MINUTES OF THE PROCEEDINGS
at the
Thirty-eighth Meeting of the
COUNCIL
of the
IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE

The Thirty-eighth Meeting of the Council was held in the Council Room, 170, Queen's Gate at 10:30 a.m. on 15th October 2004, when there were present:

Dr. E. Buttle, (Chairman), Mr. G. Able, Sir Peter Gershon, Mr. B. Gidoomal, Dr. G.G. Gray, Professor M. Green, Mr. D.P. Hearn, Professor Dame Julia Higgins, Professor S.P.F. Hughes, Professor C. Kennard, Dr. M.P. Knight, Professor G.H.C. New, Professor R.D. Rawlings, Mr. A.D. Roche, Professor S. Smith, Dame Rosemary Spencer, Dr. C.L. Vaughan, Dr. D.J. Wilbraham, Sir Peter Williams, 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 Strategy and Planning, the Imperial College Union Observer and the Assistant Clerk to the Court and Council.

Apologies: Professor J.N.B. Bell, Professor D. Griffiths, Dr. J. King, Mr. J. Newsum, Dr. B.G. Smith, the Director of Operations, the Director of Project Management and Communications and the Pro-Rector for Development and Corporate Affairs.

WELCOME

The Chairman welcomed Dr. George Gray, Professor Stephen Smith and Professor Christopher Kennard to their first Meeting as members of the Council. The Chairman also welcomed Professor Sir Leszek Borysiewicz, who, although already a member, was attending the Council for the first time in his new capacity as the Deputy Rector. Finally, the Chairman welcomed Mr. Richard Walker, the Deputy President (Clubs & Societies) of the Imperial College Union, who was attending his first meeting as the Union Observer.

VALETE

The Chairman informed Governors that Professor M.P. Hassell had stepped down as one of the Senior Staff Representatives and, on behalf of the Council, she thanked him for his contribution to its work over the past two years.
IN MEMORIAM

The Chairman advised Governors that a memorial service for Sir Alastair Morton, who had died on 1 September, would be held at Southwark Cathedral on 23 November at 11:00 a.m. The Council then observed a minute’s silence in memory of Sir Alastair.

CONGRATULATIONS

On behalf of the Council, the Chairman congratulated Professor A. Constantinides, Professor R. Syms, and Emeritus Professor J. Hutchinson on their election as Fellows of the Royal Academy of Engineering.

MINUTES

Council – 9th July 2004

1. The Minutes of the Thirty-seventh Meeting of the Council, held on 9th July 2004, were taken as read, confirmed and signed.

MATTERS ARISING

Confirmation of Resolutions Taken by the Council in the Period when it was Inquorate (Minute 46)

2. The Chairman reminded Governors that resolutions that were approved by Chairman’s Action when the Council was inquorate had subsequently to be ratified by the full Council at its next meeting. At the meeting held on 9 July, one resolution had been passed during the period in which the Council was inquorate. This was:

“That, with the exception of the proposed changes to the names for the Engineering and Medical Faculty Unions, the amendments to the Imperial College Union’s Constitution, as set out in Paper K, be approved.”

Resolved: That the resolution approved by Chairman’s Action during the Council Meeting on 9 July 2004, when the Council was inquorate, be formally approved.

Amendments to the Imperial College Union’s Constitution (Minute 46)

3. The Chairman reminded the Council that, at its last Meeting, the Imperial College Union had asked Governors to approve a number of amendments to its Constitution. While most had been agreed, two of the proposed amendments concerned the titles of the “Faculty of Engineering Students Association” and the “Faculty of Medicine Students Association”, which the Union had asked to be changed to “The City & Guilds College Union” and the “Imperial College School of Medicine Students’ Union” respectively. As the present titles reflected the College’s Faculty structure, the Council had not agreed to the change and had asked the Union to reconsider its proposed amendments and to report back to the Council.

4. The President of the Imperial College Union, Mr. Arif, said that the Union Council had reconsidered this point and had confirmed the strength of support for the proposed
name changes. For clarity, Mr. Arif confirmed that the Union’s structure was fully aligned with the College’s Faculty structure and that this was not at issue. The only argument was about the name of the Faculty-aligned Unions. The Rector said that, whatever name the Council agreed in the Constitution, it was likely that students would use the names with which they were currently most familiar. However, he thought this would diminish over time. Consequently, he said, the Constitution should be left as approved by the Council at its last meeting but, as the Union was currently engaged in a strategic review, he suggested that it should take the opportunity also to conduct a more wide-ranging review of its Constitution. Any recommendations arising from these reviews could then be brought back to the Council later in the year.

CHAIRMAN’S BUSINESS

Report of Chairman’s Action Taken Since the Last Meeting of the Council (Paper A)

5. Introducing Paper A, the Clerk said that the College had had to submit the College’s Annual Monitoring Statement, Corporate Planning Statement and Financial Forecast to HEFCE at the end of July. As the statements covered the whole year, these could not be finalised until the end of that month, which was after the last Council meeting. Therefore the statements had had to be approved by Chairman’s Action and subsequently ratified by the full Council at its next meeting.

Resolved: That the decisions made by Chairman’s Action on behalf of the Council since its last Meeting be approved.

Chairman’s Review of Governance (Paper B)

6. Introducing Paper B, the Chairman said that the formal proposals now put before the Council were based on the letter she had sent to members before the last Council meeting and on the comprehensive discussion on that occasion. As had been agreed, she had consulted further on key issues, both internally and externally, and she had included the outcomes of that consultation in the Paper. She suggested that, before considering the proposed changes to the Statutes, the Council consider the detailed recommendations in turn.

7. Professor Hughes welcomed the inclusion of an elected member of staff on the restructured Council. However, he asked if a single elected member was adequate to represent all the staff of the College. The Chairman replied that the elected member of staff would be able to bring an academic perspective to the Council that lay outside that of the management, but that the most important forum for such views to be heard was the Senate, which was responsible for the College’s academic work. The Rector would, in any case, be able to invite additional staff members to attend the Council for specific items. However, she said, the prime motivation in reducing the size of the Council was to ensure that it could function strategically. For this reason she believed that the number of elected members should not be increased.

8. Professor Kennard remarked that its staff were the College’s prime resource. He believed, therefore, that it was important that they were involved in the College’s direction at the highest level and that their representation on the Council was maintained. The Rector said that the elected staff member would be one of the Deans, who were elected to represent the staff and their views and to ensure
fairness and transparency across the College. But, he said, it was wrong to suggest that they were the only academics on the Council. The Faculty Principals would all be members and would all want to ensure that academic priorities were paramount. He also pointed out that, if an additional member of staff was appointed, the lay members would also have to be increased as there was a statutory requirement that there be a lay majority on the Council. Any increase in the Council’s membership would carry a risk that the Council itself would be less effective.

9. Professor Kennard noted that, if there was only one elected member, it would be incumbent on him or her always to attend Council meetings. As this was not always possible, he asked if it would be permissible for one of the other Deans to act as an ‘alternate’ member for any occasions when the chosen Dean was unable to attend. This would ensure that there was always a staff representative at each Council meeting. The Chairman said that there would have to be a single, named representative; there was a clearly established principle that substitute or alternate members were not allowed and this principle applied across the board. She did not believe that exceptions should be made in particular cases. In consequence, the chosen Dean should make every effort to attend regularly.

10. The ICU President, Mr. Arif, said he supported the proposal that a Dean should represent the academic staff. There was, he said, strong participation in their elections and their representative responsibilities were well understood across the College.

11. Dr. Vaughan noted that the proposed dates for future meetings included an annual away day in September. This would mean that any new members starting on 1st October would not take part in this important event until the following year. She suggested that either the date of the away day should be put back or the date on which membership normally commenced should be brought forward to ensure that new members could play an active part in the Council’s work as soon as they joined. The Chairman replied that the proposed dates for future meetings given in Paper D were indicative at this stage and would not be agreed formally until the Council’s meeting in February. She asked the Clerk to give consideration to the apparent disjunction between membership commencement and the date of the first meeting of the year.

12. Professor Dame Julia Higgins said that, as the number of elected staff members was being reduced, she hoped that other occasions would be sought when the lay members could meet a larger cross section of the College’s staff. The Chairman agreed and said that one of the purposes of the reforms was to provide a more effective Council whose members were more involved in the life of the College.

13. Moving on, the Chairman said that it was also recommended that the quorum for the new Council should be ten, with no other caveats. Similarly, it was proposed to do away with the post of Honorary Treasurer as a member of the Council. In future the Council itself would be responsible for the finances of the College at strategic level, while the Rector was putting a new management structure in place to pick up the operational responsibilities that had fallen to the Honorary Treasurer.

14. Dr. Wilbraham said he strongly supported the introduction of an away day for the Council. However, he thought this should not be combined with an ordinary meeting and should instead be used for the consideration of strategic issues. In the light of this, he asked if four meetings a year, including the away day, would be enough for the reconfigured Council. The Chairman said that the current proposal represented the minimum number of meetings she felt the Council would need. Once the new
Council was operational, it would be possible to increase the number of meetings, if required. In relation to this, she suggested that Council meetings should start earlier and, if necessary, continue after lunch. She also felt that the Council lunches would, in future, provide an important opportunity for the external members to meet informally with staff and that, consequently, members should make every effort also to attend them.

15. Moving on to the proposed Committee structure, Mr. Hearn said he had some concerns over the proposal to disband the Finance Committee. He reminded the Council that the College’s finances had been in a precarious position in 1999-2000 and that it had narrowly avoided receiving qualified accounts. As a result, and following pressure from the HEFCE Audit Service, the Finance Committee had been created to ensure that the College’s financial performance was being properly monitored on behalf of the Council. While he recognised that the College’s finances were now much more professionally managed, and there was less need for the very close scrutiny afforded by the Finance Committee, this might not always be the case. He suggested that there might therefore be a need to resurrect the Committee at some point in the future.

16. Dr. Knight replied that the Finance Committee had been created in response to a specific problem. However, he believed that most of its current responsibilities belonged properly to the Rector for him to discharge appropriately. Although he fully supported the proposed disbanding of the Finance Committee, he suggested that this would make the Audit Committee’s role even more important. Mr. Hearn agreed, but said that it would also require the future, smaller Council to give greater attention to reviewing the regular financial reports than had previously been the case. The Chairman agreed that the Council would have to review the College’s financial performance carefully and said that it would be important therefore to ensure that the lay members had appropriate financial experience and expertise. She believed that the reduced size of the new Council, which was similar to that of most companies’ boards, would make it more, rather than less, effective in fulfilling this role.

17. Sir Peter Gershon said that the Audit Committee should ensure that the College’s financial management procedures and controls were sufficient. If there was a need to establish a committee to take on a quasi-executive role in relation to financial management in the future, he suggested that this would indicate a failure of management. It would be much better for the Council to address any such management problems directly rather than to reinstate the Finance Committee. Similarly, if a future Rector was appointed with different skills to Sir Richard Sykes, it was incumbent on the Council to ensure that the College’s management structures could support that Rector appropriately. Mr. Gray agreed and said that the College’s executive should be responsible for financial management but should be accountable to the Council. The structure now proposed reflected common practice in the commercial world.

18. Moving on, the Chairman said that the Council should be more proactive in the development of strategy. Rather than simply approving the College’s strategy at the end of the annual planning process, the Council should establish a strategic dialogue with the College’s executive at the beginning of each year; hence the proposal for an annual away day. The Rector remarked that the development of strategy was a continuous process, but he agreed that the away day would provide an opportunity for the Council to think creatively about the College’s strategic direction.

19. Concluding the discussion, the Chairman said that the new governance proposals
were reflected in the draft revisions to the Statutes appended to Paper B. Following the Council's approval of these revisions, they would be submitted to the Privy Council for final approval. Transitional arrangements for moving from the existing Council membership to the new Council were also set out in the revisions to the Statutes. These included the determination of an 'effective day' when the changes would take effect, which would have to be agreed in consultation with the Privy Council. She suggested that the Clerk and the Chairman together should deal with these bureaucratic arrangements and inform the Council of the detailed changes when it was appropriate to do so.

Resolved by Special Resolution: That this Council, in pursuance of Article 17 of the Royal Charter, hereby makes by Special Resolution the amendments to the Statutes of the College set out in the document headed 'Revisions to the Statutes (October 2004)' including any such variation thereof as may hereafter be required by the Privy Council.

Resolved:

(i) That the post of Honorary Treasurer should be discontinued and its functions transferred to the College Management.

(ii) That from 2005/06 the Council should meet four times a year with the dates of meetings set annually for four years ahead.

(iii) That, with the exception of the Clerk and the Assistant Clerk to the Court and the Council, College Officers should attend Council Meetings only for specific agenda items as required by the Rector.

(iv) That the Audit Committee should be restructured so that its membership is exclusively drawn from the Council and its remit is extended to include oversight of the management of health and safety risks in the College.

(v) That the Remuneration and Nominations Committees should be combined, with a restructured membership drawn exclusively from the Council.

(vi) That the House, Sport & Leisure, Fellowships, Finance, Health and Safety Audit, and Investments Committees should be disbanded and that, where necessary, their functions should be assumed by the College’s management, except that two external members of the Council to be nominated by the Council should attend the relevant management committee meetings at which candidates for Fellowships, Associateships and Honorary Degrees are selected.

(vii) That the Vacation Powers and Chairman’s Committees should be disbanded.
(viii) That the Council should be more closely involved in the early development of College strategy and, to that end, should hold an annual away day on strategic issues each Autumn.

Revised Terms of Reference for the Audit Committee and the Remuneration & Nomination Committee (Paper C)

20. The Clerk presented Paper C and noted that, contrary to the composition of the Remuneration & Nomination Committee shown, the responsibility for servicing the Committee would be shared between the Director of Human Resources and himself. Mr. Gosling would deal with matters relating to remuneration, while he would deal with nomination issues.

21. Mr. Roche asked whether health and safety issues would continue to be reported to the Council in addition to its receipt of an annual report. He hoped that the Council would receive regular reports in the same way that it received regular reports on financial performance. The Chairman agreed and asked the Rector to ensure that the reconstituted Council received a report on health and safety at each of its meetings.

22. Dr. Vaughan noted that the proposed quorum for the Audit Committee consisted of just the Chairman and one other member. Given the importance of the Committee, she asked if this was enough. Mr. Hearn said that the Committee only had four members and that the proposed quorum was consistent with the size of the Committee and with normal governance practice. Sir Peter Williams said that, while two was a sensible minimum, it should be expected that all members would normally attend the Committee’s meetings.

23. The Chairman said that, if the quorum was increased, this might inhibit the Committee in carrying out its normal business. However, she said, there should be a clear expectation that, when the Committee was considering important issues, there should be more than the minimum of two members present. She felt though that it should be left to the Chairman to exercise his judgement when considering if enough members were present to take a particular decision.

Resolved: (i) That the revised Terms of Reference for the Audit Committee, as set out in Paper C, be approved.

(ii) That the Terms of Reference for the combined Remuneration & Nomination Committee, as set out in Paper C, be approved.

(iii) That Sir Peter Gershon, Dr George Gray and Sir Peter Williams be appointed as the external members of the Remuneration & Nomination Committee.

Dates of Council Meetings (Paper D)

24. The Chairman introduced Paper D and reminded members that the dates set out for future meetings were indicative at this stage. They would be presented formally for approval at the Council’s meeting in February 2005.
RESTRUCTURING OF THE FACULTY OF LIFE SCIENCES (PAPER G)

25. The Deputy Rector, Professor Sir Leszek Borysiewicz, presented Paper G. The Faculty’s position was, he said, straightforward. It had a substantial deficit which would have to be addressed by urgent management action. Although it contained the two departments with the lowest research assessment scores in the College, elements of the Faculty’s work were internationally excellent and it was imperative that these areas should be supported within the existing budgetary constraints. It was therefore clear that the Faculty would have to be restructured. To this end, a consultation process had been started within the Faculty, which was due to be completed on 26 October. The new structure for the Faculty would, he said, have to fit with the College’s strategy and also ensure that sustainable excellence could be supported. Given the size of the deficit, there was a clear need for a reduction in the academic staff. It was hoped that this could be managed entirely through voluntary means. However, it had to be recognised that there might be need for compulsion should a voluntary approach prove insufficient to achieve the necessary reduction. In order for this to happen, the Council had formally to agree that a reduction in staff numbers was required and had also to put in place arrangements for the establishment of a Redundancy Committee, if required.

26. The President of the Imperial College Union, Mr. Arif, asked if any commitments had been made to existing students about their courses. The Deputy Rector said that the College had stated its clear commitment to maintain courses for current students and to provide them at the same degree of excellence. All students would, he said, receive an education and a degree that was commensurate with the high standards that Imperial College exemplified.

27. Professor Dame Julia Higgins suggested that the public communication of the restructuring should be handled carefully, particularly in relation to the future of the Wye Campus. The Deputy Rector responded that he and the Faculty were working closely with the Communications Division to ensure that this was the case. With regard to Wye, it was not for the Faculty to determine the future of the Campus and this lay outside the current restructuring process. The College was setting up a separate Committee to consider Imperial’s strategy for the long-term use of the Wye Campus.

28. Sir Peter Gershon noted that the College had identified Environmental Sciences as an area in which it should be prominent. However, Imperial had previously received a relatively low assessment in this area. He asked if it was therefore sensible to concentrate on this subject area. The Deputy Rector said that Imperial had significant strengths in environment across the College, although some of the activities in the Faculty of Life Sciences were not as strong as they might be. As part of the restructuring, an Advisory Board had been established which would review the Faculty’s particular strengths and assess how they could be linked to other areas throughout Imperial. The College had received a relatively low assessment in environmental research in the last Research Assessment Exercise because of the way in which it was configured at that time. He was confident that this would not be repeated in the future.

29. Professor Hughes said it was suggested that the Faculty would maintain only those research areas which were in cognate groupings. He asked how this would affect individual principal investigators in receipt of funding. The Deputy Rector said that they would continue within the new structure. It was important, though, to articulate a strategic direction for research within the Faculty. There had previously been under-investment in excellence and the creation of a Faculty-wide strategy would help to
address that.

30. Professor Dame Julia Higgins asked about the implications for the Silwood Campus. The Deputy Rector replied that the Faculty of Life Sciences had a wide spectrum of activities and was currently located across three, widely spread campuses; Wye, South Kensington and Silwood. One of its problems was that many of its activities were localised to a particular campus and one of the aims of the restructuring would be to develop a scientific strategy that covered all its activities across all its sites.

31. Drawing the discussion to a close, the Chairman commended the Rector and Deputy Rector for the action being taken to address the Faculty’s problems. She hoped that the significant changes required could be achieved without the need for compulsory solutions, but recognised that a process had now to be put in place in case this proved not to be possible.

Resolved:  (i) That, in pursuance of Paragraph 10(2) of the Appendix to the Statutes, this Council considers that it is desirable that there should be a reduction in the academic staff of the Faculty of Life Sciences.

(ii) That the Chairman and the Rector be authorised to make appropriate arrangements to nominate the panels from which the Chairman and members of any body required to be established under the terms of the Appendix to the College’s Statutes may be drawn in accordance with the procedure agreed by the former Governing Body at its Meeting on 24 June 1993, as amended by the Council at its Meeting on 17 December 1999.

(iii) That the Chairman be granted delegated authority to give due consideration on behalf of the Council to the outcome of the consultation period ending on 26 October 2004 and any further measures taken by the Deputy Rector, as set out in Paragraph 12 of Paper G.

(iv) That, having done so, the Chairman be granted delegated authority to make on behalf of the Council appropriate arrangements, if necessary, to appoint a Redundancy Committee in accordance with the terms of the Appendix to the College’s Statutes and the procedure agreed by the former Governing Body at its Meeting on 24 June 1993, as amended by the Council at its Meeting on 17 December 1999.

(v) That the Chairman be granted delegated authority on behalf of the Council to authorise, if necessary, any such Redundancy Committee to commence its work in accordance with the provisions of Paragraph 11(1) of the Appendix to the Statutes.

RECTOR’S BUSINESS

Staff Matters (Paper E)

32. The Rector formally presented Paper A, which was received for information.
Oral Reports

33. The Rector reminded the Council that the new academic year had just commenced. Although the formal census date was not until December, it seemed likely that last year’s total for the number of students registered at the College, which had itself been a record, would be exceeded.

REMUNERATION COMMITTEE’S REPORT TO THE COUNCIL (PAPER F)

34. Introducing Paper F the Director of Human Resources, Mr. Gosling, reminded Governors that there were two main thrusts to the Committee’s work: to consider the remuneration of the senior staff and to look more widely at remuneration strategy for the College as a whole. Recommendations for the remuneration of the professoriate had seen an even split between the award of bonuses and increases in salary. With regard to strategy he said that the College had successfully implemented its pay and grading reforms. 95% of staff had now signed up for the new arrangements, which was to be welcomed. As a result, the College had also been able to introduce local pay bargaining and had, this year, agreed an award for its staff that was higher than the national pay award.

35. Professor Dame Julia Higgins said that a recent analysis of salary scales in the Times Higher Education Supplement had suggested that Imperial was at the lower end of the scale. Mr. Gosling replied that the report had been erroneous. The analysis had included Research Assistants (RAs) in the figures when determining average pay scales. As Imperial had a large number of RAs and as they were paid less than lecturing staff, this had produced an ‘average salary’ that bore no relation to the salaries actually paid to Imperial’s academic staff.

PADDINGTON WATERSIDE PROJECT (PAPER H)

36. Professor Green introduced Paper H and said that there had been considerable progress recently. Following a National Audit Office (NAO) Report the Paddington Scheme had been reviewed. At the same time, the possibility of a new site becoming available on the north side of the Basin had been raised in conjunction with a proposed land swap. As a consequence of these changes, a new configuration was now being proposed - the “Union Site Option”. The new scheme would be better for the College than the previous scheme as the New Imperial Building (NIB) would be adjacent to the present Medical School building and would not be embedded in an NHS building. This would mean that the College would be able to pursue a separate procurement route and avoid being part of the NHS PFI Project. Professor Green reported that the Outline Business Case (OBC) was now close to being submitted and the Council was therefore being asked to give delegated authority to the Imperial College Paddington Steering Board to approve the OBC on behalf of the College. Finally, he confirmed that the College’s financial commitments to the Project were as previously agreed by the Council and the NHS would still provide funding of £55.5M towards the NIB as previously agreed.

37. Sir Peter Gershon asked if the College would have to find the capital costs of the NIB now it would no longer be part of the NHS PFI. Professor Green said that the NHS had agreed to make a bullet payment of £55.5M, adjusted for inflation. Under the previous scheme, this would have been used to pay the PFI contractor. Under the new scheme, this payment would be used to meet Imperial’s capital costs. He reminded Governors that the total estimated capital cost of the NIB was £64M.
£55.5M would come from the NHS and £8.5M from Imperial. It was anticipated that Imperial’s commitment would be met from a charitable source although, because of the timescales involved and the constraints of Charity Law, the charity concerned was not allowed to confirm its contribution formally at this stage.

