002.

**Minute 547 – Student Induction**

7. The Senate considered proposals from the Imperial College Union for improved arrangements for student induction and agreed in principle that they should be introduced from October 2004, subject to an acceptable revised proposal being brought to the Senate for agreement early in the 2003-2004 session.

**Minute 566 – Undergraduate Studies Committee: Bologna**

8. The Senate noted the discussions by the Undergraduate Studies Committee on the implications of the Bologna process for the recognition of the College’s undergraduate degrees in Science and Engineering, and endorsed the conclusions of the Committee in regard to the action which the College should pursue.

**Minute 573 – Recruitment and Admission Policy Committee: Widening Access**

9. The Senate noted with interest the discussions taking place between the School of Medicine and Thames Valley University (TVU) concerning collaborative links to enable students successfully completing a foundation year at TVU to be admitted to the MBBS/BSc course.

**Minute 576 – Academic Regulations**

10. The Senate considered a proposal to revise the Academic Regulations so as to clarify what documentary evidence of their qualifications students are required to provide in order to register with the College, and what procedures are to be followed in order to verify students’ names or changes to a student’s name during his/her period of study.

11. The Council is invited formally to approve these revisions, which are summarised in Paper Senate/2002/95, attached to this Report as Annex A.

R.B.S.
AMENDMENT TO ACADEMIC REGULATIONS

Note by the Academic Registrar

1. The College Academic Regulations do not, as currently worded, give sufficient information to students on what documentary evidence of their qualifications they are required to provide in order to register with the College; nor do they address the procedures to be followed in order to verify students’ names or changes to a student’s name during his/her period of study.

2. It is proposed, therefore, to amend paragraph 5.2 of the Academic Regulations and to include a new paragraph 5.3 to cover this omission. The proposed wording is as follows (new text is underlined):

   “5.2 Students must complete the College registration form immediately upon beginning attendance at the College each session. Students are required to produce for inspection by the College the original documentary evidence of their qualifications.

   5.3 Undergraduate students will be registered by the College in the names as they appear on their UCAS application form. Postgraduate students will be registered by the College in the names as they appear on documentary evidence of their previous degree qualifications. The College also reserves the right to inspect documentary evidence of a student's names particularly if these appear in an abbreviated or incomplete form; normally one or more of the following documents may be required: passport, birth certificate, marriage certificate, statutory declaration made before a magistrate or commissioner for oaths, deed poll. Changes to a student's name during his/her period of study can only be effected upon submission of one or more of the above documents and providing that the documents establish beyond doubt that the names refer to the student in question. It is the responsibility of all students to ensure that their correct names are recorded by the College. No change can be made to a student's name after graduation.”

3. The Senate is invited to consider recommending to the Council that the proposed amendments to the College Academic Regulations are approved with effect from October 2003.
PAPER J

PETITIONING THE VISITOR

A Note by the Academic Registrar

1. Under the terms of the Imperial’s Charter the President of the Privy Council acts on behalf of HM The Queen as the College’s Visitor. Following a recent appeal to him, the Visitor noted that the College’s procedures do not explicitly advise students that they have a right to petition him. He has therefore directed the College to undertake a review of procedures and report back on its results.

2. The Senate has subsequently approved the wording of the following statement regarding a student’s visitorial rights for insertion into the relevant College procedures:

“If, having exhausted the College’s internal appeals structure, the student is still dissatisfied, the student may petition the College’s Visitor. Under the 1998 Charter of Imperial College, Article 22, a student may appeal to the College’s Visitor who is Her Majesty the Queen acting through the President of the Privy Council. Information on how to petition is available at www.privycouncil.gov.uk/output/Page48.asp or by contacting the Privy Council Office.”

3. Mills and Reeve, the College’s Solicitors, have considered this statement as part of their comprehensive review of the Fitness to Practise Medicine Procedure and confirm that its content is adequate to ensure that all students are fully aware of their right. The statement formed part of the revised Procedure approved by the Council at its meeting on 28 March 2003.