38. The Director of Estates, Mr Brooks Wilson, said that, given the extent of the changes, the new scheme would have to be scrutinised to see if it would involve additional costs for the College that were not covered by the agreed funding streams. He also noted that Treasury approval would be required for the new NHS plans.

39. The Honorary Treasurer, Dr. Knight, said that the land swap involved Chelsfield Ltd, which was also the subject of speculation concerning a possible take-over. He asked if this would affect the Project. Professor Green said that the detailed negotiations for the land swap were being taken forward by the NHS and Chelsfield and did not involve the College. However, he understood that the necessary assurances were being sought by the NHS’s professional advisors.

40. Mr. Gray said that, in his view, the new proposals were better for the College. The previous scheme would have involved the College in a complex PFI scheme over a long timescale, with Imperial as a minor partner. Although this was potentially achievable, the College would have had little control over the final outcome and it was likely that it would have turned out to be more expensive for Imperial. He thought that the new scheme would result in a better business case and a less expensive Project. Freeing the College from involvement in the PFI was also a major improvement for the College as this would allow Imperial to exercise a greater degree of control over both budget and timescale.

Resolved: That the Imperial College Paddington Steering Board be given delegated authority on behalf of the Council to review and approve the Outline Business Case for the Paddington Health Campus within the financial limits already approved by Council, and as set out in the Capital Investment Plan.

FINANCE MANAGEMENT REPORT (PAPER I)

41. The Director of Finance, Mr. Cannon, introduced Paper I, which included the provisional outturn for 2003-04. The College had generated a modest operating surplus which, when added to exceptional asset disposals, was likely to result in a net surplus of £15M. However, some additional provisions were being discussed with the external auditors which, if accepted, would reduce the surplus to £10.8M. Mr. Cannon went on to say that year-end adjustments had resulted in a further improvement in research income, which was now estimated at £168M. This was above budget and, more importantly, higher than in the previous year. There had, however, been significant shifts in the relative volumes achieved by each Faculty. Moving on, Mr. Cannon said that the College’s borrowing position was better than expected, as was its aged debt position. The College’s cash-flow was also very positive.

42. Mr. Gray noted that the Faculty of Engineering’s research volume was below budget and less than in the previous year and asked if this signalled a downward trend which the College would have to take into account in its future plans. Mr. Cannon replied that the actual figures for 2003-04 would be used to inform the budget setting process for the following year. Professor Dame Julia Higgins said that the Engineering and Physical Sciences Research Council’s funding had remained static
for two years. In contrast, the Government had significantly increased funding for the medical and life sciences research councils in the same period. It was likely therefore that the decline in research funding for Engineering at the College reflected a similar national decline. However, the introduction of full economic costing for research would benefit the College and improve overheads.

43. Mr. Gidoomal asked why the overheads achieved on EU funded research were so much lower than for other research. Dr. Eastwood responded that the EU currently provided very low overheads and that it would be unlikely to change its funding methods in line with the full economic costing that was being introduced in the UK. The Rector said that European universities were funded very differently from their UK counterparts. Consequently, the lower overheads paid by the EU did not cause them the same problems. The Chairman asked if this would result in a shift away from EU-funded research by UK universities. Dr. Eastwood said that this shift could already be observed and that it was likely to increase in the future.

BANK MANDATE: CITIZENS BANK (USA) (PAPER J)

44. Mr. Cannon introduced Paper J. The Bank of America had, he said, decided to withdraw from its London operations and, as the College needed to maintain a dollar checking account, it was proposed to open one with the Citizens Bank USA. Although the Bank’s standard resolutions required only a single signatory, Mr. Cannon advised that the College’s Financial Regulations would still apply and that therefore, as an internal matter, two signatories would be required to validate any cheques. On this understanding it was agreed that the account by opened with Citizens Bank,

Resolved: That the resolutions required by the Citizens Bank be approved, namely that:

(i) That the Authorized Representative(s) designated herein be, and they hereby are, authorized on behalf of Customer, acting singly, to execute, for the purpose of purchasing cash management products and services offered by Citizens from time to time, such applications, agreements, terms and conditions, schedules, service requests and related documents and amendments to such applications, agreements, schedules, service requests and related documents (each individually a “Cash Management Document” and collectively the “Cash Management Documents”) in such forms as may be provided and/or required by Citizens from time to time, and in so doing shall bind the Customer to the terms and conditions of the Cash Management Document(s) so executed. Without limiting the generality of the foregoing, such Authorized Representatives are authorized to execute on behalf of Customer the Cash Management Master Agreement, the Money Transfer Agreement, the Sweep Agreement, the TTAXplus Agreement, the PSA Master Repurchase Agreement and Service Requests for any cash management products and services offered by Citizens from time to time.

(ii) That Citizens be, and hereby is, authorized and directed to undertake and provide, on behalf of and for the account of Customer, any and all services, activities, and transactions described in any of the Cash Management Document(s) executed on behalf of Customer in accordance with these Resolutions. Such authority shall include,
without limitation, if applicable, authority to initiate and implement transactions of all types in accordance with the instructions of any person it reasonably believes to be an Authorized Representative, including debiting and crediting Customer's bank account(s) at Citizens and including transactions initiated by electronic transmission or by means of Internet or telephone banking; and, if Customer has executed a Sweep Agreement, purchase securities and make investments on Customer's behalf and repurchase said securities from Customer.

(iii) That any one or more of the individuals designated in the Money Transfer Agreement or in any Service Request, exhibit, or schedule thereto as Authorized Representatives shall be, and hereby are, authorized on behalf of Customer, acting singly, to initiate by signature, actual or purported facsimile signature, oral direction or other methods of transmitting instructions made available to Customer by Citizens, the transfer of funds by wire, telex, book entry or other means (hereinafter “wire transfers”) from any account of Customer, where permitted by Citizens, and to delegate in writing from time to time to other persons the authority granted hereunder to initiate wire transfers on behalf of Customer.

(iv) That the Customer assumes full responsibility for (a) the use of actual or purported facsimile signature(s) of any individual identified below as an Authorized Representative on any written communication of any type, including instructions for the payment or transfer of funds held for the account of Customer, which payments and transfers may be charged to the account of Customer regardless of by whom or by what means the actual or purported facsimile signature(s) may have been affixed or impressed; (b) the oral instructions of any individual identifying himself or herself to be an individual identified below as an Authorized Representative, Citizens being under no obligation to verify the identity of any such individual, provided Citizens acts in good faith; and (c) instructions given electronically pursuant to the terms of the Cash Management Documents without regard as to whether such instructions are submitted by an Authorized Representative unless expressly provided otherwise in any such Cash Management Document.

(v) That all appointments, designations, and delegations relative to the authority of any individual to act on behalf of Customer as set forth herein shall remain in full force and effect until Citizens' receipt of official written notice (accompanied by such evidence of the authority of the individual giving such notice as Citizens may reasonably require) of the revocation or modification of such authority; and that Customer shall, and by adoption of these Resolutions does, agree to indemnify Citizens against any claim resulting from payments made pursuant to, or action taken in good faith reliance upon, any authorization contained in these Resolutions, including any actions taken after a change in the ownership, membership, management or legal structure of Customer but before Citizens has actual notice of such change and a reasonable period to act upon such notice.

(vi) That any and all resolutions of Customer that are or may be in conflict with any of the foregoing be, and hereby are, revoked.
(vii) That the Authorized Representative(s) indicated designated below as having “Designation Authority” be, and they each hereby are, acting singly, authorized to designate in writing, using such form as Citizens may from time to time require, additional individuals who are empowered to act for and on behalf of Customer with the authority prescribed in these Resolutions.

APPOINTMENT OF THE HOLDER OF IMPERIAL COLLEGE’S CERTIFICATES OF DESIGNATION UNDER THE ANIMALS (SCIENTIFIC PROCEDURES) ACT 1986 (PAPER K)

45. The Principal of the Faculty of Medicine, Professor Smith, introduced Paper K. The Faculty had, he said, recently made some changes to the provision of its animal facilities following the completion of two separate reviews. It had been decided to separate the roles of the Head of Central Biomedical Services and that of the Certificate Holder, who would now be the Principal of the Faculty of Medicine. The Council was asked to note these changes and that the appointment of the Principal as the Certificate Holder had now been agreed by the Home Office.

46. The Chairman recognised that this was a difficult area and that the College had to ensure that its procedures complied fully with Home Office requirements. She was reassured that they had approved these new arrangements. Mr. Roche reminded Governors that the Health and Safety Audit Committee had recently visited the Central Biomedical Services facility at the South Kensington Campus and had been very impressed with its management arrangements. He suggested that it would be sensible to review the new arrangements after a year. The Chairman agreed, but said that this would be a matter for the Rector to take forward.

ANY OTHER BUSINESS

Admissions Benchmarks

47. Mr. Hearn asked if the College had any views on the recently published review of the extent to which universities were meeting their benchmarks for attracting working-class students. Dr. Eastwood said that the benchmarks had now been changed to take account of qualifications such as National Vocational Qualifications (NVQs), which the College did not accept. These had distorted the benchmarks. In fact, he said, the College had more entrants from state schools this year than it had ever had before. Mr. Able agreed that the regular manipulation of statistics meant that these benchmarks now had little validity.

Appeal Against Dismissal

48. The Clerk reminded Governors that Paragraph 27 (2) of the Appendix to the Statutes required any notice of an appeal by a member of academic staff against dismissal to be brought to the attention of the Council. He said that a member of the academic staff had been dismissed and, as was his right, had submitted an appeal against his dismissal which had been received by the College on 17 August 2004. The appeal would now be heard in accordance with the requirements of the Appendix to the Statutes.
REPORT OF CHAIRMAN’S ACTION TAKEN SINCE THE LAST MEETING OF THE COUNCIL

A Note by the Clerk

1. In July the Chairman approved by Chairman’s Action, on behalf of the Council, the College’s Annual Monitoring Statement, Corporate Planning Statement and Annual Financial Forecasts. These were then submitted to the Higher Education Funding Council for England in time to meet HEFCE’s deadline of 31 July 2004.

2. Copies of these Statements are attached for the information of Governors at Annexes A, B and C. The College’s Human Resources strategy, submitted to HEFCE in June, is also attached at Annex D for information as the Annual Monitoring Statement has been cross-referenced to this.

K.A.M.

Annexes:

A. Annual Monitoring Statement.
B. Corporate Planning Statement
C. Annual Financial Forecasts.
D. HR Strategy
Annex A

Annual monitoring statement 2004

Contact details:

Name of institution: Imperial College of Science, Technology and Medicine

Institutional contact name (to be used by HEFCE for all future correspondence relating to the AMS and CPS): Dr Rodney Eastwood

Position in institution: Director of Strategy and Planning

Telephone: 020 7594 7275

Email: r.eastwood@imperial.ac.uk

Sign-off (to be completed on paper copy only, by head of institution, or appropriate deputy)

I enclose the following submissions to HEFCE from the above institution:

• Completed annual monitoring statement template for 2003-04
• Corporate planning statement for 2003-04

Name (Head of institution or appropriate deputy): Sir Richard Sykes

Position in institution: Rector

Signed

Date: 28 July 2004
### Widening access and participation

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<tr>
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<td>1.</td>
<td>To continue to develop and refine the METRIC materials. In particular and where appropriate to complete the three-dimensional graphics classes. To write a series of bespoke materials for client departments, for use in the academic year 2003/04. To begin adding content on Complex Numbers, Partial Differentiation, Numerical Integration and 3D Vectors (for completion in 2004/05). To maintain, upgrade and port the materials as necessary. To seek new partner departments within Imperial College. In co-operation with the LTSN, to seek new partner departments in other HE institutions.</td>
<td>Three-dimensional graphics classes were completed. Bespoke materials were written on Complex Numbers, Differential Equations, Partial Differentiation, Numerical Integration and Vectors. A number of additional features were introduced: a mySQL database was set up to drive navigation; logging of student answers was introduced; a search facility was added; a Teacher’s Guide was created; a Graphical Exercise class was developed. The materials were piloted in the Department of Materials. New partner departments were found for next year, namely: Department of Chemistry, and the whole Engineering Faculty (which comprises of 10 departments; around 1000 students will use METRIC in some capacity). Materials have also been installed at the University of Huddersfield</td>
<td>To complete the coverage of major first year topics, oversee the implementation in partner College departments and seek more partners in other HE institutions. To seek additional funding from JISC to allow further technical development in the direction of Open Tools.</td>
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## Widening access and participation

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<td></td>
<td></td>
<td>where they are to be used by students in a pilot study. Other HE institutions have expressed a wish for formal quizzes and course management structures.</td>
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</table>

### Aspiration funding

2. Aspiration Funding

To continue to expand and refine the portfolio of activities designed to raise aspirations in line with demand from schools and boroughs. To develop existing partnerships and nurture new ones to ensure the success of these initiatives. In particular to augment the programme through the continued involvement of the Aim Higher clusters, industry, learned societies, independent research institutes and others.

Activities have expanded at a rapid rate. We are now working with 33 London Boroughs as well as many areas of the UK, for example Huddersfield, Durham and Doncaster. Overall in excess of 50,285 students have been involved in events compared with a target of 48,777.

Activities supported by the aspiration funds have become embedded into core College activities and will continue beyond the final year of HEFCE funding. The Widening Participation Officer and Assistant posts are permanent positions and the...
## Widening access and participation

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<td></td>
<td></td>
<td></td>
<td>College will carry on with an extensive range of programmes to raise aspirations. For example, the School and College Visit Programme has been so successful other members of the team are being trained to meet the need.</td>
<td></td>
</tr>
<tr>
<td>3. Aspiration Funding</td>
<td>Target number 170.</td>
<td>Year 6/7 Gifted and Talented Summer School (7 days). Target Number of Students/Teachers from EIC or EAZ areas and London boroughs of Greenwich, Lewisham and nationally into schools in Huddersfield in 2003-2004: 170 year 6/7 students.</td>
<td>A total of 200 year 6/7 students attended the Gifted and Talented (G&amp;T) Summer School.</td>
<td></td>
</tr>
<tr>
<td>4. Aspiration Funding</td>
<td>Target number 500.</td>
<td>Technogames' Robotics Workshop (1day). Target number 500 year 5-13 students.</td>
<td>A number of Science and Technology Days were held on Robotics and other topics such as the Venus Transit. A total of 404 students attended.</td>
<td></td>
</tr>
<tr>
<td>5. Aspiration Funding</td>
<td>Target number 450.</td>
<td>Year 8/9 Gifted &amp; Talented Summer School (1 day). Target number 450.</td>
<td>A total of 104 students attended two Gifted &amp; Talented events. One on</td>
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### Widening access and participation

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<td>6. Aspiration Funding</td>
<td>Target number 240.</td>
<td>GETSET (Girls Entering Tomorrow's Science, Engineering &amp; Technology) - (1 day). Target number 240 year 9 students.</td>
<td>A total of 250 students attended GETSET.</td>
<td>Robotics and one on DNA.</td>
</tr>
<tr>
<td>7. Aspiration Funding</td>
<td>Target number 240.</td>
<td>BETSET (Boys Entering Tomorrow's Science Engineering &amp; Technology) - (1 day). Target number 240 year 9 students.</td>
<td>A total of 250 students attended BETSET.</td>
<td></td>
</tr>
<tr>
<td>8. Aspiration Funding</td>
<td>80 (funding dependent).</td>
<td>Year 11 Summer School (Residential) - 1 week. Target number 80 year 11 students (subject to HEFCE funding).</td>
<td>A total of 220 year 10 and 11 students attended a one week Summer School.</td>
<td></td>
</tr>
<tr>
<td>9. Aspiration Funding</td>
<td>60</td>
<td>Master classes in Science &amp; Engineering (Residential) - 2 weeks. Target number 60 year 12 students.</td>
<td>A total of 204 students attended master classes in Science and Engineering (24 in Medicine and 180 on the Green Design Challenge course). Also, two Imperial Nuffield Bursaries were awarded which provided 4 and 6 week placements in Engineering and Biochemistry.</td>
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### Widening access and participation

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<tr>
<td>10. Aspiration Funding</td>
<td>180</td>
<td>WISE (Women into Science &amp; Engineering) Residential -(2 days). Target number 180 year 12 students.</td>
<td>The target was met, with 180 students attending the 2-day WISE course. The course operated in all departments.</td>
<td></td>
</tr>
<tr>
<td>11. Aspiration Funding</td>
<td>5000</td>
<td>Pimlico Connection Student Tutoring Scheme. Target number 5000 years 5-12 students.</td>
<td>3,000 students were involved and each had 17 weeks of experience. Hence totalling 51,000 student experiences.</td>
<td></td>
</tr>
<tr>
<td>12. Aspiration Funding</td>
<td>35000</td>
<td>Demonstration Lectures. Target number 35000 year 5-12 students. (Tens of thousands reached through webcast and broadcast.)</td>
<td>The use of the medium of video streaming meant that student numbers in excess of the target 35,000 received a demonstration lecture.</td>
<td></td>
</tr>
<tr>
<td>13. Aspiration Funding</td>
<td>12</td>
<td>Science and IT for Teachers course. Target number 12 teachers.</td>
<td>A total of 12 teachers from Islington attended a Science and IT for Teachers course (INSET day).</td>
<td></td>
</tr>
<tr>
<td>14. Aspiration Funding</td>
<td>35</td>
<td>Masterclasses in Demonstration Lectures for Teachers, covering diverse subjects from robotics to chemistry. Target number 35 teachers.</td>
<td>The Masterclasses were advertised and there was initial interest. However no classes were run, as teachers were unable to secure the time to attend.</td>
<td></td>
</tr>
<tr>
<td>15. Aspiration Funding</td>
<td>50</td>
<td>Residential Summer School for FE students (50) in conjunction with the IC METRIC programme and the Sutton Trust.</td>
<td>This course did not run due to lack of sponsorship but has been replaced with different activities. For example increased e-</td>
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## Widening access and participation

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<tr>
<td>16. Aspiration Funding</td>
<td>Target number 50 FE Students.</td>
<td>Masterclasses and increased Advanced Extension Award Masterclasses.</td>
<td>A total of 364 students were involved, with 280 students visiting the College and 84 taking part in an e-MasterClass.</td>
<td></td>
</tr>
<tr>
<td>17. Aspiration Funding</td>
<td>Advanced Extension Award Master classes for Year 13 Students. Target number 600 Year 13 students.</td>
<td>A total of 67 students attended masterclasses.</td>
<td>A total of 364 students were involved, with 280 students visiting the College and 84 taking part in an e-MasterClass.</td>
<td></td>
</tr>
<tr>
<td>18. Aspiration Funding</td>
<td>Masterclass for Year 5 students. Target number 120 year 5 students.</td>
<td>A total of 30 year 10 students from Durham attended a residential summer school to study Biochemistry.</td>
<td>A total of 67 students attended masterclasses.</td>
<td></td>
</tr>
<tr>
<td>19. Aspiration Funding</td>
<td>Residential Summer School for Year 10 students from the North-East. Target number 40 year 10 students.</td>
<td>An information evening was held for 80 parents and teachers from Hammersmith and Fulham.</td>
<td>A total of 364 students were involved, with 280 students visiting the College and 84 taking part in an e-MasterClass.</td>
<td></td>
</tr>
<tr>
<td>20. Aspiration Funding</td>
<td>To continue to market the activities programme in schools. To develop the programme in light of the needs of schools, boroughs and other key stakeholders.</td>
<td>A number of discussions have taken place with other HEIs (including LSE, UCL and Kings College London) about the possibility of expanding the Student Tutoring Scheme. A formal</td>
<td>An information evening was held for 80 parents and teachers from Hammersmith and Fulham.</td>
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<tr>
<td>21. Aspiration Funding</td>
<td>To continue to coordinate Widening participation activities across the College.</td>
<td></td>
<td>collaboration is not yet established and discussions will continue. The College will also look to start discussions with other HEIs.</td>
<td></td>
</tr>
<tr>
<td>22. Aspiration Funding</td>
<td>To continue the School and College Visit Programme. To visit 80 schools and colleges. To have contact with 6000 students.</td>
<td></td>
<td>60 schools have been visited with 64 repeat visits, the total number of students reached is in the region of 10,000 and about 500 parents have been involved.</td>
<td>The success of this programme is such that the demand for visits is overwhelming, we are training other members of the team to meet the need.</td>
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**Mainstream disability premium**
# Widening access and participation

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<td>23. Mainstream disability premium</td>
<td>College Disabilities Officer. To continue to provide a full range of support and guidance to students or applicants with disabilities.</td>
<td>A full range of support services has been maintained and this has been at the higher level of contact that was established last year during 2002-03.</td>
<td>To continue to provide a full range of support and guidance to students and applicants with disabilities.</td>
<td></td>
</tr>
<tr>
<td>24. Mainstream Disability Premium</td>
<td>To continue to work with other HEIs in the College vicinity to provide support for students with disabilities. To further develop the relationship with the Royal College of Art in this area. To continue to recruit disability officers in academic departments. To continue with the review of the College Disability Statement. To continue to participate in appropriate College networks.</td>
<td>The College has continued to work with its neighbouring HEI's – The Royal College of Music and the Royal College of Art. 3 students from these HEI's are living in Imperial College London's halls of residence and are co-operatively supervised relevant to their disabilities. Within Imperial College London the network of department based Disability Tutors has been maintained and expanded.</td>
<td>To further enhance and maintain networks within and external to Imperial College London. To influence the work of others within College, particularly through HR. Continued monitoring and enhancement of the College Disabilities Statement.</td>
<td></td>
</tr>
<tr>
<td>25. Mainstream Disability Premium</td>
<td>To continue to raise awareness throughout the College of disability issues.</td>
<td>The Learning to Learn booklet has been completed and published for dyslexic students. The Disabilities Officer continues to be involved in College activities to raise awareness amongst staff and students of disability issues including raising awareness of dyslexia and</td>
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<tr>
<td>26. Mainstream disability premium</td>
<td>To continue to ensure that disabilities issues are taken into account in refurbishments and new build projects on the College's campuses.</td>
<td>Asperger Syndrome. She is involved in the College induction programme for new staff and College Open Days. Regular meetings with College tutors take place.</td>
<td>The Disabilities Officer advises the Estates Division and its contractors on all aspects of disability in its new build and re-furbishment projects. To further bolster this, a DDA Access Working Group has been formed to oversee and prioritise works highlighted in the College access audit of its Estate. The College Disabilities Officer is a key member of the committee.</td>
<td>To continue to work with Estates Division staff and contractors, including architects in refurbishments and new build projects.</td>
</tr>
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</table>

**Summary of race equality and diversity priorities related to widening access and participation:**

The College has a diverse student population. For those students who have disclosed their ethnic group 38.8% are non-white and represent 12 separate ethnic groups. Of these the largest groups are the Indian and Chinese population with 12.3% and 8.1% respectively.

Priorities relating to widening participation are covered within the College Code of Practice for Teaching, Widening Participation and Student Services. These tie in with the College’s Widening Participation strategy. The key priorities, shown in italics below, include:
Student recruitment

To continue to admit to the College, students of the highest academic ability and motivation. In pursuing this end the College does not discriminate against any person on the grounds of race, background or gender.

Raising aspirations

To continue to raise the aspirations of all students from lower socio-economic groups and communities, which include those from ethnic minorities and particularly those who are Black British or Afro-Caribbean who are currently under-represented. The Widening Participation Officer and team visit schools and colleges to inform sixth form students about applying to higher education and to provide practical guidance. Sixty schools and 10,000 pupils have been visited in 2003-04 and about 500 parents have been involved. A number of widening participation projects are underway. These are designed to encourage state school students, including those from ethnic minority backgrounds, to fulfil their potential, e.g. INSPIRE, METRIC, Pimlico Connection Student Tutoring Scheme, Student Shadowing, and E-mentoring schemes. These activities are to continue in future years and due to the success of the School and College Visit Programme other staff members are being trained to meet the increased demand. [Please see AMS response for Aspiration Funding.]

Admissions

To continue to ensure that the admissions process is implemented in accordance with the equal opportunities policy. Training courses for those involved with admissions have been held, for example two training sessions on student recruitment for the College's Undergraduate Medical Office, which included race equality and diversity issues. Guidance notes on equality and diversity issues have been produced for those involved with admissions, and have been widely distributed, including on the Intranet. The application and admissions processes are monitored with information being collected on the number of applications, offers and acceptances by ethnic group. This will continue on an annual basis.

Accommodation

To ensure fair and equal practices in allocating residential accommodation to students. Accommodation is allocated to students using non-discriminatory criteria. A Residences Diversity Committee has been formed, following a number of Diversity workshops in the department, to promote equality and diversity, including on the basis of race. This meets regularly to disseminate current and proposed diversity and equal opportunity legislation and discuss related issues. Diversity issues are a standard agenda item. Materials to increase diversity and equality awareness, including race, have been purchased and distributed to the Accommodation Office for use by students and staff e.g. cultural diversity guides. “Respect for Others” leaflets, which include race issues, are distributed to each study bedroom at the start of each year. Information packs, and diversity materials will continue to be added to and widely distributed in 2005 and annually thereafter.
### Widening access and participation

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### Participation

*To ensure the needs of all students have been identified and catered for.* The College has taken a number of steps to address this. Prayer rooms have been made available, and catering and food provision have been taken into consideration. There are also over 30 diverse student clubs and societies, which will be extended to alumni in 2005.
## Learning and teaching

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<td>1. Consolidation and further development of capability and activities of Imperial College Centre for Educational Development (ICCED)</td>
<td>To ensure the continued good reputation of ICCED. To be measured through attendance at workshops and feedback, including minimum of one new ICT workshop per year and development of web-based 'Open Learning'. Reported in annual evaluative report.</td>
<td>Formal and informal evaluations continue to be positive and attendance at workshops continues to rise. Statistics will be completed in July. New workshops on using WebCT have been introduced. The web site has been migrated to a new format and overall hit rates have increased; 'Open Learning' as a title is not sufficiently explanatory of the web site's content, so a new title 'Tell me about...' is to be adopted.</td>
<td>To ensure the continued good reputation of CED. To be measured through attendance at workshops and feedback, including minimum of one new ICT workshop per year and development of web-based 'Tell me about...'. Reported in annual evaluative report.</td>
<td></td>
</tr>
<tr>
<td>2. Continuous improvement of learning and teaching through development activities, e.g. CASLAT, training workshops and membership of the ILTHE.</td>
<td>To continue to monitor attendance and feedback as above, and membership.</td>
<td>Please see above. CASLAT continues to recruit beyond its target numbers, with an intake of 21. 20 ILTHE applications and/or memberships were funded up to June 2004. Others are believed to be in the pipeline.</td>
<td>No change – as per the Learning &amp; Teaching strategy.</td>
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<tr>
<td>3. Training and support for The Supporting Learning</td>
<td>To ensure a good uptake</td>
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No change – as per the Learning & Teaching strategy.
**Learning and teaching**

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<td>those who assist with student learning but are not full-time academics, including updating of medium and message of generic materials for GTAs.</td>
<td>and good evaluation of programme. To commence a review of GTA material.</td>
<td>and Teaching Programme recruited well and feedback is positive. Innovations and improvements have been introduced, including adapting to a 10-month programme running over an academic year. A survey of GTA trainers has identified which materials are most used. GTA views will be collected during Graduate School open days in July 2004. Assessment will be included in the new materials.</td>
<td>Learning &amp; Teaching strategy.</td>
<td></td>
</tr>
<tr>
<td>4. Consolidation of the successful Teaching Development and Research Grant Scheme.</td>
<td>To receive a number of good applications (at least 12 per annum) as judged against the assessment criteria.</td>
<td>Nineteen high quality applications have been received: 6 TRG (4 awards made) and 13 TDG (11 awards made).</td>
<td>No change – as per the Learning &amp; Teaching strategy.</td>
<td></td>
</tr>
<tr>
<td>5. Wider use across the College of successful innovation in teaching, for example the use of peer tutoring or improved</td>
<td>To be measured by the uptake and how the funds contribute to good practice within faculties.</td>
<td>See below (5a to 5d)</td>
<td></td>
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4. Consolidation of the successful Teaching Development and Research Grant Scheme.

To receive a number of good applications (at least 12 per annum) as judged against the assessment criteria.

Nineteen high quality applications have been received: 6 TRG (4 awards made) and 13 TDG (11 awards made).

No change – as per the Learning & Teaching strategy.

5. Wider use across the College of successful innovation in teaching, for example the use of peer tutoring or improved

To be measured by the uptake and how the funds contribute to good practice within faculties.

See below (5a to 5d)
Learning and teaching

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<td>assessment methods, and the development of interdisciplinary courses.</td>
<td>5a. Wider use across the College of successful innovation in teaching, for example the use of peer tutoring or improved assessment methods, and the development of interdisciplinary courses.</td>
<td>Seminars continued and they have given rise to two major initiatives: (1) a review of how we teach undergraduate engineering and (2) a review, and subsequent implementation of change to the teaching of mathematics in engineering.</td>
<td>To focus work on the two major initiatives: (1) To review the teaching of engineering over a 12-month period and (2) to implement revisions to the teaching of mathematics in engineering.</td>
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<td></td>
<td>Faculty of Engineering: To hold lunchtime seminars for a maximum of 30 staff per event, with internal and external speakers, who have devised and implemented innovative teaching in engineering areas. To describe and engender discussion of examples of good and successful practice that could be replicated.</td>
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<td>5b. Wider use across the College of successful innovation in teaching, for example the use of peer tutoring or improved assessment methods, and the development of interdisciplinary courses.</td>
<td>Faculty of Life Sciences: To extend the successful peer review of teaching scheme initiated in Biology in 2001-2, to include all undergraduate and postgraduate teaching across all departments of the Faculty. Funds to be used to run workshops for</td>
<td>In addition to these activities, the Faculty of Life Sciences set out to develop an online learning portal for 1st year Biology students.</td>
<td>To focus work on the online learning portal. More material to be added to the portal from all departments as staff become more aware of this means of reaching students. This will include learning support and student support materials.</td>
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<td>Faculty of Life Sciences:</td>
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<td>reviewers and cover transport costs between sites, ensuring good practice in all the interdisciplinary courses in the Faculty. Workshops and meetings from 2003 onwards will also be used to include review of examination processes in two departments with a view to better integration.</td>
<td>technology. All information relating to the course is now available in one place. The portal is accessible from any web-enabled PC using a secure sign-on. Students have reported that the portal is easy to use.</td>
<td>5c. Wider use across the College of successful innovation in teaching, for example the use of peer tutoring or improved assessment methods, and the development of interdisciplinary courses. <strong>Faculty of Medicine:</strong> The Faculty Teaching Fellow to undertake development work on the BSc. component of the MBBS/BSc. to cope with increasing student numbers. In addition to these ongoing activities, the Faculty of Medicine decided to initiate a project to devise and assess the feasibility of introducing a core skills competency curriculum for Year 3 medical students. <strong>BSc. development work:</strong> Four Project Taught Course Alternatives (PTCA) have been developed and will run in 2004/05. Links with universities in Brazil and Japan have been developed, with the first BSc. students going to Japan in 2004/05. <strong>Year 3 core skills:</strong> An initial set of core skills have been drawn from existing resources for To focus work on the Core Clinical Competencies Project. To construct an outline programme in Core Clinical Competence.</td>
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<td>5d. Wider use across the College of successful innovation in teaching, for example the use of peer tutoring or improved assessment methods, and the development of interdisciplinary courses.</td>
<td>Faculty of Physical Sciences: To hold lunchtime seminars for a maximum of 30 staff per event, with internal and external speakers to describe and engender discussion of examples of good and successful practice that could be replicated</td>
<td>The Faculty Teaching Committee arranged three seminars: ‘Humanities teaching within Sciences’, ‘Maths Preparedness’ and ‘Integrating Transferable Skills’. All were well received and stimulated discussion on ways forward. A teaching Away Day was also arranged to discuss, debate and share best practice on the effects of the recently introduced changes to school-level mathematics and the apparent lack of appropriate maths knowledge in new students. A speaker from the QCA provided insight into these changes.</td>
<td>No change – as per the Learning &amp; Teaching strategy.</td>
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6. Development of e- To fund a part-time person A part-time web support Funding of the part-time
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<td>Learning to support more traditional methods of learning and teaching</td>
<td>in ICT to support e-learning. To establish the second group of e-learning pilots and other initiatives.</td>
<td>officer has been employed in the ICT Division. Four new e-learning pilot projects have started. The College's first e-Learning symposium was held in June 2004 and generated a lot of interest in activities across the College. Due to high demand, the WebCT licence has been upgraded to the campus version.</td>
<td>post and activities to rollout WebCT will continue. In addition, in response to the growth in awareness and interest in e-Learning across the College, new initiatives for the use of learning technology will be developed eg. in delivering a planned module on Financial Engineering as part of the MSc in Mathematics and Finance</td>
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7. Development of the Personal Development Planning (PDP) part of the Progress File on the Web. To further refine the file and make it available to all new undergraduates, and with continuing accessibility throughout the period of study. Following feedback, promotional material for personal development planning has been rewritten and will be embedded in Departmental handbooks. PDPs are now particularly promoted through careers activity in departments. It should also be mentioned that the College's PDP web pages at www.imperial.ac.uk/ice | No change – as per the Learning & Teaching strategy. |
## Learning and teaching

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<td>8. Raising the visibility and co-ordination of services available to support and enhance the welfare of students and their learning.</td>
<td>See below.</td>
<td></td>
<td>regularly attract favourable comment from other universities still developing their PDP programmes.</td>
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<tr>
<td>8(a) A one-stop shop web page providing links to information about all learning support</td>
<td>To develop a technically sound, well-used URL. To develop in year 1 and then update and monitor hits, aiming for 10% of student population in year 2.</td>
<td>The website has been significantly enhanced and recently moved to a new location to facilitate regular updating and monitoring. Its new format and location have been extensively publicised by a variety of means, including posters. There were in excess of 600 hits to the new site to the end of May 2004. Planning has been undertaken for publicising website to freshers in the Autumn.</td>
<td>In addition to existing targets, a target has been set to enhance the publicity of the site during 2004/5.</td>
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<td>8(b) A student card with</td>
<td>To develop and produce an</td>
<td>25,000 copies of the</td>
<td>To focus work on two</td>
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8(b) A student card with
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<td>welfare information</td>
<td>appealing and informative card.</td>
<td>student card were printed in 2003/4 and planning for new publicity materials has been undertaken. Additionally, the Student Counselling Service began work on new posters and a leaflet.</td>
<td>activities: (1) to update and produce the student card and (2) to finalise the production of new posters and leaflet.</td>
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<tr>
<td>8(c) Development of student advice centre located in Beit Hall particularly through improved staffing</td>
<td>To monitor through usage data and the examples of usage.</td>
<td>Data have been obtained on individual student and group usage of the student advice centre, e.g. in the two month period, January and February, there were 76 individual student appointments and 15 enquiries about the Centre's resources.</td>
<td>No change – as per the Learning &amp; Teaching strategy.</td>
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<tr>
<td>8(d) Academic Representative training in light of new institutional structures</td>
<td>To run residential training with follow-up events. Targets of 50% of elected academic reps in the first year, rising to 75% in the third year.</td>
<td>Residential training was held at the start of the academic year with almost all representatives in attendance. A comprehensive programme of events is being developed for</td>
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<td>No change – as per the Learning &amp; Teaching strategy.</td>
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<td>8(e) Part cost of continuation of post for ICU of Student Activities Co-ordinator - created as part of previous strategy</td>
<td>To continue the post and hence lead to better supported sabbaticals and students.</td>
<td>The post has now become a senior management post within the Union, responsible for the management of all student services. This includes support for all clubs and societies' activities, training of all union officers (including academic representatives) and health and safety management within the Union.</td>
<td>No change – as per the Learning &amp; Teaching strategy.</td>
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<tr>
<td>8(f) Continued work to raise awareness and support disability issues in relation to learning and teaching</td>
<td>To continue training sessions on disabilities issues, with one general training session per year and one awareness-raising event, aiming for 25 attendees each. With regard to dyslexia, to raise</td>
<td>Several awareness raising sessions have been run, including one on Mental Health, which had good attendance. A workshop on teaching and assessment was well received and was attended by 22 participants.</td>
<td>To focus work on the purchase, production and dissemination of hardcopy information on/for specific learning difficulties.</td>
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<p>|          | awareness and recognition, and to increase knowledge of successful teaching and assessment techniques, through training and one-to-one advice targeted at those with specific roles (e.g. admissions tutors) within faculties. | Specific advice continues to be given and admissions tutors will meet as a group in the Autumn to address issues in relation to dyslexia and Asperger's syndrome. | 8(g) Compulsory workshop for probationary lecturers on 'Personal Tutoring' | The Personal Tutoring workshop ran 3 times in 2003/4. Total attendance was 52 persons (compared with 45 in 2002/3). No change – as per the Learning &amp; Teaching strategy. |
|          | 8(h) Enhancement of the English Language Support programme for overseas students, including longer pre-sessional courses and more courses during year | 1. Several new in-sessional activities were piloted this year to increase student numbers taking part. An increase in student numbers did result, although, patterns of attendance fluctuated. 2. Concern about the significant increase in incoming students' writing | | 1. To report the recommendations of the non-native MSc writing survey to the Graduate School of Engineering and Physical Sciences (GSEPS) and the Graduate School of Life Sciences and Medicine (GSLSM) for possible |</p>
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<td>with improvements in reporting, increase in number of classes and more flexible timetabling in addition to materials development.</td>
<td>difficulties has created the need for a survey of non-native MSc students’ writing. Final results are due over the summer. 3. Revision of the start of year English test for MSc students is underway for 2004/05 entry. 4. Tracking the performance of the 2002/03 pre-sessional MSc cohort.</td>
<td>initiatives in ELSP and action to increase the college entry requirement. 2. To report to individual departments on in-coming students' October test results, as is currently done with PhD students. 3. To pilot initiatives/ formats, e.g. short courses, department specific small groups, weekends etc, to include materials development and additional p/t teachers. 4. To report 2004/05 progress to Graduate Schools and LTS Management Group and plan larger programme for 2005/06.</td>
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<tr>
<td>8(i)</td>
<td>To undertake Preparatory, exploratory work for making 'Learning to Learn' made available in X-HTML for local use on</td>
<td>Consultation, discussion and experience have shown the preferred model to be a pdf version on the Centre’s web site with links made</td>
<td>To focus work on making 'Learning to Learn' available in pdf format on the Centre’s website. In addition information to be</td>
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### Learning and teaching

#### Activity 2003-04 activities and targets

- Faculty teaching intranets where these exist.
- Update or clarification of 2003-04 targets where appropriate
- Progress against activities and targets
- 2004-05 activities and targets

- From local websites. This will be technically feasible, able to reflect the annual updating of ‘Learning to Learn’ and avoid the risk of ‘local versions’ developing. (The paper-based version will co-exist.)
- Sent to departments/divisions to encourage local links to be made.

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<td>9. Development of ‘taught training’ on generic topics for postgraduate research students</td>
<td>See below.</td>
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<tr>
<td>9(a) Part funding to GSLSM to support and develop its existing programme</td>
<td>To achieve an effective workshop training programme, with an increase from 9 to 14 titles and the number of registered students increasing by 10% in 2002/3 (346 in 2001/2), and to continue at these levels (GSLSM). To concentrate on developing optional and train the trainers courses.</td>
<td>The range of workshops has continued to be developed, increasing from 15 titles in 2002/03 to 18 in 2003/04. The number of students registered has increased by 5%, from 429 in 2002/03 to 450 in 2003/4. Training the trainer activities have taken place, with support from the UKGRAD programme, enabling 10 academic staff members to attend Teamwork Development Tutor</td>
<td>No change – as per the Learning &amp; Teaching strategy</td>
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<td>9. (b) Part funding to GSEPS to support and develop a new programme</td>
<td>The new graduate school (GSEPS) to launch a programme of 6 core courses, modelled on the successful GSLSM programme. To consolidate and expand in subsequent years, including the development of 'optional' and train the trainers courses.</td>
<td>The graduate school (GSEPS) has been fully operational in 2003/04. The GSEPS has offered 6 core courses and 28 optional titles during the year. Over 750 students have attended at least one course; over 2000 course places have been taken up (up to April 2004). Additional trainers have been trained in delivery of teamwork and Myers Briggs workshops.</td>
<td>To focus work on the continued delivery of first year research students attend 3 core courses prior to transferring to an MPhil/PhD. To continue to add optional titles to the suite of courses, and continue to increase the pool of trainers, using train the trainer workshops where possible.</td>
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<tr>
<td>10. Development of College-wide good practice in quality assurance for postgraduate teaching, training and supervision, including adaptation of the electronic survey</td>
<td>To develop the electronic survey for wider use.</td>
<td>The Student On Line Survey [SOLE] continues to be robust and can now be accessed through the public internet, using the College log-in. A Research On Line Survey [ROLE] enabling research students to evaluate the research experience has been developed and will be piloted in 2 departments.</td>
<td>No change – as per the Learning &amp; Teaching strategy.</td>
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<tr>
<td>10. Development of College-wide good practice in quality assurance for postgraduate teaching, training and supervision, including adaptation of the electronic survey</td>
<td>To develop at least 4 postgraduate reviews per year. To include international personnel in QA reviews.</td>
<td>During 2003-04 research training provision in four departments has been reviewed, with more reviews due before the end of the session. The first faculty review of postgraduate teaching will take place in the Faculty of Medicine. It is also due before the end of the session, and will include international personnel.</td>
<td>No change – as per the Learning &amp; Teaching strategy.</td>
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<tr>
<td>10. Development of College-wide good practice in quality assurance for postgraduate teaching, training and supervision, including adaptation of the electronic survey</td>
<td>n/a</td>
<td>In addition to original targets the College will work to enhance the dissemination and communication of teaching quality assurance procedures, particularly by creating well-designed web-based summaries.</td>
<td>n/a</td>
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<tr>
<td>11. Enhancing the profile of learning and teaching</td>
<td>To ensure the continued good reputation of College for teaching.</td>
<td>Evidence from Imperial's standing in League tables, 'A' level grades on entry, external examiner reports and quality reviews, continues to show the good reputation of the College for teaching. New criteria have been introduced for promotion within the Education and Research job family that gives greater emphasis to teaching.</td>
<td>No change – as per the Learning &amp; Teaching strategy.</td>
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<tr>
<td>12. Support for the Centre for Continuing Education (CCE) to raise its visibility on the web, integrate information on CPD across the College and evaluate opportunities for possible synergy between award and non-award bearing courses</td>
<td>To enhance visibility, externally, by establishing links to other university providers, and internally to other internal providers. To install site counter and record visitor numbers and measure traffic, between Imperial sites.</td>
<td>External links have been established via the CLUSTER network and the UACE Life Long Learning UK web ring to other European and UK university providers. Links have also been made to other internal CPD providers. All the links have provided a useful resource for site visitors. Additional CPD resources will be continually updated.</td>
<td>To develop an e-learning facility using WebCT for course delegates, providing an online resource, i.e. discussion forum, pre and post course materials, surveys and evaluations, enhancing their experience from attending the course.</td>
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<td>A comprehensive site statistics tool on the home page is in place, providing valuable information on web page traffic and visitors’ demographical information</td>
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Summary of race equality and diversity priorities related to learning and teaching:

Priorities relating to learning and teaching are covered within the College Code of Practice for Teaching, Widening Participation and Student Services. Various areas are identified as priority areas for ensuring equal opportunity.

To promote the College’s race equality and diversity strategy

As for last year, the College provided a mechanism for both students and staff to raise any issues, including, if relevant, those relating to discrimination. Each was allocated a personal tutor and personal supervisor, respectively. In addition to this the Annual Freshers’ Handbook contained information on equal opportunities policies, complaints, and sexual and racial harassment procedures. These two activities will be continued next year. The Equal Opportunities Policy will be reviewed and a Harassment Policy for Students will also be developed.

Complaints’ procedures have been communicated across the College, for example Disciplinary/ Grievance Procedures and the distribution of “Respect for All” leaflets, which include items relating to racial discrimination. The College’s position on harassment and equality has been communicated widely with 11 Diversity (Stakeholder) workshops run in 2003-04 for staff in residences and support services. ‘Respect for others’ posters and Support Network booklets have been distributed across all campuses. In addition to this 20 staff have been fully trained to provide informal, confidential support to staff and students who feel they are being harassed or bullied, for whatever reason. Male and female College Counsellors are also available for students wanting to raise informal complaints and seek advice and early resolution.
In 2004-05 the Diversity & Equal Opportunities Consultant will deliver training and briefings to new representatives, as well as training 4-5 Student Union representatives to become ‘harassment support contacts’. Ten staff members will be trained as mediators/facilitators to mend or restore relationships where conflict has arisen. In September 2004 a Promoting Race Equality Committee to cover both staff and students will be established to advise on the College’s race equality strategy and action plans, to review the impact of race equality policies on College activities and services and to disseminate good practice. This will be a sub-committee of the Equal Opportunities and Diversity Committee.