4. The Senate recommends to the Council that the statement should also be inserted at the appropriate points in the following procedures:

   a. Discipline in Imperial College
   b. Scientific Misconduct: Policy and Procedures for the Investigation of Allegations
   c. Procedure for Dealing with Complaints by Students
   d. Appendix 2 of the Academic Regulations: Student Withdrawal and Appeals – Procedure for dealing with cases of unsatisfactory academic progress.

   F.V.M.
ATHLETICS COMMITTEE

A Note by the Chairman of the Athletics Committee

1. The Athletics Committee has the following terms of reference:

“(i) To review the College’s strategy for the development of its facilities for sport and leisure and monitor its progress in implementation. The facilities deemed to fall within the Committee’s remit shall be as agreed by the Council from time to time.

(ii) To advise the Council on the policies for the use of these facilities and for the sports and leisure needs of the College in general.

(iii) To receive reports from the Central Sport and Leisure Advisory Group (SPALAG)”

2. The College’s sport and leisure facilities cover a wide range of locations and activities from rugby and football at the Harlington Sports Ground to aerobics and swimming at the Sports Centre. The Committee also now receives reports from the Health and Safety in Sports Committee, which covers additional activities such as mountaineering, canoeing and sub-aqua.

3. At its last meeting on 12th June 2003 the Committee agreed that its title – the “Athletics Committee” – at best no longer accurately reflected its remit and at worst gave rise to confusion as to its role.

4. The Council is therefore asked to consider and, if it sees fit, to agree to the Committee’s name being changed to the “Sports and Leisure Committee”.

D.Elleray
THE VACATION POWERS COMMITTEE

A Note by the Clerk

1. Members will recall that in June 2001 the Council agreed to establish a Vacation Powers Committee to make decisions on its behalf on any matters which needed to be resolved during the Summer before its next scheduled meeting in October. The Council agreed that the Committee should consist of the Chairman, the Rector, the Deputy Rector, the Honorary Treasurer and the Chairman of the Audit Committee. The Terms of Reference of the Vacation Powers Committee are attached at Annex A.

2. The Terms of Reference make it clear that the Vacation Powers Committee has to be established annually by a resolution of the Council and is only to be operational during the extended period between the Council’s meetings in July and October of each year. The Committee is empowered to consider only those matters that cannot reasonably be deferred until the October Council Meeting. Any decisions made by the Committee have to be reported to the Council at that Meeting.

3. The Council is invited, if it sees fit, to establish the Vacation Powers Committee again this year and to authorise it to make decisions on the Council’s behalf on any matters for which a resolution is required before the next scheduled meeting of the Council on 24 October 2003.

K.A.M.
VACATION POWERS COMMITTEE

Terms of Reference:

(i) On behalf of the Council, to make decisions on any matters for which a resolution is required before the first scheduled meeting of the Council in the next academic year.

Constitution:

The Chairman of the Court and Council or in his absence the Deputy Chairman
The Honorary Treasurer
The Chairman of the Audit Committee
The Rector
The Deputy Rector

In attendance, as required:
The College Secretary
The Director of Finance
The Director of Human Resources
The Director of Estates
The Director of Policy and Planning

Secretary:
The College Secretary

Present Lay Membership:

Lord Vincent (Chairman)
Dr M P Knight
Mr D P Hearn

Modus Operandi:

(i) The Vacation Powers Committee must be established by a resolution of the Council at the last meeting of the Council in each academic year. The delegation of functions, powers and duties to the Committee by the Council shall expire at the first meeting of the Council in the new academic year.

(ii) Except where the Council has chosen specifically to limit the powers of the Vacation Powers Committee it may, in accordance with the Statutes, exercise all of the functions, powers and duties of the Council, other than the power to make Regulations.
(iii) Only those matters on which a decision is required before the next scheduled meeting of the Council may be considered by the Committee.

(iv) A report of all decisions made by the Vacation Powers Committee shall be made at the next meeting of the Council and any resolutions made by the Committee must be ratified by the full Council at that point.

**Quorum:**

The quorum shall be the Chairman or in his absence the Deputy Chairman and one other lay member together with the Rector or in his absence the Deputy Rector.