To raise awareness of equality and diversity issues
Building on activities in 2002-03 the College has continued to raise awareness of equality and diversity issues. The College's Centre for Educational Development (CED) provides a one-day core workshop "Becoming a Personal Tutor" which probationary academic staff are required to attend. The workshop includes references to College policies on racial and sexual harassment. Additionally, attendees are provided with an opportunity to meet with a number of staff, such as the Disabilities Officer and College Tutors, who have experience of dealing with a range of student problems. These could be related to race equality, academic or disability issues. During the workshop participants work through case studies that incorporate such issues, highlighting where support and advice can be found for both tutors and students. In addition to this, the College’s CED acts as a dissemination point for good practice. Over the next year the CED will continue to provide the one day workshop "Becoming a Personal Tutor", which will remain a requirement for all probationary academic staff. This will continue to include the subject of race equality and diversity as well as other issues relating to discrimination.

An annual half-day training session on equal opportunity and cultural issues for student appeal panel members was held to ensure students are treated fairly and that students’ cultural background and personal responsibilities are supported. A training session is planned for August 2004 for 8 new panel members.

Equality and diversity briefing sessions on the RRAA have been held with senior staff and Council members, outlining their responsibilities to both staff and students. Further sessions for senior managers, Heads of Department and Council members are planned for 2004-05.

To consider the review of course design materials to ensure they promote racial equality
The CED has amended a long running workshop on Course Design which is compulsory for all new academic staff. Tutors discuss with participants how they will ensure their course design and practice promotes equality, is inclusive and is not discriminatory, including against race. In 2004-05 the CED will continue to run the compulsory Course Design workshop for new academic staff, which raises awareness of race equality and diversity.
Learning and teaching

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issues. In addition to this, the Equalities & Diversity Consultant will continue working with the Staff Development and Centre for Educational Development Units to review training materials on course design and delivery to ensure they include diversity and equality aspects. Workshops and guidelines are to be developed further as we learn from experience in areas of health, religion, and cultural accommodation, e.g. bereavement. Work is also being carried out for local divisions, e.g. diversity workshops for the UMO (undergraduate medical office), covering recruitment and selection of students, harassment, and race relations amendment duties.

To monitor data relating to ethnicity and diversity

Building on the preparatory work in 2002-03 a formal process has been established to monitor data relating to ethnicity and diversity issues. Reports are prepared annually for the Equal Opportunities and Diversity Committee (EO&DC) on a number of subjects. For example, appeals against the Board of Examiners, student complaints, student withdrawals, student applications and degree awards by ethnic group. This allows race equality and diversity to be monitored and highlights possible inequalities, which can then be addressed. The EO&DC will continue to monitor data relating to ethnicity and diversity issues and will take action on all forms of unlawful racial discriminatory activities. There will be regular review and development of equality and diversity policies, processes, and procedures. These reviews will include consideration of racial equality and diversity. E.g. A review of equal opportunity policies for staff and students by the Promoting Race Equality Committee in 2004/05.

To strive towards increased representation from minority groups in student-related committees

The College continues to encourage increased representation from minority groups in student-related committees, including Senate. Sub-committees are requested annually to reflect ethnic origins, this process will continue.
### Higher Education Reach-out to Business and the Community (including business fellowships)

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<td>1. To continue to develop sector awareness and company contacts. To interact with three different types of external organisations during the period of transitional funding. To target 50 companies, 2 overseas government agencies and 5 UK government departments and agencies. To attend 10 regional, 25 technology/sector and 10 Government networking events.</td>
<td>Sector awareness and company contacts have continued to be developed through Business Development Services (BDS). Over 50 R&amp;D intensive companies in 4 major industry sectors have been targeted; 2 overseas government agencies (JETRO, Canadian High Commission); 5 UK Gov Depts and Agencies including DTI (key contribution to BioScience Innovation Growth team), OST, LDA, SEEDA, Carbon Trust. At least 10 regional events (eg LDA Innovation, LTN events); At least 18 technology sector events (eg. BIO 2004, IIR World NanoEconomic, CeBit); A number of UK Government networking events were attended including the DTI Bioscience launch, DTI</td>
<td>Summary of the impact of HEROBC funding: Imperial College London has a long-standing track record in its interactions with industry and these constitute a fundamental part of its mission. The College’s strategy in the area of interaction with business and the community remains:</td>
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<td>• To support interactions with business and the community in line with the mission of the College;</td>
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<td>• To promote knowledge and technology transfer to industry and the community;</td>
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<td>• To maximise the value to the College</td>
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## Business and the community

### Activity | 2003-04 activities and targets | Update or clarification of 2003-04 targets where appropriate | Progress against activities and targets | 2004-05 activities and targets
---|---|---|---|---

**2. To develop existing relationships and nurture new ones with the aim of fostering a more commercial attitude amongst academic staff.**

The ultimate aim will be to facilitate discussions between academics and industrial companies leading to enhanced opportunities for licensing, spin-outs and industrial research collaborations. 30 academics and/or research

As such, the overall aim of the HEROBC strategy has been to provide a more integrated structure that will make most use of existing resources to facilitate interactions with industry.

To support this aim the College has used the HEROBC funds to develop a Business Development Services (BDS) unit that consists of 3 Business Development Managers and a Business Analyst. The

- A steering group including 2 senior academic staff members provide support to the activities of the BDS team. The LTN Business Fellows scheme is being lead by BDS.

- Over 30 academics and research groups and a number of thematically oriented multi-disciplinary projects are being developed with their close co-operation including Hospitals of the Future, NanoBiotechnology,

- Expert Mission on Neuroscience, UK Korea High Tech Forum and UK Japan High Tech Forum and the UK of commercial exploitation of Research and Development carried out at Imperial College;

- To provide opportunities for wider interaction between the College, industry and the community.
### Business and the community

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<td>groups to be targeted during the period of transitional funding.</td>
<td>Low Carbon Technologies.</td>
<td>BDS unit has brought together various College functions that interact with industrial stakeholders (including academics, Research Services, Centre for Professional Development, Innovations, ICON and the Careers Service).</td>
<td>BDS unit has brought together various College functions that interact with industrial stakeholders (including academics, Research Services, Centre for Professional Development, Innovations, ICON and the Careers Service).</td>
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<td>3. Where appropriate, to develop 3 strategic seminars and 10 company specific seminars during the period of transitional funding.</td>
<td>Three strategic seminars were developed: Envirotech conference, a Photonics Forum and JETRO seminar with approx. 100, 30 and 25 attendees respectively. Company specific seminars were developed including Unilever (approx. 50 attendees), Merck, Fujitsu, Marubeni, Smith + Nephew (5-10 attendees per seminar).</td>
<td>The original strategy for the BDS unit aimed to utilise HEROBC funding to develop and progress two main areas: (1) the establishment of contacts and knowledge, disseminating this information amongst academics and industrial contacts and (2) technology transfer and research exploitation.</td>
<td>The original strategy for the BDS unit aimed to utilise HEROBC funding to develop and progress two main areas: (1) the establishment of contacts and knowledge, disseminating this information amongst academics and industrial contacts and (2) technology transfer and research exploitation.</td>
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<tr>
<td>4. To take forward the company information and contacts established to provide new opportunities to market technologies to</td>
<td>Company information and contacts established within BDS are actively shared with the Technology Transfer teams to enable and enhance</td>
<td>The strategy has evolved to include a specific focus on international R&amp;D intensive companies and focuses on initiating interaction and</td>
<td>The strategy has evolved to include a specific focus on international R&amp;D intensive companies and focuses on initiating interaction and</td>
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### Business and the community

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<td>potential licensees and assist in the development of new spin-out companies. Business Development Services to be involved with establishing one spin out company during the period.</td>
<td>spin-out and licensing opportunities.</td>
<td>BDS provided assistance in formation and funding of Spin Out company MTM.</td>
<td>collaboration between Imperial and Businesses.</td>
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<td>5. To continue to encourage companies to support more research activities, particularly multidisciplinary research, leading to continued growth in industrially sponsored research income. To develop 2 strategic/research alliances during the period of transitional funding for HEROBC.</td>
<td>Central to the BDS business engagement strategy is the promotion of Imperial’s faculty research capabilities. Companies are particularly encouraged to collaborate through multi-disciplinary projects. 2 examples of strategic research alliances are: GSK aADI (£10m) and the Esmee Fairburn Foundation (£10m). Another example of an agreement during the period is a Memorandum of Understanding with Itochu.</td>
<td>The establishment of contacts and knowledge</td>
<td>The BDS unit has been particularly successful in developing relationships with internal and external stakeholders. The BDS has developed a complete picture of each company’s contact with different areas of the College. It has been directly responsible for developing over 50 relationships with companies, overseas government agencies and UK Government departments and agencies.</td>
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<td>6. To continue to encourage companies to support more</td>
<td>Imperial’s UK industry sponsored research grant</td>
<td>These relationships have led to new opportunities for</td>
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## Business and the community

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<td>research activities, particularly multidisciplinary research, leading to continued growth in industrially sponsored research income. College research grant and contract income from industrial sources to increase to £M23 during the period of transitional funding.</td>
<td>and contract income for the period 2002/03 increased to approximately £24m and is likely to exceed this in 2003/04.</td>
<td>research collaboration, providing access to non-UK companies and developing the College’s understanding of the regional agenda and government initiatives to support SMEs.</td>
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<td>7. To take forward the development of an incubation facility on the South Kensington campus and develop a network of other incubators in the London region. To develop the plan for the internal incubator project. To identify appropriate space within College to house spin-outs and secure agreement for one new external incubator. To continue to work on a planning application to develop a Science park on</td>
<td>Agreement has been reached in principle to create an incubator facility for early stage bio-science companies spun-out from higher education institutions across London. A Business Plan has been drawn up for the proposed incubator which will occupy refurbished space in an existing building on the South Kensington campus. The facility will provide flexible accommodation for ten laboratories and fifteen offices at a total estimated cost of £6.5m. The London</td>
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<td>College land at Harefield.</td>
<td>Development Agency (LDA) is likely to fund up to £M3 of the total cost and approval of the plan by both LDA and the College is expected in Summer 2004. If the project is approved, the plan envisages work will start in Spring 2005 with the facility opening in Spring 2006.</td>
<td></td>
<td></td>
<td>technology transfer and spin-out companies, Careers Service, Centre for Professional Development and Research Services. The BDS promotes the activities of these service providers to industry and initiates new activities.</td>
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8. To help identify relevant partner companies and contacts for specific spin-out needs. To facilitate the identification of spin-out companies which may be of commercial interest to established companies. To develop and formulate relationships with existing spin-out companies to achieve this goal. To maintain support to the 12 existing spin-outs and provide support for three new ones.

Knowledge is actively shared on companies that are identified by BDS as suitable candidates for specific spin-out needs (both technical and commercial). 15 spin-outs have been supported through introductions to appropriate industry contacts and venture capitalists.

Technology transfer and research exploitation
The College has made contacts with over 200 companies from a wide range of industry sectors, based on their research and technology transfer interests. The College has been successful in its strategy to develop strategic and research alliances with companies leading to continued growth in industrially sponsored research income for the College. The estimated
### Business and the community

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<td>9.</td>
<td>To continue to progress and develop the links established with overseas government and trade development agencies with the aim of promoting research, education, technology transfer and consultancy opportunities internationally. To work with two overseas government agencies during the period of transitional funding.</td>
<td>The interaction with the Japanese agency, JETRO, resulted in progress with Itochu, Fujitsu and Toppan. Engagement with the Canadian government agency has led to discussion with a member of the Canada delegation about potential collaboration in Healthcare of Future.</td>
<td>Using this information and contacts the BDS unit has provided new opportunities to market technologies to potential licensees and assist in the development of new spin-out companies. The BDS has provided support for Imperial College spin-out companies in the early stages of their existence, providing contacts and identifying partner companies. As flourishing SMEs, they are very important to the College in terms of their growing asset value and in the research they contract back to the College.</td>
<td>value of submitted bids and proposals to date is over £15M. The value of industrial research contracts developed over the entire HEROBC period is approximately £5M over 3 years.</td>
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<td>10.</td>
<td>To continue to organise company careers events on request. To work with the Careers Service to ensure that careers events are shaped by business needs.</td>
<td>The Careers Service and Student Union arranged appropriate events including the annual careers fair which was attended by more than 85% of the appropriate, namely final year, student population. BDS has worked with the Careers Service where appropriate.</td>
<td>These companies provide valuable economic growth for the London Region and the UK. An incubation facility at the College will provide flexible accommodation for ten laboratories and fifteen offices. If approved the facility will open in Spring 2006.</td>
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<td>11.</td>
<td>To encourage industrial contacts to fund studentships and sponsor students where appropriate. To act as the broker between companies and the Business Development Office where appropriate.</td>
<td>An example of a development that led from the tripartite strategic alliance with Singapore A*Star technologies (and Columbia, US) is the Singapore PhD studentship programme. This is a programme running over 8 years with a target of 110 studentships over this period.</td>
<td>The key achievements have been:</td>
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<td>1. The bringing together of previously disjointed activities across the College, within the BDS unit</td>
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<td>2. Over 200 contacts with companies, overseas government agencies and UK Government departments and agencies</td>
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<td>3. £5M of additional</td>
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<td>4.</td>
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<td>industrially sponsored research income over 3 years</td>
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<td>4. The ability to build on the successes of the HEROBC funding and use these as a platform for the HEIF projects</td>
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### Higher Education Innovation Fund

- A. Imperial Volunteer Centre has been involved in developing a Community Engagement Model, together with other Russell Group universities, which will monitor universities' community initiatives. It is now being piloted. The model accounts for time and gifts in... |
- A. To embed the Imperial Volunteer Centre increasingly within the College’s senior strategic level decision making process. |
- B. To increase the use of the Community Engagement Model. During the...

### Higher Education Active Community Fund

- 12. To consolidate and develop the role of the Imperial Volunteer Centre. To begin to evaluate, with an appropriate method, the impact of the Imperial Volunteer Centre.
- A. Imperial Volunteer Centre has been involved in developing a Community Engagement Model, together with other Russell Group universities, which will monitor universities' community initiatives. It is now being piloted. The model accounts for time and gifts in...
### Business and the community

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| 13. To continue to co-ordinate volunteering activity at Imperial College. To provide volunteer training and other relevant activities. | | | | academic year 2004-05 the Centre aims to collect data from at least 2 new academic departments and 1 new service provider unit (such as accommodation, conference facilities, etc.).

#### B. As part of the HEACF Student Volunteering Awards Programme the Centre has been recognised as an example of best practice due to its good infrastructure. The infrastructure provided by the Centre has enabled the College to expand its volunteering programmes.

- A. Volunteer training focusing on transferable skills took place during the autumn & spring terms. The sessions covered a range of topics including presentation skills, time management, assertiveness and communication skills.
- B. All active volunteers attended a mandatory one-

#### A. To increase the variety of volunteering activities and participating volunteer groups. This is to be achieved by increasing the variety of volunteering categories (animals, arts, etc.).

- B. To increase staff volunteering by developing links with the Staff
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<td></td>
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<td>hour induction session.</td>
<td>Development Unit, academic departments, facilities providers and individual staff members.  Also, to increase the variety of volunteering activity which is done either on an individual or team basis.</td>
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<td>14. To continue to set up new initiatives in volunteering, building on the experience gained from existing activities.</td>
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<td>Volunteers sign a volunteer agreement and receive a handbook and certificate. Volunteers now receive a specific Imperial Volunteer Centre ID-badge, together with a Criminal Records Bureau disclosure certificate.</td>
<td>A. During the year the number of opportunities, projects and initiatives has more than doubled. A particular increase has been in projects co-ordinated by Clubs &amp; Societies or College staff members.</td>
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<td>A. To continue to use the existing capacity of Imperial Volunteers in setting up new projects and developing existing ones.</td>
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<td>B. To continue to organise one-day events, similar to 'IC04', to celebrate students’ volunteering activities.</td>
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<td>B. For the first time, the Centre, together with the Imperial College Union, organised a festival ‘IC04’ which celebrated students’ involvement within the local community through volunteering. Approximately 50 people attended from the local community.</td>
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| 15. To continue to develop links with organisations with the aim of developing partnerships further. | A. The College held a mini-exhibition and invited over 30 external partner organisations to promote their volunteering opportunities and recruit volunteers. | A. To increase the link between the Centre and the local community by developing existing partnerships and by establishing new ones. | B. All partner organisations receive a customer survey document, twice a year, to monitor levels of customer service. It is also used to find ways to develop the existing partnerships further. | B. To develop the role of the Centre as the central information point for all community initiatives within the College & Union.  
C. To commence discussions with local organisations such as Science Museum, Natural History Museum, Victoria & Albert Museum and British Association for the Advancement of Science to investigate volunteering opportunities. |
| 16. To continue to promote interaction with the College and the wider community with the aim of facilitating | A. The Centre has used various methods to promote its services, which are available to the local | A. To continue to promote the Centre and its services to all potential Imperial Volunteers within the | | |
### Business and the community

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<td>volunteering.</td>
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<td>community. Mailings have been used to attract new partner organisations. The number of partner organisations has increased from 36 (Jul 03) to 124 (June 04).</td>
<td>College, with at least one volunteering information stand per academic term.</td>
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<td></td>
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<td>B. The Centre has set up its own website <a href="http://www.imperial.ac.uk/volunteering">www.imperial.ac.uk/volunteering</a> which lists all current volunteering opportunities. The website also has all relevant information about the Centre’s services.</td>
<td>B. To increase promotion within the College so that the Centre’s services are widely known, especially amongst academic departments and personal tutors. Specific, targeted volunteering projects to be sent directly to departmental administrators at least once a month.</td>
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<td>C. A number of other promotional/recruitment activities have also taken place, for example stands at the College’s Freshers’ Fair, 3 information sessions for Clubs and Societies, production of a promotional pack, adverts and articles in College and external magazines (Volunteering and GrapeVine) and using its own</td>
<td>C. To continue to promote the Centre as the central contact point for the local community interested in creating partnerships with the College departments, staff members or students.</td>
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<td>D. The Centre celebrated volunteering activities carried out by Imperial Volunteers. The Volunteers' VIP Party rewarded over 180 Imperial Volunteers.</td>
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<td>A. There are 262 volunteering opportunities available to staff and student volunteers. Currently 106 of these are ‘active’ and involve 272 individual volunteers. Handbooks and manuals have been produced to provide support to all volunteers.</td>
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<td>A. To continue to develop existing volunteering opportunities involving students and staff. At least 66 existing opportunities will be developed further.</td>
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<td>B. The Centre monitors equal opportunity issues, such as volunteers’ age, gender, ethnicity and disability. Regular reports are used to check if specific volunteer recruitment campaigns are needed to ensure that</td>
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<td>B. To generate at least 17 new volunteering opportunities involving either staff or students.</td>
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<td>C. To monitor equal opportunity issues and take action as appropriate.</td>
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<td>C. To join Employees in the Community Network and develop different staff</td>
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<td>17. To generate 75 staff and student volunteering opportunities through the Imperial Volunteer Centre. To develop ways to recognise the contribution made to the local community by volunteers.</td>
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<td>18. To generate 40 additional student volunteering opportunities through the Pimlico Connection scheme.</td>
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<td>volunteering is widely available to everyone within the College.</td>
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<td>E To introduce an accreditation program as part of the volunteering scheme.</td>
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<td>19. To support E-Masterclass events in 5 schools (funded from external sources).</td>
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<td>45 new student volunteering positions were created. Additionally, 5 new schools in 3 London boroughs were recruited; they had not been previously engaged in the Pimlico Connection</td>
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<td>To generate 60 new student volunteering opportunities through the Pimlico Connection Scheme and to enrol 2-3 new schools.</td>
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<td>A number of events were supported involving students from over 10 schools, for example:</td>
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<td>To continue to seek sponsorship to expand the hugely successful programme of e-Masterclass events, in addition to that already received from London Gifted and Talented.</td>
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<td>a. GATE A (Pilot) Mars Robotics Video Conference</td>
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<td>b. Mars Robotics E-MasterClass &amp; Video Conference</td>
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<td>c. SETPOINT - Imperial E-MasterClass in</td>
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<td>Chemistry</td>
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<td>d. International Space Science Alliance</td>
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<td>Robotics, VC link</td>
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<td>e. Venus Transit E-MasterClass</td>
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Summary of race equality and diversity priorities related to work with business and the community:

The key priorities for the College, in relation to promoting race equality and diversity with its partners and the local community (including public authorities, private and voluntary organisations, related companies and research funders), are described in the College Code of Practice on Partnerships and Relationships with External Bodies and with Local Communities. It includes an action plan that focuses on the following key priorities:

To ensure that any partners, organisations and individuals with whom the College deals with, have, and adhere to, an equal opportunities policy including race equality. The College recognizes that private and voluntary organizations are not themselves covered by the Race Relations Amendment Act 2000 (RRAA). The College continues to make every reasonable effort to work only with those who comply with the RRAA and its spirit. The College’s procurement processes incorporate components of the RRAA and its pre-qualification procedures with suppliers include questions around RRAA compliance. Conditions have also been incorporated into contractual documents, which cover race relations and equal opportunities. ProcHE, an HE sector body, is developing a best practice guidance note on procurement for the sector, which will cover racial equality. Once available this will be incorporated into the College’s procurement best practice.

To broaden relevant networks so that the sharing of good practice on diversity initiatives can take place. Representatives from the College (Chair of the Equal Opportunities and Diversity Committee (EO&DC), Deputy Director of Human Resources, Diversity and Equal Opportunities Consultant) have attended many Conferences, Seminars, and Workshops to learn about and share proven diversity initiatives that make a difference, E.g. Commission for Racial Equality, Equal Opportunities Commission, Disability Rights Commission and Equality Challenge Unit (ECU). The College will continue to participate in these networks over the coming year, ensuring the sharing of good practice takes place. The College has also made contact with race equality specialists, for example a visit to the College’s EO&DC from the Lead Officer for Race at the ECU. The Diversity and Equal
### Council

15th October 2004

### Business and the community

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Opportunities Consultant is committed to attending annual training on race equality. For example, in 2004 the consultant attended a public policy management programme called “Race Equality in Further Education – policy into practice”.

Additional information will be made available to the College on equality and diversity, including race. This will include toolkits, useful guides and policies, e.g. HEFCE Equality and diversity monitoring in higher education institutions. Additional diversity publications and materials will also be purchased, e.g. Multicultural Matters Yearbook March 2004, and Cultural Diversity Guide, with the aim of building a comprehensive ‘diversity resource centre’ by 2005.

To ensure that College projects with the local community address equality issues.

The College has continued to ensure that College projects with the local community address equality issues. The Imperial Volunteer Centre (IVC) has expanded the number of volunteering activities available, which focus on equality issues by encouraging the involvement of under-represented local groups and sections of the community. Projects which have been continued from last year include: the St Clements and St James Into University Project, which gives young people from ethnic minorities an opportunity to “taste” university life; through the Refugee Council the IVC provides volunteers to act as tutors to refugee children; the Portobello Trust, which provides permanent housing for homeless young people, some of whom come from ethnic minority groups.

New projects established this academic year include:

1. The Supplementary School for Latin American Children Project (Supplementary Schools Consortium) where Imperial Volunteers give support in English, Maths and other subjects to a small group of children whose parents are not familiar with the English education system, and do not have the confidence in English to help them with school work. All children originate from Latin America.

2. The Intergenerational Projects (Sixty Plus) where young Imperial Volunteers (18-25 year olds) are matched with elderly people who want to learn about computers/IT, need assistance with reading or would like to learn English. Some of the elderly people do not speak English as their first language and have lived here most of their life as immigrants.

3. The Victim Support project (Tower Hamlets Victim Support) where Imperial Volunteers offer support to victims of crime in their home soon after the crime has occurred or in court when witnesses are due to give evidence. The majority of clients come from ethnic minority groups.
Business and the community

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The Centre monitors equal opportunity issues, such as volunteers’ age, gender, ethnicity and disability to ensure that volunteering is accessible to everyone within Imperial College. The Centre uses equal opportunity statistics to review current practices and, if necessary, will carry out specific promotional campaigns to reach minority groups within the College. However, so far this has not been necessary as volunteers come from a range of backgrounds. Race equality and diversity issues amongst the external volunteering projects are also monitored to increase the interaction between the College and its wider community through a variety of activities, as described above.

As in 2003-04, the College will continue to ensure that College projects with the local community address equality issues. The IVC will continue with, and expand, the number of volunteering activities which focus on equality issues by encouraging the involvement of under-represented local groups and sections of the community. The monitoring of volunteers’ age, gender, ethnicity and disability will also continue. The results will be acted upon, as necessary, to ensure volunteering is accessible to everyone. The race equality and diversity aspects of the external volunteering projects will also continue to be monitored to increase the interaction between the College and its wider community.
## Rewarding and developing staff

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<tbody>
<tr>
<td>1. Reward</td>
<td>To ensure, by the end of September 2003, that manager's allocations of jobs within the Research &amp; Education and Professional Services is subjected to quality control, approval and appeals procedures. To complete, by the end of December 2003, the allocation of roles within the Technical and Operational Services families.</td>
<td>From 1 Jan 04 all new staff in the Research &amp; Education and Professional Services families were employed on the new arrangements. Existing staff were supplied with information to enable them to make an informed choice on whether to opt for the new arrangements or remain on the existing terms. Allocation to the Technical and Operational families will now be completed by the end of July 04. The delay has been due to the time required for negotiations with the Unions.</td>
<td>No further action required</td>
<td></td>
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<tr>
<td>2. Reward</td>
<td>To implement a local decentralised pay structure, in alignment with the new grading structure by 31 December 2003 for all job families.</td>
<td>Consultation has taken place with local unions and full-time officers to introduce the 51-point spine, with important local variations which reflect the College’s approach to performance and reward. The College has introduced</td>
<td>See HR Strategy: Reward Aim 2</td>
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## Rewarding and developing staff

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<tr>
<td><strong>3. Reward</strong></td>
<td>To undertake a pay assimilation exercise for all staff (except clinical academics and those currently on NHS related scales) within a pre-determined cost limit by the end of December 2003.</td>
<td>The College's new pay scales, effective 1 Aug. 03, were published in Jan. 04. Staff, including research staff, who accepted the offer to move to the new grade were paid at the new rate in March 04.</td>
<td>No further action required</td>
<td></td>
</tr>
<tr>
<td><strong>4. Reward</strong></td>
<td>To offer new terms and conditions to staff as appropriate in alignment with the new grading structure. To implement by 31 December 2003 for all job families.</td>
<td>New terms and conditions were implemented for new staff wef Jan. 04 and from 1 Feb. 04 for existing staff i.e. the start of the annual leave year.</td>
<td>No further action required</td>
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<tr>
<td><strong>5. Reward</strong></td>
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<td>See HR Strategy: Reward Aim 1</td>
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<td><strong>6. Reward</strong></td>
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<td>See HR Strategy: Reward Aim 4</td>
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<tr>
<td><strong>7. Performance and</strong></td>
<td>To develop revised</td>
<td>The College is currently</td>
<td>To determine the College's</td>
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Local pay bargaining. Joint meetings for the first year of operation (Aug. 04) are taking place and are scheduled to conclude in time for increases to be applied without retrospection.
### Rewarding and developing staff

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<tr>
<td>Recognition</td>
<td>timescales for the implementation of the revised Model Statute. To be considered by the College's Executive Committee and Council during 2004.</td>
<td>taking legal advice on the practical likelihood of introducing more radical change.</td>
<td>implementation plan for the Revised Model Statute. This target is dependent upon the receipt of legal advice.</td>
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8. Performance and Recognition

To continue to review whether individuals' competencies are being developed so that College objectives are met. To agree and implement action where there is any mismatch.

The Performance Review and Development Plan (PRDP) system was introduced in 2002/03. To maximise the College teaching and research and overall organisational effectiveness a number of reviews have taken place or are on-going.

See HR Strategy: Performance Management Aim 30

9. Performance and Recognition

See HR Strategy: Performance Management Aim 28

10. Performance and Recognition

See HR Strategy: Performance Management Aim 29

11. Performance and Recognition

To have full implementation of PRDPs for all staff groups by end of July 2004. To continue to review the effectiveness of the PRDP scheme, in particular to Academic and academic related staff from three faculties and the Business School received PRDP training with a deadline for completion of July 04. Pilots

See HR Strategy: Appraisal Aims 26 and 27
## Rewarding and developing staff

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<td></td>
<td>assess its impact upon the performance and achievement of local and College objectives.</td>
<td>have been undertaken with all other staff groups. An extensive evaluation exercise was undertaken in 2003 to assess the effectiveness of the scheme; it will be another year before we can assess the impact on Performance.</td>
<td></td>
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<tr>
<td>12. Performance and Recognition</td>
<td>To devise appropriate promotions and reward systems and procedures for all staff following the introduction of the job evaluation scheme. To include team rewards. 100% of staff to be covered by a promotions and reward system by February 2004.</td>
<td>The new promotion and reward systems were agreed by the Steering Group/Unions during 2003 as part of the introduction of the pay and grading exercise and so the deadline was met ahead of schedule. The new arrangements will be implemented during the 2004 promotions and reward cycle.</td>
<td>See HR Strategy: Reward Aim 3</td>
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<tr>
<td>13. Development</td>
<td>To continue to have Personal Development Plans that meet the College’s management competencies for senior staff, be they newly-appointed or promoted from within.</td>
<td>The PRDP scheme for senior staff includes leadership and management competencies and the identification of tailor-made PDPs for new and existing senior staff has been a key activity. Those promoted to senior posts from</td>
<td>See HR Strategy: Development Aim 5</td>
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<tr>
<td>14. Development</td>
<td>To have 100% of managers and 50% of research staff with Personal Development Plans by end of July 2004.</td>
<td>At July 04, 90% of managers, 50% of research staff and 50% of support staff will have PDPs. In tandem with the introduction of PDPs, Career Pathways have been produced for all staff groups which identify possible development solutions to meet the needs of an individual’s current role and future career.</td>
<td>See HR Strategy: Development Aim 7</td>
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<tr>
<td>15. Development</td>
<td>To ensure that, by the end of December 2003, consultancy programmes are in place in each department/division.</td>
<td>Consultancy programmes, designed to help embed the College’s Strategic Objectives, had been organised for 50% of depts/divs by Dec 03. Planning meetings have been held with the senior staff for the remainder. Smaller units used the main Programme instead of the consultancy approach.</td>
<td>See HR Strategy: Development Aim 5</td>
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<tr>
<td>16. Development</td>
<td>To undertake a review of Engineering was reviewed in</td>
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<td>the mentoring scheme for academic and post-doctoral staff in the Faculty of Engineering by December 2003. To review the project in the Faculty of Medicine by July 2004. To progress the plan to offer the scheme to the Faculty of Physical Sciences by December 2004.</td>
<td>Dec 03 and Medicine will be reviewed by July 04. The project was introduced in Physical Sciences in May 04 and will be evaluated at the end of the calendar year.</td>
<td>Take up has been relatively small given the numbers but those who have participated as mentors and mentees have rated it highly.</td>
<td>Development Aim 9</td>
<td></td>
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<tr>
<td><strong>17. Development</strong> To continue to review the take-up and effectiveness of existing E-learning materials. To implement at least three other E Learning courses, particularly as part of blended learning programmes.</td>
<td>E-learning material has been used for six specific courses and four software programmes. E-learning has been incorporated into a range of blended learning programmes and this approach is to be extended.</td>
<td></td>
<td>See HR Strategy: Development Aim 11</td>
<td></td>
</tr>
<tr>
<td><strong>18. Development</strong> To achieve 100% implementation by the end of July 2004 for extended appraisal programmes for all schemes. To provide briefings and training where appropriate.</td>
<td>See Performance and Recognition 11 for statistics on implementation. Extensive briefings and skills training have been undertaken using a combination of open programmes and specifically-designed sessions for</td>
<td></td>
<td>See HR Strategy: Development Aim 7</td>
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<tr>
<td>19. Development</td>
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<td></td>
<td>particular Depts/Divs. 489 staff attended sessions in 2002/03 and final numbers for 2003/04 are expected to be similar. Attendance at a briefing session and receipt of a completed PRDP is logged into a database. Activity, therefore, is closely monitored.</td>
<td>See HR Strategy: Development Aim 6</td>
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<td>20. Development</td>
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<td>See HR Strategy: Development Aim 8</td>
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<td>22. Development</td>
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<td>See HR Strategy: Development Aim 12</td>
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<td>23. Development</td>
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<td>See HR Strategy: Development Aim 13</td>
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<tr>
<td>24. Culture and Communication</td>
<td>To achieve a response rate for exit questionnaires of 25% by 31 December 2003. To continue progress towards the implementation of a full staff survey by December 2004.</td>
<td>The response rate has increased from 13% at the end of 2002 to 19% by Dec 03. In order to increase the rate, the questionnaire was redesigned and the distribution method was changed. Guidance for further work to be undertaken to improve the return rate for exit questionnaires, with a target of 25% by Dec 2004.</td>
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To achieve a response rate for exit questionnaires of 25% by 31 December 2003. To continue progress towards the implementation of a full staff survey by December 2004.
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<td></td>
<td></td>
<td>managers on conducting effective exit interviews was also produced</td>
<td>Considerable activity has been undertaken to develop the HR sections of the College’s internet and intranet. Migration to a web-based intranet, Spectrum, during 2003 has resulted in greater technical flexibility and ease of use. Work has begun on developing the visual presentation in order to become more user-friendly and better illustrated.</td>
<td>See HR Strategy: Communications Aim 19</td>
</tr>
<tr>
<td>25. Culture and Communication</td>
<td>To continue to modify and develop the HR sections of the College’s internet and intranet as appropriate.</td>
<td></td>
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</tr>
<tr>
<td>26. Equality and Diversity</td>
<td>To set local qualitative and quantitative targets that contribute to the College’s Strategic Plan during 2003/04. To set up staff development activities that support the implementation of local targets. To progress targets and monitor systematically.</td>
<td>The Audit identified priority areas for action and these formed the work plan for 2003-05. Mandatory programmes have been run in “front of house” areas and have resulted in local plans and targets (250 staff attended these programmes in 2003).</td>
<td>To monitor the implementation and progress of local plans and targets developed for “front-of-house” areas.</td>
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### Rewarding and developing staff

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<td>all staff involved in selection interviewing have undertaken recruitment and selection training. To continue with progress to include equality and diversity issues as an integral part of management development programmes. To assess the extent to which promoting equality and diversity has been addressed as a key factor during PRDP meetings. To continue to provide briefings on equalities legislation and the resultant impact on College procedures.</td>
<td>integrated into the content of management development programmes. Career Pathways include equality and diversity as key factors. Consultants and trainers are required to adhere to strict standards of behaviour and to use materials that promote equality and diversity. Equality and diversity continues to be stressed during PRDP training sessions for both Reviewers and Appraisees. Managers are kept up-to-date by briefings on equalities legislation and the resultant impact on College procedures.</td>
<td>and Diversity Aim 22</td>
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| 28. Equality and Diversity | To monitor diversity statistics and keep under regular review at designated times during each year. To input the results of the data collection exercise for existing staff and follow-up non-returns | Diversity statistics are monitored formally annually. A major data collection exercise was undertaken in April 03; non-returns were chased. At May 04 we have ethnicity data for 90.5% of staff and 93% have | See HR Strategy: Equality and Diversity Aim 24 |
## Rewarding and developing staff

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<td></td>
<td>by end of December 2003.</td>
<td>reclassified themselves using the revised CRE categories;</td>
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<tr>
<td></td>
<td>To complete the Equal Pay</td>
<td>90.5% of staff have supplied us with data regarding disability status. The improved data enables far more rigorous monitoring of an extensive range of staffing-related matters. A gender-only Equal Pay Audit was undertaken by June 03. It was decided that following the final implementation of the new pay and grading arrangements a further audit, including ethnicity and disability, would be undertaken.</td>
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<td></td>
<td>Audit when ethnicity and</td>
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<td></td>
<td>disability records are more</td>
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<td>complete. To address pay</td>
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<td>inequalities during 2003/04</td>
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<td></td>
<td>using the new grading structure underpinned by Hay.</td>
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<tr>
<td>29. Equality and Diversity</td>
<td>To continue the work of the College Academic Opportunities Committee.</td>
<td>Regular surveys and projects have been used to identify barriers with a programme of work aimed at promoting good practice. Examples in 2003/04 have been: regular events to promote networking and information exchange; following a survey, changes have been made to the</td>
<td>See HR Strategy: Equality and Diversity Aim 25</td>
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<td>Level Playing Field’ by July 2004.</td>
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<td>criteria and procedures for promotion; a “pledge” to female applicants for academic posts. Taking 01 as the baseline, while the number of female academic and research staff who have been promoted has increased, the number of females employed overall in academic and research posts has remained static. In support of “Operation Level Playing Field” each Faculty Principal has attended the AOC to describe the work being done within their Faculties to foster a level playing field so that good practice can be shared.</td>
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| 30. Equality and Diversity | To implement the Disability Policy and provide briefings and training to support its introduction. To survey current flexible working practices, analyse the results of exit questionnaires and prepare | The Disability Policy is being introduced through a training programme. Work connected with flexible working/work life balance began in Feb. 04. A network of Harassment Support Advisers (25) has been established and fully | See HR Strategy: Equality and Diversity Aim 20 | |

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See HR Strategy: Equality and Diversity Aim 20
### Rewarding and developing staff

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<td></td>
<td>a draft policy by end of April 2004.</td>
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<td>trained.</td>
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<tr>
<td>31. Equality and Diversity</td>
<td>To continue to improve knowledge and understanding amongst staff of equality and diversity issues. To give a detailed briefing to 50% of employees through departmental and campus briefings by January 2004. To test knowledge and understanding by follow-up questionnaires. The Equal Opportunities and Diversity Committee is to monitor progress and assess the impact of the Policy, Codes and Action Plans, taking relevant action as appropriate.</td>
<td>Awareness Roadshows have been run to brief staff on their responsibilities. Information about the Promoting Race Equality Policy (and all other equality policies) is a major component in the “Stakeholder Programmes” and a key factor in the promoting equality sections of the Induction, Recruitment and Selection and general management programmes. Action to test knowledge and understanding is undertaken during the programmes but post-event testing has still to be implemented. The Equal Opportunities &amp; Diversity Committee is responsible for monitoring progress and assessing the impact of the Race Policy and Codes of Practice. While some targets in most of the Action Plans have been met, the</td>
<td>See HR Strategy: Equality and Diversity Aim 21</td>
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**Council**

**15th October 2004**

**Rewarding and developing staff**

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<td>32. Equality and Diversity</td>
<td>To develop a Service Level Agreement on all issues relating to Honorary Contracts, e.g. division of responsibilities; which organisation’s procedures should be used during a disciplinary; redundancy etc.</td>
<td>timescales have slipped.</td>
<td>See HR Strategy: Equality and Diversity Aim 23</td>
<td></td>
</tr>
<tr>
<td>33. Risk Management</td>
<td>To undertake a review of the Employee Support Programme, in September 2003, of the issues arising and to assess the need for any subsequent action.</td>
<td>Review undertaken; provider’s performance was very satisfactory and regular monitoring reports are supplied.</td>
<td>See HR Strategy: Risk Management Aim 36</td>
<td></td>
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<tr>
<td>34. Risk Management</td>
<td>To implement local action plans for stress management during 2003/04. To work in partnership with managers to eliminate major factors causing stress. To be achieved through the use of a wide range of people-focused activities</td>
<td>Discussions took place with managers to highlight the causes and effects of stress and stress awareness and management programmes are run regularly.</td>
<td>See HR Strategy: Risk Management Aim 35</td>
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<td>36. Risk Management</td>
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<td>See HR Strategy: Risk Management Aim 31</td>
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<td>37. Risk Management</td>
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<td>See HR Strategy: Risk Management Aim 32</td>
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<td>38. Risk Management</td>
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<td>See HR Strategy: Risk Management Aim 33</td>
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<td>39. Risk Management</td>
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<td>See HR Strategy: Risk Management Aim 37</td>
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<tr>
<td>40. Resource and Planning</td>
<td>To undertake a further upgrade to version 11.5.9 in Autumn 2003. As part of a major new initiative to review College support services, to evaluate proposals for the introduction of full e-HR functionality so that any duplication of information is minimised, workflow is more streamlined and input is devolved where appropriate.</td>
<td>In Autumn 2003 11i was upgraded to version 11.5.9. Planning work was undertaken to introduce full e-HR but this has been now been incorporated into the major review of the College’s support services with a revised target date of July 05.</td>
<td></td>
<td>See HR Strategy: Management Information Aim 42</td>
</tr>
<tr>
<td>41. Resource and Planning</td>
<td>Over the period, to meet or exceed the agreed performance targets for day-to-day service. To review the effectiveness of</td>
<td>In 2003, work began on the Support Services Initiative, supported by the Boston Consulting Group, which aims to deliver a higher quality</td>
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<td>See HR Strategy: Organisation Development Aim 16 and Communications Aim 18</td>
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<td>service within a revised organisational structure. To date, HR administrative processes and services have been analysed within the framework of this project and consultation has begun on the move to devolved HR teams supported by a Strategic Centre and Expert Central Services.</td>
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<td>our core administrative processes as part of the review of Support Services.</td>
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</table>

42. Resource and Planning To keep under review HR capability requirements and structure and implement any required changes.

The HR Division is made up of Divisional Management, Organisational Development, HR Services, Information and Communication. Each of these five areas have been reviewed. Following assessments of skill needs and staffing levels, changes to staff and structure have been implemented and additional posts have been created.

43. Resource and Planning

See HR Strategy: Organisation Development Aim 14
Rewarding and developing staff

<table>
<thead>
<tr>
<th>Activity</th>
<th>2003-04 activities and targets</th>
<th>Update or clarification of 2003-04 targets where appropriate</th>
<th>Progress against activities and targets</th>
<th>2004-05 activities and targets</th>
</tr>
</thead>
<tbody>
<tr>
<td>44. Resource and Planning</td>
<td>See HR Strategy: Organisation Development Aim 17</td>
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<td>45. Management Information</td>
<td>See HR Strategy: Management Information Aim 38</td>
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<td>46. Management Information</td>
<td>See HR Strategy: Management Information Aim 39</td>
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<td>47. Management Information</td>
<td>See HR Strategy: Management Information Aim 40</td>
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<td>48. Management Information</td>
<td>See HR Strategy: Management Information Aim 41</td>
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<td>49. Management Information</td>
<td>See HR Strategy: Management Information Aim 43</td>
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Summary of race equality and diversity priorities related to rewarding and developing staff:

Key priorities for rewarding and developing staff, in the area of race equality and diversity are:

**Equal Pay** (See AMS Reward no. 3; HR strategy Aim 2)
A second Equal Pay Audit will be undertaken which will cover ethnicity, gender and disability and will be completed by Oct 2004. For full details of activities in 2004/05 see main AMS response: Reward no. 3; HR strategy aim 2.
Rewarding and developing staff

<table>
<thead>
<tr>
<th>Activity</th>
<th>2003-04 activities and targets</th>
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<th>Progress against activities and targets</th>
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</tr>
</thead>
</table>

**Recruitment and selection** (See AMS Ethnicity and Diversity no. 20; HR strategy aim 22)

All staff that undertake recruitment and selection are required to have undergone formal training. Guidance on recruitment procedures, which addresses equality and diversity issues, including race equality, has been issued and will continue to be modified as appropriate. Recruitment processes will be reviewed by Dec 04. Monitoring takes place e.g. discrimination complaints and staff turnover, particularly during the first year of appointment, bi-annually. Also, exit interviews will be undertaken with black and minority ethnic staff that have given notice. For full details of activities in 2004/05 see main AMS response: Ethnicity and Diversity no. 20; HR strategy aim 22.

This year greater promotion of the College's commitment to race equality and diversity has taken place by advertising jobs and including articles about the College on ethnic minority websites and publications. E.g. the “Works for me” newspaper and the “Ethnic minorities jobsite” (http://www.emjobsite.co.uk). The College will continue to advertise its commitment to race equality and diversity.

**Management development** (See AMS Ethnicity and Diversity no. 20; HR strategy aim 22)

The College has developed “Career Pathways” for each of its staff categories. These include equality and diversity workshops. These will continue in 2004-05. It is anticipated that senior staff will have a greater understanding of their role and responsibilities and that there will be increased ownership of equality and diversity initiatives.

Equality and diversity continues to be stressed during Performance Review and Development Planning (PRDP) training sessions for both Reviewers and Appraisees. Appraisees are assessed on their competency and success in developing others, promoting potential and promoting equal opportunities and diversity. The PRDP is used to inform the promotion and reward process, thus equality and diversity has been built into career progression and reward. Approximately 60 PRDP training sessions were held in the 12 months to July 2004. Training will continue so that all managers/supervisors who carry out PRDPs are fully competent and supportive. A similar training programme is planned for 2005, with approximately 50-60 sessions. An assessment will be made by October 2004 as to the extent to which promoting equality and diversity has been addressed during the Performance Review and Development Planning (PRDP) process. For full details of activities in 2004/05 see main AMS response: Ethnicity and Diversity no. 20; HR strategy aim 22.

**Diversity statistics** (see AMS Ethnicity and Diversity no. 21; HR strategy aim 24)

Diversity statistics were collected in April 2003. The improved data enables far more rigorous monitoring of an extensive range of staff related matters. Overall staff profile data are to be produced in order to assess trends and address equality issues. The College has data sets on many areas, including
**Rewarding and developing staff**

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<thead>
<tr>
<th>Activity</th>
<th>2003-04 activities and targets</th>
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<th>Progress against activities and targets</th>
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</tr>
</thead>
</table>

ethnicity. For full details of activities in 2004/05 see main AMS response: Ethnicity and Diversity no. 21; HR strategy aim 24.

**Academic Opportunities Committee** (see AMS Ethnicity and Diversity no. 22; HR strategy aim 25)
The College has continued to identify barriers to career opportunities and progression including those for female academic staff, from any ethnic group, by continuing the work of the Academic Opportunities Committee. The College will continue work to identify further actions on potential differences/value placed on women and men in SET (science, engineering and technology), e.g. build upon the results of ASSET survey. Exit interviews will be undertaken with all female academics who have given notice. For full details of activities in 2004/05 see main AMS response Ethnicity and Diversity no. 22; HR strategy aim 25.

**Equality and diversity initiatives** (see AMS Ethnicity and Diversity no. 23; HR strategy aim 20):

The Harassment Support Network was set up in 2003. Since then a Harassment and Bullying Policy has been developed, one aspect being harassment or bullying on the basis of race. It includes a transparent complaints procedure and a robust support network. A network of Harassment Support Contacts has been established with 25 staff members being fully trained in 2003. The Harassment & Bullying (Respect for others) policy will be reviewed in early 2005.

Focus (consultative) groups have been set up to seek staff views on diversity issues building on a staff-wide audit carried out in 2002. A follow-up staff survey is planned for 2005 to highlight diversity and equality issues, institutional cultures, and the impact of race equality within the College. “Ethnicity and Disability” training/workshops will be delivered to support staff in 2005.

Action plans relating to the College’s Promoting Race Equality policy will be reviewed in Dec 2004. An impact assessment of the policy on other College policies will be undertaken between July 2004 and October 2005. For full details of activities in 2004/05 see main AMS response Ethnicity and Diversity no. 23; HR strategy aim 20.

**Awareness of equality and diversity** (see AMS Ethnicity and Diversity no. 24; HR strategy aim 21)

Information about the Promoting Race Equality Policy (and all other equality policies) is a major component in the “Stakeholder Programmes” and a key factor in the promoting equality sections of the Induction, Recruitment and Selection and general management programmes. The staff Induction programme is being further developed to engage staff in equality and diversity responsibilities and initiatives, and equality and diversity is included in local Induction programmes, e.g. Security staff. The College will continue to develop accessible and clear communications and publicity, which shows
positive images. In 2004-05 materials in the resource centre will be increased and display materials will be added to for staff Inductions. The yearly training programme with the Student Union Body is to include diversity and equality as a core component and will reach approximately 130 Student Union staff next year. Staff will be consulted in December 2004 regarding the establishment of staff networks, interest groups and possible positive action schemes for black and minority ethnic (BME) staff. For full details of activities in 2004/05 see main AMS response Ethnicity and Diversity no. 24; HR strategy aim 21.

**Monitoring of equality and diversity** (see AMS Ethnicity and Diversity no. 24; HR strategy aim 23)
The Equal Opportunities & Diversity Committee (EO&DC) is responsible for monitoring progress and assessing the impact of the Race Policy and Codes of Practice. Equality and diversity monitoring data are included in the Annual Report to the EO&DC. The College is to monitor the College’s general staffing profile to achieve academic and research staff levels whose diversity reflects that of College students, and to employ support staff who reflect the diversity of the economically active population of Greater London. For full details of activities in 2004/05 see main AMS response Ethnicity and Diversity no. 24; HR strategy aim 23.
Background
The Corporate Planning Statement (CPS) submitted to HEFCE in July 2003 was based on the strategic goals and priorities identified in the College Strategic Plan for the period 2003-07. During the last year, as part of the College’s Support Services Initiative, these goals and priorities have been updated to produce strategic themes and objectives, which better reflect the strategic focus and direction of the College. These form the framework for the 2004 CPS.

Mission and Strategic Intent
The College’s Mission Statement remains as:

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.

The College’s Strategic Intent remains as:
- 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.

Strategic themes and objectives during the planning period
The strategic agenda for Imperial College is now based on a framework of themes. There are five major themes, each having associated strategic objectives. The core themes (A and B) are supported by the enabling themes (C, D and E):

A. Education  
B. Research  
C. Resources  
D. Organisation  
E. Influence

The College’s key activities for 2003-04 based on the previous 14 strategic goals have been mapped to this year’s five themes. Some key activities span more than one theme. Where this has been the case the most appropriate theme has been chosen.

Analysis of progress during 2003/04 against the plan
During 2003/04, the College made considerable progress in taking forward its strategic plan and objectives. With regard to research a number of major activities took place. These included the appointment of a pro-rector for research, the establishment of an Institute of Biomedical Engineering and preliminary works began on a joint College/MRC/GSK Imaging Research Centre. Emphasis was also placed on developing the estate, implementing a new pay and grading system, progressing and implementing aspects of the College’s project to review the way Support Services are delivered and continuing to develop and deliver core IT infrastructure and systems. Important changes to major processes have been implemented, particularly those related to the planning process for Support Services and the operating procedures arising from RAMP (Research Administration Management Programme).
<table>
<thead>
<tr>
<th>Theme</th>
<th>Strategic Objectives</th>
<th>Progress during 2003/04</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. Education</td>
<td>A.1. To continue to provide a world-class intellectually challenging and invigorating teaching and learning experience which is responsive to industry, commerce and society</td>
<td>The College continued to deliver the activities identified in the College’s Learning and Teaching Strategy (Please see relevant section of the AMS for further details). The College decided not to use its recently acquired degree awarding powers immediately but to keep this under review. E-learning technologists were appointed to promote e-learning and assist with its promotion within Faculties. A number have had their contracts extended for 2004-05. A set of guidelines on publishing learning and teaching materials on the WWW was developed and is in the process of being approved.</td>
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<td></td>
<td>A.2. To identify and recruit, from any country, those students most able to benefit from College courses</td>
<td>Applications from both home and overseas undergraduate students have increased (7% and 16%, respectively). Students could now make and follow the progress of their application via the web for postgraduate courses, so facilitating recruitment and registration. All students could pay fees via a secure web-based payment system. Formal alliances and programmes were agreed with the Singaporean Government for the recruitment of postgraduate research students from Singaporean research institutes. The College continued to participate in discussions about the impact of the Bologna declaration, specifically the impact on the College’s integrated four-year undergraduate courses. The College will continue to participate and influence these discussions. The College’s Management Board gave approval to an outline scholarship scheme to support eligible students paying fees of £3,000 from 2006. The formal scheme will be developed in 2004/05. The scheme will be available for those most able Home/EU undergraduate students who are least able to afford fees.</td>
</tr>
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</table>
| **B. Research** | **B.1. To continue to provide a world-class intellectually challenging and invigorating research environment** | The College set up a process for the external review of the research capability of two departments. The results will be used to guide the future shape and development of these departments.  
A Steering Committee and Director of the Mathematical Sciences Research Institute were appointed.  
Following the appointment of a new Principal, the Business School put in place and implemented a revised research strategy.  
SRIF and other sponsors’ funds were used to update and refurbish substantial parts of the research infrastructure. Total capital expenditure for the year on research based projects was £M33. |
|---|---|---|
| **B.2. To extend, work across or join the boundaries of research disciplines** | A pro-rector for research was appointed to promote cross-disciplinary research themes and develop relationships with funding bodies.  
An Institute of Biomedical Engineering was established to advance knowledge jointly in Engineering, Medicine and Biology through world-class interdisciplinary research. Some £M10 was raised to support its work in an innovative funding arrangement with a charitable trust.  
The Research Web Group, a sub-group of the Web Management Team, developed classifications for research that have been piloted in the College. Work is continuing on navigation using the themes in order to facilitate cross-disciplinary look-up of research interests. |
| **B.3. To enable the realisation of research and facilitate its application to industry, commerce and society** | The College was successful in its bid to HEFCE for HEIF 2 funding and will receive a total of £M4.5 for three sole and collaborative projects.  
The activities associated with the HEFCE Transitional Funding for the HEROBC initiative were delivered (Please see relevant section of the AMS for further details). |
<table>
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<tr>
<th>C. Resources</th>
<th>C.1. To become financially fully sustainable</th>
<th>The College participated as one of nine pilot institutions involved in the extension of the TRAC methodology to determine the full economic costs of research projects. During the year the College provided feedback on the technical guidance in the manual, highlighted areas that needed further consideration and participated in project work.</th>
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<tr>
<td></td>
<td>C.2. To diversify and increase sources of income</td>
<td>The College carried out two telethon fundraising campaigns to raise money for the Imperial College Student Opportunities Fund. The two events raised £K120. The College took a number of steps to develop a targeted and co-ordinated programme of events to encourage close alumni to support the College. A new Director of Development was appointed and the Alumni Office was restructured to place greater emphasis on fund-raising activities.</td>
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<td></td>
<td>C.3. To plan for future liabilities and assets</td>
<td>An external aided review commenced work to consider various options for the long-term future of the College’s nuclear reactor. It will report by December 2004. An ‘Endowment Fund’ to exploit all College ‘non-core’ assets is being formed. Non-core assets are being identified and their value determined for inclusion in the Fund. Work commenced on a Fund management structure and a governance framework.</td>
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<td></td>
<td>C.4. To attract, reward, develop and retain staff of the highest calibre</td>
<td>Recommendations from the Review of the College’s Academic Structure and Promotions Criteria were implemented for the 2003/04 Promotions Round. (Please see relevant section of the AMS for further details.) The College continued to implement its Strategy for Rewarding and Developing Staff, as submitted to HEFCE. It introduced new pay scales and terms and conditions and was the first in the sector to introduce local pay bargaining. (Please see relevant section of the AMS for further details.)</td>
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|         | C.5. To maintain, develop and exploit the College estate so that facilities are appropriate for an internationally renowned institution | Progress was made with the development and implementation of strategies for the following areas of the Estate:  
  - Prince’s Gardens/ Student residences: A planning application was submitted covering the future development |
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<tr>
<th>C.6. To develop and provide management information appropriate to College needs</th>
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- Permission was sought from English Heritage to demolish the building and to commence construction of 400 new student residences from summer 2005.

  - **Burlington Danes:** Preliminary works began on a joint College/MRC/GSK imaging research centre.
  
  - **Paddington Waterside:** This is a major NHS led project which will result in the re-development of St Mary’s hospital, the move of the Royal Brompton and Harefield hospitals and the re-location of the College’s associated academic accommodation. The NHS has agreed to make a substantial financial contribution.
  
  - **SRIF II:** Agreement received from HEFCE for the programme, specifications drawn up and contracts let.

The Tanaka Business School and the new College Headquarters Building were completed in 2004.

HEFCE approved College’s proposals to Project Capital Round Three, with project costs totalling £M6.4 (HEFCE and College contributions). Worked has commenced on these projects. These included three projects relating to the Estate’s infrastructure to support teaching, a project to renew and manage the network infrastructure, a number of projects to upgrade facilities for students with special needs and three projects to refurbish and upgrade teaching laboratories for students studying chemistry, engineering and biological sciences.

Estates framework agreements were put in place with subcontractors.

The Student Administration and Information Management System (SAMS) continued to be developed and implemented. The system will go-live for UG and PG admissions and UCAS by the start of the 2004/05 academic year. The project was delayed by one year due to the late delivery of software.

The College continued to upgrade its existing IT systems; in particular Oracle HR and financial software. A new chart of accounts was successfully implemented in February 2004.
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<th>D.</th>
<th>Organisation</th>
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<tbody>
<tr>
<td>D.1.</td>
<td>To develop a modern organisation which is efficient, effective and adaptable and</td>
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<td>D.2.</td>
<td>To implement effective management processes</td>
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<td>D.3.</td>
<td>To set high standards for compliance with health, safety and environmental legislation and stay in tune with evolving legislation</td>
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The new organisational structure and standard operating procedures arising from the research administration and management project (RAMP) were implemented including the recruitment of new staff.

A major project known as the Support Services Initiative (SSI) has commenced. Its aim is to review and implement measures to ensure support services respond to the strategic needs of the College and to improve the quality of support service provision. Achievements to date:
- A new senior management committee structure established
- Revised planning processes were developed and implemented for Support Services
- Savings were achieved from better procurement
- Work on a new operating model for HR and Finance services as well as Research Services commenced. The model will continue to be developed further in 2004/05

The review of the constituent components of Business Services is on going.

A Publication Scheme which listed the various classes of information that are, or will be made, available to the public, how these can be obtained and if there is any associated cost was produced and submitted to the Office of the Information Commissioner.

The College revised the Organisation and Arrangements document, which supports the Health and Policy Statement, in light of the revisions to the Health and Policy Statement.

Health and safety procedures surrounding asbestos were revised.

Design guidelines were produced for Containment Level 3 laboratories, including fume cupboards.
| E. Influence | E.1. To understand and influence the thinking of key stakeholders | The College continued to influence costing methods for teaching by providing timely and considered responses to HEFCE consultations.  
The College continued to contribute fully to all consultations, including the funding councils review of research assessment, the dual support review, proposals for the establishment of the Office for Fair Access, arrangements for developing and rewarding staff, HEIF II and Schwartz Review.  
The College made proposals to OST, DfES and HEFCE about the funding of research and teaching and the future direction of the next spending reviews.  
The College continued to work, in particular, with like-minded research-intensive institutions, which share the College's objectives. |
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<tr>
<th>Theme</th>
<th>Strategic Objectives</th>
<th>Strategic priorities/ key activities in 2004/05</th>
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<tbody>
<tr>
<td>A. Education</td>
<td><strong>A.1.</strong> To continue to provide a world-class intellectually challenging and invigorating teaching and learning experience which is responsive to industry, commerce and society</td>
<td>To prepare for, and undergo, a QAA Institutional Audit, to take place in Summer 2005.</td>
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<td></td>
<td></td>
<td>To continue to deliver the activities identified in the College’s Learning and Teaching Strategy (Please see relevant section of the AMS for further details).</td>
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<td></td>
<td></td>
<td>To continue to develop the College’s web presence, particularly faculty and departmental intranets, learning and teaching support and the delivery of web based services.</td>
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<tr>
<td>A.2. To identify and recruit, from any country, those students most able to benefit from College courses</td>
<td>To prepare and submit a revised Widening Participation Strategy to HEFCE (awaiting further guidance from HEFCE once Government has finalised its proposals for the Office for Fair Access). To review admissions processes in preparation for the College’s submission to the Office for Fair Access. To continue to develop a scholarship scheme for the ablest students most in need following the introduction of £3000 home undergraduate fees from October 2006. To continue to participate in and influence discussions about the impact of the Bologna declaration, including key stakeholders such as other European universities and the UK Government. To recruit students from Singapore as a result of the alliance with the Singaporean Government agreed in 2003/04. To consider opening an office in Peking to recruit students from China. To continue to promote science in HE across the widest possible audience. To continue with the <em>INSPIRE</em> scheme, which aims to improve achievement and raise interest in science secondary education and so increase the uptake of science subjects in Higher Education.</td>
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<tr>
<td>B. Research</td>
<td>B.1. To continue to provide a world-class intellectually challenging and invigorating research environment</td>
<td>To continue to develop and implement a research strategy for the College which responds to scientific and funding developments and encourages multidisciplinary activities. To continue with ongoing investment in the College’s academic staff complement in order to achieve and maintain research excellence. To continue with preparation for the next RAE.</td>
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</table>
| B.2. To extend, work across or join the boundaries of research disciplines | To promote, co-ordinate and submit major cross-faculty bids to Research Councils and other sponsors for interdisciplinary research.

To develop a new Imaging Sciences Initiative in partnership with GSK and the MRC, as part of the Burlington Danes Development on the Hammersmith campus, to be completed in 2006.

To develop further the multi-disciplinary Institute of Biomedical Engineering.

To set up a Centre for Internet Technology.

To open the multi-disciplinary Mathematical Sciences Research Institute in May 2005.

To seek a small number of strategic alliances with key partners.

To develop a cross-faculty Centre for NMR.

To upgrade the e-science infrastructure.

To establish an Incubator Centre at Imperial. To gain approval of the business plan internally and by the London Development Agency by late Summer 2004 with the intention that the facility will open in Spring 2006.

To progress projects funded from HEFCE HEIF Round 2. |
| --- | --- |

<p>| B.3. To enable the realisation of research and facilitate its application to industry, commerce and society |  |</p>
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<thead>
<tr>
<th>C. Resources</th>
<th>C.1. To become financially fully sustainable</th>
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<td></td>
<td>To implement systems and processes to cost research projects on a fully economic cost (fEC) basis by early 2005. To consider other aspects such as the necessary changes in custom and practice and the impact on the College’s resource allocation model.</td>
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<td>To develop policy surrounding the pricing and full cost recovery of all research activities. To extend the full costing discipline to other areas, such as teaching.</td>
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<td>To implement any necessary changes resulting from charging a £3,000 home undergraduate fee from 2006, for example ensuring that appropriate publicity about the fees and related scholarship schemes is in place.</td>
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<td>To prepare for the College’s next academic staff time survey, to be carried out in 2005-06.</td>
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</table>
C.2. To diversify and increase sources of income

To generate c.£M10 of fundraising income commitments for specific College priority projects. Sources will include corporate and individual sponsors, major philanthropic gifts and regular gifts from the alumni base in support of the student opportunities fund.

To establish a Development Advisory Board early in 2004/05 to undertake activities which support and enhance fundraising for priority projects.

To commence preparations for Imperial’s Centenary Campaign (2007) with the formulation of a Marketing Plan.

To perform a review of the College’s commercial lettings by the end of 2004.

To continue discussions with the Landlord of the major part of the South Kensington campus (the 1851 Commission) and the local authority over the capacity to include commercial activity within planned academic redevelopments.

To increase the occupancy, and hence revenue, from student residences by securing Temporary Sleeping Accommodation licences.

C.3. To plan for future liabilities and assets

To continue the Reactor Future Options Project, including targeting Government for support and funding. To recommend to the College by 31 December 2004 a preferred option for the future of the Reactor. To seek to identify a funding route for final decommissioning.

To prepare and present a strategy for the College Endowment Fund to the College Management Board by 1 October 2004.

To reduce long-term maintenance (LTM) liabilities through continued use of future rounds of SRIF funds to support the infrastructure. In particular, target LTM funding on Health and Safety Measures and Business Critical Areas.
<table>
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<th>C.4.</th>
<th>To attract, reward, develop and retain staff of the highest calibre</th>
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<tr>
<td>C.5.</td>
<td>To maintain, develop and exploit the College estate so that facilities are appropriate for an internationally renowned institution</td>
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<tr>
<td>C.6.</td>
<td>To develop and provide management information appropriate to College needs</td>
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<thead>
<tr>
<th></th>
<th>To take forward the activities planned in the College’s HR strategy for rewarding and developing staff. (Please see relevant section of the AMS for further details.)</th>
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<tbody>
<tr>
<td></td>
<td>To maintain, develop and exploit the College estate so that facilities are appropriate for an internationally renowned institution</td>
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<tr>
<td></td>
<td>To continue to develop the Princes Gardens/ student residences strategy.</td>
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<td></td>
<td>To continue the development of the Burlington Danes and Paddington Waterside developments.</td>
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<tr>
<td></td>
<td>To continue to modernise the estate and make more fit for purpose using the funding from SRIF II and other sponsors.</td>
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<td></td>
<td>To complete the SRIF II programme by March 2006.</td>
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<td></td>
<td>To progress HEFCE Project Capital Round Three projects. Projects to be completed by March 2006.</td>
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<tr>
<td></td>
<td>To develop and provide management information appropriate to College needs</td>
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<tr>
<td></td>
<td>To implement a number of IT systems and software to enhance the delivery of support service functions:</td>
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<td></td>
<td>• To complete the implementation of Phase 1 Student Administration and Information Management System (SAMS) by December 2004, including PG admissions and UCAS by the start of the 2004/05 academic year.</td>
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<td></td>
<td>• To provide improved student recruitment and timetabling through implementation of Phase 2 SAMS. To go live by July 2005.</td>
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<td>• To implement the Oracle Grants Management module by Q4 2004. To continue with the development of the InfoEd research grant proposal and tracking system for implementation by December 2004.</td>
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<td></td>
<td>• To complete implementation of a new space database by Q1 2005.</td>
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<td></td>
<td>To design a management information suite to support the financial budgeting process.</td>
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<tr>
<td>Organisation</td>
<td>D.1. To develop a modern organisation which is efficient, effective and adaptable and D.2. To implement effective management processes</td>
</tr>
<tr>
<td>D.3.</td>
<td>To set high standards for compliance with health, safety and environmental legislation and stay in tune with evolving legislation</td>
</tr>
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<td>------</td>
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<tr>
<td></td>
<td>To undertake a survey of the requirements to meet the costs of compliance with DDA and Safety Glazing.</td>
</tr>
<tr>
<td></td>
<td>To audit departmental and divisional compliance with health and safety issues; departments and divisions will be selected for audit in 2004/05.</td>
</tr>
<tr>
<td></td>
<td>To publish new guidance on vaccinations by January 2005 and COSHH health surveillance by April 2005.</td>
</tr>
<tr>
<td></td>
<td>To develop College policy and procedure for 3 new pieces of legislation: 1) Working at height (The Work at Height Regulations 2004).</td>
</tr>
<tr>
<td></td>
<td>3) Control of Noise at Work Regulations 2005.</td>
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</table>

<table>
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<tr>
<th>E. Influence</th>
<th>E.1. To understand and influence the thinking of key stakeholders</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>In partnership with a small number of similar universities, to influence key stakeholders in order for them to recognise the differential cost of providing high quality science education.</td>
</tr>
<tr>
<td></td>
<td>To continue to contribute fully to all reviews and consultations e.g. relating to the establishment of RAE and other HEFCE consultations.</td>
</tr>
</tbody>
</table>
A. Statement of financial strategy

1. Strategic context and financial strategy

i) Prominent amongst the strategic priorities of the College is the plan to modernise its facilities, improve the fabric and enhance its aged infrastructure base to match the needs of a leading internationally-competitive university. Accordingly, a major capital investment programme, agreed by the Council last year, is currently underway. The Council has since approved a revised plan to include a number of new projects (as listed in table 7 of this submission). College’s capital expenditure is expected to total some £88m in the current year with a further £204m planned for the next three years.

ii) 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.

iii) To allow maximum flexibility for the College in managing these risks, a revised funding policy, which now incorporates borrowing facilities of up to £100 million, 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, emphasis is on tight control of the operating result and effective treasury management.

iv) The College has a commitment to ongoing investment in its academic staff complement in accordance with its strategic plan. It aims to maintain its competitive position as one of the top scientific, engineering and medical research and teaching institutions in the world and consistently achieve research excellence.

v) The College anticipates an operating surplus of circa £5.0m in the current year and has budgeted to generate an operating deficit of £6.5m in 2004/05. This deficit is principally due to strategic investment in initiatives to increase College’s income, rationalise its cost base and enhance the effectiveness and efficiency of the organisation. As a result of this investment the College expects to return positive results after 2004/05 and has planned to generate an operating surplus of £3.0m in 2005/06, £5.0m in 2006/07, rising to £7.4m in 2007/08. These forecasts take account of the costs of servicing the long term borrowings and the increased costs relating to the amortisation of College-funded fixed assets.

vi) Income from research grants and contracts, although flat during 2003/04, is planned to increase by an annual average of 4% over the next four years, with income from Research Councils increasing at a greater annual average rate of 6%. This plan does not reflect additional income, resulting from the charging of full economic costs under the dual support review.

vii) Staff costs represent approximately 60% of the total College expenditure throughout the plan period and this allows for increased staffing levels on research activities.

viii) The new 51 point pay spine was implemented during 2004 as part of a wide - ranging pay and grading reform exercise. All pay changes were implemented with retrospective effect to 1 August 2003. Whilst the final few staff are still being assimilated, approximately 95% of staff have voluntarily signed up to the new arrangements. The additional resources supplied by HEFCE have
been of enormous help in achieving our ambitious pay and grading goals, which included harmonization of conditions of service, consolidation of London Weighting and local pay bargaining. The additional cost of this reform programme is borne entirely by the incremental HR Strategy income stream.

2. Key risks
   i) Lower than planned research activity - overhead income from research grants and contracts is forecast to increase by £3.2m (11%) in 2004/05, £4.0m in 2005/06 (14%) and significantly above inflation thereafter. If the planned increase in the research activity does not materialize, the College’s overhead income would be proportionally lower.
   ii) The College currently receives in excess of £35.0m per annum from overseas students and this is forecast to rise by £2.8m in 2004/05 (8%), £5.6m in 2005/06 (15%) and to continue to increase in line with student numbers thereafter.
   iii) If the forecast levels of operating income cannot be achieved, reductions in staff and non-staff expenditure will need to be considered.

3. Specific actions taken to ensure continued financial viability
   i) College is currently progressing a number of initiatives to simplify its systems and processes with the primary aim of achieving efficiencies which in turn should reduce costs. Two of these initiatives are worthy of note:
      a. Support Services Initiative (SSI) – the primary objective here is to release academic time for the academic mission; to measurably improve quality of service as defined by the users; to ensure support services are responsive to the strategic needs of the College and that the operational service delivery is clearly driven by College priorities; and to ensure and demonstrate the effective stewardship of resources
      b. Research Administration Management Programme (RAMP) – this will provide the College with significantly enhanced capability in the administration of research grants and contracts. Process, systems and organisational issues are being addressed in order to deliver a solution comprising a seamless process, which facilitates clarification of accountability and responsibility.
   ii) The College is committed to the concept of sustainability and aims to leverage maximum possible income through the rigorous pursuit of the full economic costing (fEC) principles in its submission of research contracts with all funders where appropriate. However, as stated in A1.vi above, as the additional income to be achieved through this process has not yet been quantified it has not been incorporated within this forecast.

4. Strategy regarding student fees
   i) The College anticipates that it will raise fees for HEU undergraduates to the maximum level of £3k from 2006-07 across all its subject areas. A bursary scheme is being developed to help undergraduate students achieving the highest grades in their A-levels who are least able to afford increased tuition fees. The final details of the scheme will be approved by the College by February 2005. It will be funded from one-third of the anticipated additional fee income and will offer studentships of up to £4k per annum for eligible candidates.
   ii) The additional fee income has been calculated on the assumption that 8% of 2006/07 HEU new entrants will have postponed entry from 2005 to take a gap year. The expenditure numbers do not include any additional administrative costs which may result.
We do not expect to see any reduction in admissions in any area because of the introduction of £3k HEU undergraduate fees.

B. Supporting notes to the forecast tables

1. Analysis of significant movements
   i) Exceptional income is described in section 3 below.
   ii) Fee income is planned to increase by £14.3 million over the period 2004/05 to 2007/08. Of this increase £10.9 million flows from overseas students whose numbers are currently forecast to rise by 529 over the same period. No increase above inflation in underlying fee structures has been assumed.
   iii) Research overhead income is forecast to increase by £3.2 million (11%) in 2004/05, £4 million in 2005/06 (14%).
   iv) As a result of the College’s capital programme both depreciation and interest payable are forecast to increase significantly over the planning period. The forecast assumes that interest rates remain close to current levels.
   v) The funding raised to finance the capital programme is reflected in the increase of £33 million in long term creditors and the £17.4 million overdraft currently forecast to be required in 2006/07.

2. Other significant assumptions
   As the fee forecast is based on estimated student numbers over a range of different fee level courses the increase in average fee rates reported in table 12 are not, apart from HEU fulltime undergraduates, in line with inflation.

3. Exceptional and unusual items
   i) Exceptional items included in Table 1 head 13 relate to the sale of property and investment assets
   ii) As indicated above (A 1v, 3), the College has instigated a number of projects whose costs are incorporated in the forecast. The forecast direct charge to the Income and Expenditure account is £3.6m for 2004/05 with associated capital expenditure of £4.2m resulting in increased interest and depreciation charges

4. Analysis of reserves and reserve movements
   The fall in the revaluation reserve reflects the disposal of part of the College’s holding in Turbo Genset Inc.

5. Other long-term creditors
   Other long-term creditors included under Table 3 Head 7c relate to grants from the University Challenge Seed Fund.

6. Cash flow statements
   Included in the forecast cash flow are
   head 2e - income resulting from realisation of value in spin out companies
   head 4h - this relates to our “Shared Equity” scheme whereby College assists leading academics to purchase homes in London.
   Head 8d - nil
7. **Commentary approval**

The forecast tables and commentary were approved by the Council through Chairman’s action.

Signed on behalf of the institution by:

Sir Richard Sykes, Rector  
A S D Cannon, Director of Finance

28 July 2004
Financial forecasts 2004

HEFCE finance adviser: Penny Moynihan
Telephone number: 0117 931 7133
Email address: p.moynihan@hefce.ac.uk

Table 1: Income and expenditure account
Institution: Imperial College
Code: H-0132

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<td>Income</td>
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<tr>
<td>1. Funding council grants</td>
<td>£116,872</td>
<td>£132,179</td>
<td>£135,430</td>
<td>£139,078</td>
<td>£140,562</td>
<td>£143,787</td>
</tr>
<tr>
<td>2. Academic fees and support grants</td>
<td>£49,826</td>
<td>£55,972</td>
<td>£60,214</td>
<td>£67,115</td>
<td>£71,626</td>
<td>£74,545</td>
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<tr>
<td>3. Research grants and contracts</td>
<td>£167,157</td>
<td>£167,766</td>
<td>£175,299</td>
<td>£194,372</td>
<td>£209,541</td>
<td>£222,015</td>
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<td>4. Other operating income</td>
<td>£72,922</td>
<td>£76,981</td>
<td>£77,884</td>
<td>£80,540</td>
<td>£83,836</td>
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<td>5. Endowment income and interest receivable</td>
<td>£2,527</td>
<td>£2,732</td>
<td>£1,524</td>
<td>£1,489</td>
<td>£1,503</td>
<td>£1,518</td>
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<tr>
<td>6. Total income</td>
<td>£409,304</td>
<td>£435,630</td>
<td>£450,350</td>
<td>£482,594</td>
<td>£507,068</td>
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<td>7. Staff costs</td>
<td>£237,656</td>
<td>£254,013</td>
<td>£270,495</td>
<td>£286,562</td>
<td>£299,651</td>
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<td>8. Other operating expenses</td>
<td>£147,269</td>
<td>£151,041</td>
<td>£153,989</td>
<td>£154,436</td>
<td>£159,644</td>
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<td>10. Interest payable</td>
<td>£1,064</td>
<td>£2,292</td>
<td>£3,775</td>
<td>£5,319</td>
<td>£6,396</td>
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<td>11. Total expenditure</td>
<td>£406,449</td>
<td>£430,542</td>
<td>£456,870</td>
<td>£479,605</td>
<td>£502,050</td>
<td>£520,430</td>
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<td>12. Surplus/(deficit) after depreciation of assets at valuation and before exceptional items and tax</td>
<td>£2,855</td>
<td>£5,088</td>
<td>-£6,519</td>
<td>£2,989</td>
<td>£5,018</td>
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<td>13. Exceptional items</td>
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<td>£12,792</td>
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<td>14. Surplus/(deficit) after depreciation of assets at valuation and before tax</td>
<td>£2,855</td>
<td>£17,880</td>
<td>-£6,519</td>
<td>£2,989</td>
<td>£5,018</td>
<td>£7,409</td>
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<td>15. Taxation</td>
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<td>16. Minority interest</td>
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<td>17. Surplus/(deficit) after depreciation of assets at valuation and tax</td>
<td>£2,873</td>
<td>£17,880</td>
<td>-£6,519</td>
<td>£2,989</td>
<td>£5,018</td>
<td>£7,409</td>
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Note of historical cost surpluses and deficits

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<tr>
<td>18. Surplus/(deficit) after depreciation of assets at valuation and tax</td>
<td>£2,873</td>
<td>£17,880</td>
<td>-£6,519</td>
<td>£2,989</td>
<td>£5,018</td>
<td>£7,409</td>
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<td>19. Difference between a historical cost depreciation charge and the actual depreciation charge for the year calculated on the revalued amount</td>
<td>£0</td>
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<td>20. Realisation of property revaluation gains of previous years</td>
<td>£164</td>
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<td>21. Historical costs surplus/(deficit) after tax</td>
<td>£3,037</td>
<td>£18,930</td>
<td>-£6,519</td>
<td>£2,989</td>
<td>£5,018</td>
<td>£7,409</td>
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### Financial forecasts 2004

#### Table 2a: Analysis of income

**Institution:** Imperial College  
**Code:** H-0132

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<td>1. Funding council grants</td>
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<tr>
<td>1a. i) HEFCE: teaching grant</td>
<td>47,790</td>
<td>52,820</td>
<td>51,935</td>
<td>52,831</td>
<td>53,959</td>
<td>55,415</td>
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<td>1a. ii) HEFCE: teaching - additional student numbers grant</td>
<td>0</td>
<td>0</td>
<td>0</td>
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<tr>
<td>1b. HEFCE: research grant</td>
<td>60,692</td>
<td>69,683</td>
<td>71,637</td>
<td>73,478</td>
<td>75,455</td>
<td>77,492</td>
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<td>1c. HEFCE: release of deferred capital grants</td>
<td>5,030</td>
<td>5,848</td>
<td>7,910</td>
<td>10,697</td>
<td>11,058</td>
<td>10,817</td>
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<td>1d. HEFCE: other grants (from Table 2b)</td>
<td>3,360</td>
<td>3,828</td>
<td>3,948</td>
<td>2,072</td>
<td>70</td>
<td>63</td>
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<td>1f. TTA: mainstream ITT funding</td>
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<td>1g. TTA: INSET funding</td>
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<td>1h. TTA: other funding</td>
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<tr>
<td>1i. Total funding council grants</td>
<td>116,872</td>
<td>132,179</td>
<td>135,430</td>
<td>139,078</td>
<td>140,562</td>
<td>143,787</td>
</tr>
<tr>
<td>2. Academic fees and support grants</td>
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<tr>
<td>2a. Full-time UG - home and EC</td>
<td>6,450</td>
<td>6,464</td>
<td>6,615</td>
<td>6,811</td>
<td>6,986</td>
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<td>2b. Full-time postgraduate - home and EC</td>
<td>8,351</td>
<td>8,115</td>
<td>8,720</td>
<td>9,209</td>
<td>9,877</td>
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<td>2c. Part-time fees - home and EC</td>
<td>2,304</td>
<td>2,448</td>
<td>2,500</td>
<td>2,775</td>
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<td>2d. Overseas students</td>
<td>27,283</td>
<td>35,373</td>
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<td>2e. Fees from NHS contracts</td>
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<td>2f. Other fees and support grants</td>
<td>5,438</td>
<td>3,572</td>
<td>4,243</td>
<td>4,542</td>
<td>4,954</td>
<td>5,108</td>
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<td>2g. Total academic fees and support grants</td>
<td>49,826</td>
<td>55,972</td>
<td>60,214</td>
<td>67,115</td>
<td>71,625</td>
<td>74,545</td>
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<td>3. Research grants and contracts</td>
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<td>3a. Research Councils</td>
<td>48,676</td>
<td>45,770</td>
<td>51,719</td>
<td>59,678</td>
<td>65,856</td>
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<td>3b. UK based charities</td>
<td>52,022</td>
<td>57,221</td>
<td>57,468</td>
<td>61,548</td>
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<td>3c. Other research grants and contracts</td>
<td>66,459</td>
<td>64,776</td>
<td>66,112</td>
<td>73,146</td>
<td>77,431</td>
<td>81,378</td>
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<tr>
<td>3d. Total research grants and contracts</td>
<td>167,157</td>
<td>167,766</td>
<td>175,299</td>
<td>194,372</td>
<td>209,541</td>
<td>222,015</td>
</tr>
<tr>
<td>4. Other operating income</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>4a. Other services rendered</td>
<td>11,566</td>
<td>9,859</td>
<td>10,264</td>
<td>10,878</td>
<td>11,642</td>
<td>12,559</td>
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<td>4b. Residences and catering operations</td>
<td>16,899</td>
<td>17,056</td>
<td>17,243</td>
<td>16,723</td>
<td>17,341</td>
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<td>4c. Income from NHS contracts</td>
<td>18,361</td>
<td>19,970</td>
<td>20,569</td>
<td>21,186</td>
<td>21,822</td>
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<td>4d. Other operating income</td>
<td>25,096</td>
<td>30,096</td>
<td>29,808</td>
<td>31,753</td>
<td>33,031</td>
<td>32,436</td>
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<td>4e. Total other operating income</td>
<td>74,322</td>
<td>76,981</td>
<td>77,834</td>
<td>80,540</td>
<td>83,936</td>
<td>85,975</td>
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<tr>
<td>5. Total endowment income and interest receivable</td>
<td>2,527</td>
<td>2,732</td>
<td>1,524</td>
<td>1,489</td>
<td>1,503</td>
<td>1,518</td>
</tr>
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<td>6. Total income</td>
<td>409,304</td>
<td>435,630</td>
<td>450,350</td>
<td>482,594</td>
<td>507,068</td>
<td>527,839</td>
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#### Table 2b: HEFCE other grants

**Institution:** Imperial College  
**Code:** H-0132

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<tr>
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<td>140,562</td>
<td>143,787</td>
</tr>
<tr>
<td>2. Academic fees and support grants</td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Research grants and contracts</td>
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<td>4. Other operating income</td>
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<td>5. Total endowment income and interest receivable</td>
<td>2,527</td>
<td>2,732</td>
<td>1,524</td>
<td>1,489</td>
<td>1,503</td>
<td>1,518</td>
</tr>
<tr>
<td>6. Total income</td>
<td>409,304</td>
<td>435,630</td>
<td>450,350</td>
<td>482,594</td>
<td>507,068</td>
<td>527,839</td>
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#### Table 3: Variable fee assumptions

**Institution:** Imperial College  
**Code:** H-0132

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<td>3. Research grants and contracts</td>
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<td>4. Other operating income</td>
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<td></td>
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<td></td>
<td></td>
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<td>5. Total endowment income and interest receivable</td>
<td>2,527</td>
<td>2,732</td>
<td>1,524</td>
<td>1,489</td>
<td>1,503</td>
<td>1,518</td>
</tr>
<tr>
<td>6. Total income</td>
<td>409,304</td>
<td>435,630</td>
<td>450,350</td>
<td>482,594</td>
<td>507,068</td>
<td>527,839</td>
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## Financial forecasts 2004

### Table 4: Balance sheet

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<th>Code: H-0132</th>
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<td>1c. Total fixed assets</td>
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<td>2b. Other investments</td>
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<td>2c. Total endowment assets</td>
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<td>3. Current assets</td>
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<td>3a. Stocks and stores in hand</td>
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<td>3c. Investments</td>
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<td>3d. Cash in hand and at bank</td>
<td>7,745</td>
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<td>3e. Total current assets</td>
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<td>4. Creditors: amounts falling due within one year</td>
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<td>4b. Current portion of long-term liabilities</td>
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<td>4c. Bank overdrafts</td>
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<td>4d. Total amounts falling due within one year</td>
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<td>5. Net current assets/(liabilities)</td>
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<td>6. Total assets less current liabilities</td>
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<td>7d. Total amounts due after more than one year</td>
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<td>10. Deferred capital grants</td>
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<td>11. Endowments</td>
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<td>11a. Specific endowments</td>
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<td>12b. Minority interest</td>
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<td>12c. Income and expenditure account</td>
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<td>12d. Total reserves</td>
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<td>13. Total funds</td>
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### Table 5: Cash flow statement

**Institution:** Imperial College  
**Code:** H-0132

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<td>£000</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
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<td>1. Cash flow from operating activities (from Table 6 head 15)</td>
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<td>2a. Income from endowments</td>
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<td>24</td>
<td>350</td>
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<td>2f. Net cash flow from returns on investments and servicing of finance</td>
<td>2,116</td>
<td>463</td>
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<td>4. Capital expenditure and financial investment</td>
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<td>4a. Payments to acquire tangible assets</td>
<td>-69,033</td>
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<td>4c. Total payments to acquire fixed/endowment assets</td>
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<td>-105,054</td>
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<td>4d. Receipts from sale of tangible assets</td>
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<td>14,343</td>
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<td>4f. Deferred capital grants received</td>
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<td>31,088</td>
<td>79,778</td>
<td>25,770</td>
<td>6,500</td>
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<td>6. Cash flow before use of liquid resources and financing</td>
<td>-24,934</td>
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<td>-23,026</td>
<td>-28,152</td>
<td>-6,705</td>
<td>9,041</td>
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<td>7. Management of liquid resources</td>
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<td>8a. Capital element of finance lease repayments</td>
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<td>8c. Mortgage and loan capital repayments</td>
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<td>8e. Net cash flow from financing</td>
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<td>23,000</td>
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<td>9. Increase/(decrease) in cash in the period</td>
<td>770</td>
<td>-21,066</td>
<td>-13,026</td>
<td>-5,152</td>
<td>-6,705</td>
<td>9,041</td>
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</table>

### Table 6: Reconciliation of surplus/(deficit) for the year to net cash flow

**Institution:** Imperial College  
**Code:** H-0132

<table>
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<td></td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
<td>£000</td>
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<td>1. Surplus/(deficit) after depreciation of assets at valuation and before tax (from Table 1 head 14)</td>
<td>2,855</td>
<td>17,880</td>
<td>-5,519</td>
<td>2,989</td>
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<td>4. (Increase)/decrease in stocks</td>
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<td>5. (Increase)/decrease in debtors</td>
<td>14,880</td>
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<td>1,865</td>
<td>-5,117</td>
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<td>-4,233</td>
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<td>6. Increase/(decrease) in creditors</td>
<td>2,298</td>
<td>5,483</td>
<td>-2,531</td>
<td>-3,243</td>
<td>1,715</td>
<td>1,759</td>
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<td>7. Increase/(decrease) in provisions</td>
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<td>184</td>
<td>184</td>
<td>184</td>
<td>184</td>
<td>184</td>
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<td>8. Interest payable (from Table 1 head 10)</td>
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<td>2,292</td>
<td>3,775</td>
<td>5,319</td>
<td>6,396</td>
<td>5,910</td>
</tr>
<tr>
<td>9. Investment income</td>
<td>-2,527</td>
<td>-2,732</td>
<td>-1,524</td>
<td>-1,489</td>
<td>-1,503</td>
<td>-1,918</td>
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<td>10. Profit on sale of endowment assets</td>
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<td>11. (Profit)/Loss on disposal of fixed asset</td>
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<td>12. Share of (profits)/losses of associated Companies</td>
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<td>15. Net cash flow from operating activities</td>
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<td>10,324</td>
<td>29,556</td>
<td>22,934</td>
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## Financial forecasts 2004

### Table 7: Capital expenditure and expected method of financing

#### Institution: Imperial College

**Code: H-0132**

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<th>Total project expenditure</th>
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<th>2004-05</th>
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</tr>
<tr>
<td>Biochemistry Building</td>
<td>21,959</td>
<td>2,722</td>
<td>8,116</td>
<td>10,250</td>
<td>209</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total other projects</td>
<td>46,372</td>
<td>4,150</td>
<td>8,687</td>
<td>16,342</td>
<td>3,193</td>
<td>7,000</td>
<td>7,000</td>
</tr>
<tr>
<td>Total land and buildings</td>
<td>318,775</td>
<td>56,195</td>
<td>74,546</td>
<td>94,173</td>
<td>50,012</td>
<td>28,768</td>
<td>7,000</td>
</tr>
<tr>
<td>1b. Equipment capitalised</td>
<td>18,583</td>
<td>13,585</td>
<td>10,881</td>
<td>9,705</td>
<td>10,000</td>
<td>10,000</td>
<td>0</td>
</tr>
<tr>
<td>1c. Total tangible assets</td>
<td>74,778</td>
<td>88,131</td>
<td>105,054</td>
<td>59,717</td>
<td>38,768</td>
<td>17,000</td>
<td>0</td>
</tr>
</tbody>
</table>

#### 2. Method of financing

| 2a. Institutions own cash resources |  |  |  |  |  |  |  |
| 2b. Loans/leasing | 4,150 | 8,687 | 16,342 | 3,193 | 7,000 | 7,000 | 0 |
| 2c. Proceeds from sale of assets | 12,792 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2d. Donations/fundraising/lottery funds | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2e. Specific capital grants | 37,382 | 31,088 | 79,778 | 25,770 | 6,500 | 6,500 | 0 |
| 2f. Other | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| 2g. Total financing | 74,778 | 88,131 | 105,054 | 59,717 | 38,768 | 17,000 | 0 |

### Table 8: Analysis of staff cost movements

#### Institution: Imperial College

**Code: H-0132**

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Staff numbers (FTEs academic and other)</td>
<td>6,106</td>
<td>6,161</td>
<td>6,364</td>
<td>6,485</td>
<td>6,589</td>
<td>6,642</td>
</tr>
<tr>
<td>2a. Total staff costs (£000) (from Table 1 head 7)</td>
<td>237,656</td>
<td>254,013</td>
<td>270,495</td>
<td>286,562</td>
<td>299,651</td>
<td>311,073</td>
</tr>
<tr>
<td>2b. Less restructuring costs (£000)</td>
<td>1,850</td>
<td>2,000</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2c. Recurrent staff costs (£000)</td>
<td>235,806</td>
<td>252,013</td>
<td>270,495</td>
<td>286,562</td>
<td>299,651</td>
<td>311,073</td>
</tr>
<tr>
<td>3. Recurrent cost per employee (£)</td>
<td>38,619</td>
<td>40,905</td>
<td>42,502</td>
<td>44,187</td>
<td>45,478</td>
<td>46,837</td>
</tr>
<tr>
<td>Year on year % increases</td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>4. Staff numbers</td>
<td>0.9</td>
<td>3.3</td>
<td>1.9</td>
<td>1.6</td>
<td>0.8</td>
<td>0.5</td>
</tr>
<tr>
<td>5. Pay inflation</td>
<td>5.0</td>
<td>3.0</td>
<td>3.0</td>
<td>3.0</td>
<td>3.0</td>
<td>3.0</td>
</tr>
<tr>
<td>6. Incremental drift</td>
<td>1.0</td>
<td>1.0</td>
<td>1.0</td>
<td>1.0</td>
<td>0.0</td>
<td>0.0</td>
</tr>
<tr>
<td>7. Other movement *</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
</tr>
<tr>
<td>8. Total movement in recurrent staff costs</td>
<td>6.9</td>
<td>7.3</td>
<td>5.9</td>
<td>4.6</td>
<td>3.8</td>
<td>0.5</td>
</tr>
</tbody>
</table>

* 'Other movement' is calculated as a balancing figure reconciling recurrent staff cost movements to supporting assumptions.
### Table 9: Long-term borrowing

<table>
<thead>
<tr>
<th></th>
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<th></th>
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<th></th>
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<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Institution:</strong> Imperial College</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Code:</strong> H-0132</td>
<td>000</td>
<td>000</td>
<td>000</td>
<td>000</td>
<td>000</td>
<td>000</td>
</tr>
<tr>
<td>1. Total income (from Table 1 head 6)</td>
<td>409,304</td>
<td>435,630</td>
<td>450,350</td>
<td>482,594</td>
<td>507,068</td>
<td>527,839</td>
</tr>
<tr>
<td>2. Less interest reimbursed by the HEFCE</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>3. Adjusted total income</td>
<td>409,304</td>
<td>435,630</td>
<td>450,350</td>
<td>482,594</td>
<td>507,068</td>
<td>527,839</td>
</tr>
<tr>
<td>4. Annualised servicing costs (ASC) of borrowing</td>
<td>4,362</td>
<td>4,362</td>
<td>7,719</td>
<td>7,719</td>
<td>7,719</td>
<td>7,719</td>
</tr>
<tr>
<td>5. ASC as % of adjusted total income*</td>
<td>1.1</td>
<td>1.0</td>
<td>1.7</td>
<td>1.6</td>
<td>1.5</td>
<td>1.5</td>
</tr>
</tbody>
</table>

The above table calculates percentages with reference to income in the same year.

* Please note however that for Financial Memorandum purposes the annualised servicing cost percentage is calculated with reference to the income reported in the latest audited financial statements, or the estimated amount for the current year if that is lower.

### Table 10: Analysis of provisions

<table>
<thead>
<tr>
<th></th>
<th>31/7/03</th>
<th>31/7/04</th>
<th>31/7/05</th>
<th>31/7/06</th>
<th>31/7/07</th>
<th>31/7/08</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Institution:</strong> Imperial College</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Code:</strong> H-0132</td>
<td>000</td>
<td>000</td>
<td>000</td>
<td>000</td>
<td>000</td>
<td>000</td>
</tr>
<tr>
<td>Pension costs</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Restructuring costs</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Decommissioning of Engineering Facility</td>
<td>1,716</td>
<td>1,900</td>
<td>2,084</td>
<td>2,268</td>
<td>2,452</td>
<td>2,636</td>
</tr>
<tr>
<td>Other</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Total</td>
<td>1,716</td>
<td>1,900</td>
<td>2,084</td>
<td>2,268</td>
<td>2,452</td>
<td>2,636</td>
</tr>
</tbody>
</table>

### Table 11: Miscellaneous information

<table>
<thead>
<tr>
<th></th>
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<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Institution:</strong> Imperial College</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Code:</strong> H-0132</td>
<td>000</td>
<td>000</td>
<td>000</td>
<td>000</td>
<td>000</td>
<td>000</td>
</tr>
<tr>
<td>1. Identification of items included in other operating expenses (Table 1 head 8)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1a. Operating leases and other long term operating expense commitments</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>1b. Annual contract cost of PFI deals</td>
<td>1,685</td>
<td>1,754</td>
<td>1,806</td>
<td>1,860</td>
<td>1,935</td>
<td>0</td>
</tr>
<tr>
<td>2. Non-pay inflation</td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
<td>%</td>
</tr>
</tbody>
</table>

| 2. Non-pay inflation | 2.0 | 2.0 | 2.0 | 2.0 | 2.0 | 2.0 |
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IMPERIAL COLLEGE, LONDON

HR STRATEGY

College Mission and Strategic Intent

The College has developed its overall strategic plan within the remit 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.*

The College has a clear vision of its purpose and its Strategic Intent, and it has identified five key themes and fourteen associated major strategic goal areas:

**Five key themes:**

- 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 benefits of our activities in particular.

**Fourteen associated major strategic goal areas:**

- teaching and learning at Imperial;
- recruitment of suitably qualified students;
- research strategy;
- exploitation of intellectual assets and skills;
- fundraising and alumni relations;
- staff attraction, reward, development and retention;
- strengthening the reputation and international position of Imperial;
- managing the estate;
- improving the effectiveness of the organisation;
- health, safety and the environment;
- influencing the development of the higher education environment;
- improving access to, and use of, information;
- creating a Business School that displays Imperial values and excellence.
The College’s HR Strategy has been developed to facilitate the achievement of College Strategic Objectives set within the strategic goal areas. As achievement of the College’s Strategic Objectives is dependent upon the performance of our staff and the quality of their contribution, we have developed HR specific Aims and Action Plans for the period 2004-2006 and these are shown below. Some of these are a development from those drawn up for our 2001-2004 HR Strategy, having been brought to life and updated through subsequent projects and activities.

There is no doubt that our ability to pay staff at a level consistent with their standing and contribution is paramount in the achievement of these objectives. In addition, a significant factor in attracting world-class academic staff to the College is the environment that it can offer them to allow their research and teaching to flourish. We need to ensure that the required financial, physical and human resources are available, supported by an appropriate organisational structure. Thus the HR Strategy is integrated with other College strategies, policies and plans.

Outcomes and Review

The success of the College in achieving its Strategic Objectives will be measured by the following metrics:

1. Staff turnover
2. Qualitative feedback from staff about the College as an employer (as gathered from staff surveys, focus group sessions, one-to-one meetings, exit interviews and questionnaires)
3. Proportion of staff with Personal Development Plans agreed against College objectives
4. Performance improvements assessed via the Performance Review and Development Planning system
5. Absence rates
6. The diversity of the workforce in relation to the appropriate population for each staff category: local, national, international
7. HR service performance measures against targets
8. Percentage of research staff on substantive career contracts
9. Impact of staff development and educational development activities

External and Internal Environment

In order to achieve its Strategic Objectives, the College takes account of the opportunities and challenges offered both externally and internally. Some of these are of particular relevance to the HR Strategy.
External Opportunities and Constraints

The UK Higher Education Environment

The College, with its particular mission and international standing in a unique combination of disciplines in engineering, life sciences, medicine and physical sciences, is well placed to respond to the opportunities offered by recent advances in these disciplines. This combination enables us to focus our work in a major way on important global concerns and we have the critical mass required to undertake significant programmes of activity in these areas. By fostering an enterprise culture, and through our innovative and collaborative research, we aim to exploit the interface between these various disciplines.

There are significant external challenges to be faced, however, if these opportunities are to be realised. The national drive to increase the proportion of the population undertaking undergraduate courses must not lead to the reduction of our high academic standards on which the fulfilment of our Mission is crucially dependent. There is an increasing social mistrust of scientific endeavour, a decline in the uptake of science in schools and, nationally, the number of applications for higher education study is not keeping pace with the increased participation targets.

Funding

Traditional HE funding mechanisms are certainly inadequate to develop our potential to the full, with the under-funding of the research infrastructure being of particular concern. The College views the move to a market-led fee-based system, where there are greater differentials in fees, as a positive step but it views the proposed cap as inhibitive. The substantial costs of living and working in London and its environs exacerbate the financial difficulties we experience in attracting and retaining high-quality people in all staff categories.

Thus an important element of our Financial Strategy is a substantial College fund raising campaign. In addition to assisting the funding of first class facilities, one of the objectives of the campaign is to endow funds for scholarships to ensure the College continues to attract very able students by reducing the financial constraints which may deter them.

The availability of special additional funding to support the development and implementation of human resource strategies has been hugely beneficial and has allowed us to undertake activities that, previously, would not have been possible because of inadequate financial support for HR initiatives. Many changes, however, will incur additional long-term recurrent costs, particularly those relating to the new pay framework. These will not only increase the costs of employing those in posts financed by general College funds but also the direct and indirect costs of those financed by external agencies. With respect to direct costs, the College is seeking to gain agreement from these external agencies to fund them. With regard to indirect costs, as part of its Financial and Research Strategies, the College, with other research universities, is seeking to reach a better understanding with external funding agencies of the requirement for adequate overheads to be paid for research projects. It is also seeking to ensure that this requirement is well understood internally.
Legal Framework

As a matter of course, the College keeps under review the policies and procedures which underpin the fulfilment of its legal responsibilities as an employer and it develops new policies as required.

Internal Opportunities and Constraints

Pay and Grading Reform

Inevitably, much of the activity within Human Resources in Imperial College over the last couple of years has been devoted to issues around the implementation of pay and grading reform. This will have been completed by the end of the financial year 2004, effectively bringing to an end the most significant activity featured in our original strategy proposals and certainly the most significant call upon additional strategy funding. We have, we believe, met targets in this key area of activity that would not be out of line with good commercial practice.

Organisational Change

Since Sir Richard Sykes became Rector in January 2001, the College has engaged in a comprehensive review of how it might best address the opportunities and challenges which it faces. These have been summarised as having two closely linked aspects:

- more effective management of the resources and policies which support and develop the internal academic environment;
- commercial influence and PR efforts to manage the external environment.

The most significant outcome of this review was the decision to move to a faculty-based organisation based on four Faculties: Engineering, Life Sciences, Medicine and Physical Sciences. These Faculties are complemented by the Tanaka Business School.

The Support Services Initiative

As part of the ongoing consolidation of the faculty structure, the College is committed to the modernisation of its support services and has approved for implementation the devolution of operational Human Resources, Finance and Research Services within the faculty structures, whilst retaining strategic and some shared services at the Centre.

This modernisation initiative will have considerable impact on the Human Resources function, not least because the Division will itself be going through a period of organisational change while, at the same time, providing support to other College departments and divisions.

Revised service objectives, quality standards, performance management routines and audit mechanisms will need to be determined in line with the new operating model.

The White Paper – Learning and Teaching

The College’s Centre for Educational Development, established in 2000, has grown significantly both in size and profile. Its major functions are to work collaboratively
with departments/divisions to raise the profile of learning, teaching, course design and assessment, to enhance training and to promote research into student learning and educational development. Dissemination and exchange of good practice are achieved through network sessions, workshops, meetings, one-to-one coaching, representation on various committees and working parties and via its information giving, and open learning, website.

The Centre’s work in relation to the recognition and reward of teaching has been informed by the College’s Learning and Teaching Strategy, e-Learning Strategy, our Widening Participation plans and the HR Strategy. The latter has been used to raise the profile of teaching through an emphasis upon staff development and reward. New posts in Learning Technology and Education Development contribute to the College’s ability to prepare staff to meet current needs and future changes, such as using new technologies for learning and teaching. A Supporting Learning and Teaching Programme (SLTP) has been developed to ensure that non-academic staff, who have significant contact with students and influence their learning, develop their expertise.

The Challenge of Diversity

With the advent of the HR Strategy, the College dedicated substantial resources to equality and diversity. Action has focused upon achieving a wider recognition of the business case for diversity and the need for the College to take a proactive approach, together with ensuring that staff are equipped to deal with the significant increase in legislation aimed at promoting equality.

In August 2002, the College undertook an audit of all staff on equality and diversity. This exercise, entitled “Imperial College – A Good Place to Work?”, provided valuable information about staff’s experiences at the College and, because it involved all rather than just a sample of staff, served as a method of communicating and generating staff interest in equality and diversity issues. The recommendations arising from the Audit Report have played a major role in determining our work programme.

The challenges, however, remain and not only in the amount of work that needs to be done. The extent of recognition and understanding is difficult to measure with certainty. The business case for equality and diversity still needs to be “sold” in order that a more visible commitment is achieved without a backlash from any particular group. The College is mindful of the challenges involved in avoiding superficial “politically correct” responses, or the perception that HR has embarked upon its own evangelical crusade.

Physical Resources

The College estate is comprised of a mixture of types and ages of buildings but is predominately of 1960/70s origin. As such, much of the service infrastructure is at the end of its operational life and many buildings have become unfit for purpose. In the international market for excellent staff, the College is at risk of losing researchers to other places with better facilities.

To address this potential problem, and to ensure that space availability facilitates our Strategic Objectives, funding has been raised to construct a number of new biomedical buildings, the new Tanaka Business School and the new Faculty
Building. Fit for purpose accommodation is still required and the College will continue to seek external funding and apply earmarked public funding such as SRIF to modernise facilities for academic work. A major building programme is underway and its scale presents a challenge to staff managing, or affected by, the programme and coping with the inevitable disruption. Even at the end of this phase, the continuing or increasing need for refurbishment and re-provision on most campuses will mean that the College will need a continuous change management programme relating to accommodation for the foreseeable future.

**Human Resources**

The success of our response to the external opportunities and challenges, and the effective internal management of change and strategy development, is crucially dependent on the capability, flexibility, loyalty and committed effort of our staff.

The main markets from which the College recruits vary according to the category of staff. We need to continue to attract and retain academic staff who are the best in the world in their field if we are to embody and deliver world-class scholarship, education and research. We also need to be able to attract and develop research staff of high calibre, both from the UK and overseas, to support our academic staff. Professional and specialist staff need to have the capability required to operate effectively, both internally and externally, and to add value in a complex knowledge-based organisation. They will generally be recruited from the national market. For the attraction and retention of appropriate support staff in other roles, we have to be able to compete with the local market where able staff are at a premium.

**Management Information**

Since the implementation of Oracle HRMS, Payroll and Financials in 1999, the College has built on this foundation to begin to exploit the potential of its management information systems. Having recently upgraded to version 11.5.9, the College is currently implementing both the Oracle Grants Management module and the Oracle Student System.

Provision of management information is fundamental to the achievement of the College’s Strategic Objectives. The quality of both our systems, and our data, remains a key priority and much progress has been made in improving our data by concentrating on user training and data audit. Data is now available for use in focusing HR operations (for example in staff planning and absence management) although the quality of data on the diversity of staff remains a concern.

Ensuring that our systems support the College’s modernisation programme (the Support Services Initiative described above) will require a review of HR processes with a view to e-enabling them where appropriate.

**Aims & Action Plans**

The following aims and action plans have been developed to promote the **College’s Strategic Objectives** that are directly related to HR activity. These are:

- To attract, reward, develop and retain staff of the highest calibre;
- To develop a modern organisation which is efficient, effective and adaptable;
• To implement effective management processes;
• To develop and provide management information appropriate to College needs.

The aims and action plans, and the timetable for their achievement, have been adopted by the College during the annual Planning Round process described in Appendix C – Management Processes

*An investment plan for 2004-06 is shown as Annex B*
APPENDIX A: RECRUITMENT, REWARD, DEVELOPMENT AND RETENTION

College Strategic Objective: To attract, reward, develop and retain staff of the highest calibre

The College recognises that the quality of its staff and their contributions represent its most significant asset in fulfilling its mission. In the extensive consultation prior to the formulation of the 2001 HR Strategy, the feedback was consistent that, to achieve its Strategic Intent, the College must be an institution that people are keen to join and, once here, feel proud to be contributing to its success. In return, the College should aim to ensure that the career and personal potential of staff is rewarded, recognised and developed in a properly resourced and supportive environment.

An important part of this strategy is the attraction and retention of key people of talent. It is important we do not lose sight of the need to reward our very best people and to be in a position to attract outstanding talent to the College. In tandem, we need to maintain the support of all those staff who discharge their duties effectively and meritoriously if we are to achieve an overall increase in organisational effectiveness. The new pay and grading structure, therefore, attempted to tread a careful path between motivation and reward at the broad institutional, as well as, the individual level.

Reward

Where we are now: The College has made considerable progress in the implementation of pay and grading reform during the period covered by RDS1 funding.

The objectives of the College in seeking pay and grading reform were that any new structure should:

- reward commitment and performance rather than merely length of service;
- strengthen the ability to attract key people of talent;
- facilitate due recognition of the market as well as the job undertaken;
- ensure that the requirements of equal pay for work of equal value are met;
- be simple to understand and easy to maintain.

Initially, Imperial was one of a small number of institutions to promote the job family/role profile approach. This methodology subsequently “caught on” and is now being developed widely across the sector. Although our use of job families and role profiles has been determined by the need to establish a coherent grading structure, the approach has other material benefits. These include a clearly defined career ladder whereby individual staff can see the qualification and competency steps they need to obtain in order to be ready to compete for jobs at a higher level. The use of profiles in terms of
training and development is also valuable. In short, they have become a useful vehicle which underpins a number of other elements of the Human Resources Strategy for the College.

The structure adopted by the College comprises four Job Families: Research and Education, Professional Services, Operational Services and Technical Services, and seven pay bands – though in only the Professional Services family are all seven bands occupied. The College has consolidated London Allowance into the national 51point pay spine to create a local pay spine. Because of the significant differences between the Research and Education family and the other job families (career progression and expectations and, above all, the nature of the work itself, is profoundly different for this group) the roles for the Research and Education family were designated by the letters A-E rather than by number. In the case of staff in the other job families, levels 3, 2 and 1 were split into sub levels a & b. This structure is shown in simple diagrammatic form in Annex A.

In the case of staff in the Research and Education family, it was possible to produce a direct “read across” between the existing College structure and the new role profiles. Extensive benchmarking of a range of research and academic jobs confirmed the validity of this approach. In the case of staff in the other families this has been a more difficult exercise but, following an extensive programme of benchmark job evaluations for a typical cross section of staff, it was possible to adopt the read across methodology for most of the existing grades. Where there were exceptions, managers were asked to make an assessment of individual job size. A joint Management/TU Steering Group provided overall project leadership and approved (with amendments in some cases) the allocation process.

With regard to pay progression, the existing performance pay flexibility which already applies at the most senior level, i.e. for Senior Management staff (Levels 6 and 7) and for Professors (Level E) has been retained and extended to cover academic staff at the next level i.e. Readers, Senior Lecturers and RAIIIs (Level D). For these staff, there are now no automatic increments. Progression above the salary minimum, whether in the form of permanent salary increases or bonuses, is dependent on satisfactory performance. To ensure objectivity and consistency, assessment criteria are in place for implementation in October 2004. Appropriate one off “buy-out” payments were offered for staff not yet on their contractual maxima to buy them out of their existing automatic incrementation.

Staff in other pay bands continue to receive annual increments as before based on the 51point spine within the pre-set salary range. There continues to be a provision for awarding staff additional increments or bonuses for particularly meritorious performance and now there is also provision for withholding an annual increment in the event that the individual employee’s performance is unsatisfactory – a significant breakthrough in a culture where, until quite recently, the management of poor performance has been, at best, spasmodic. Above a certain incremental point – designated standard pay – there is a salary range within which staff can be awarded additional salary and/or bonuses on a strictly performance related basis based on outstanding contribution to the role.

The College is confident that the job families system, underpinned by HAY job evaluation, is a robust equal value scheme. The College has conducted extensive benchmarking exercises using HAY job evaluation methodology prior to implementing the read across for each Job Family. The development of a new structure provided the College with an ideal opportunity to rationalise and harmonise Terms and Conditions of Service. Because of the various mergers that have taken place in the College’s recent history the position was both complex and inconsistent. The opportunity was, therefore, taken to establish a new matrix of entitlements for Terms and Conditions of Service and Pension entitlements aligned to the new pay
bands. These now apply to all new entrants, and to serving staff who have opted for the new package.

Following extensive discussions with the Trades Unions at the end of 2003, the College prepared offers to transfer to the new pay and grading structure for its 6500 staff. The decision was taken to apply the new arrangements for all staff joining the College on or after January 2004 and to offer all serving staff the opportunity to transfer to the new pay and grading structure on an entirely voluntary basis. Since January, the HR division has been mobilised to implement this exercise. At the time of writing, staff allocated to the Research and Education and Professional Services families have all received and returned the offer; staff in the Operational Services family are being made offers during May and June and offers to staff in the Technical Services family will be made during July. It is immensely gratifying to record that, of those staff that have been given an offer to transfer to the new terms and conditions (including, in future, local pay determination – see below), more than 95% have accepted the offer, thus demonstrating a commitment to the future direction of the College in this area that is greatly encouraging.

In addition to the pay reform described above, the College has promoted and supported one-off, or ongoing, reward mechanisms in order to promote organisational and/or culture change. These initiatives range from localised departmental bonus schemes incorporating team rewards to encourage efficiency and collaborative working, to incentives underpinning organisational aims. One such aim is to raise the profile of learning and teaching. Application and contribution to membership fees of the former ILTHE have been funded to encourage staff to seek external recognition of their competence and commitment to teaching. Funding for participation in educational conferences has also been made available. Faculty Teaching Fellows have been established, whereby a proportion of the Fellow’s time is bought out so that he or she can concentrate on a teaching-related project. Teaching Excellence Awards have been given to staff who have shown innovative approaches to course design and delivery.

The College has also increased the recognition given to teaching by making significant changes to its academic promotion criteria. For promotion to Senior Lecturer, Reader and Professor, the contributions that individuals make to education and to their profession have been given greater emphasis (as has the requirement for leadership and management skills). The changes made to promotion to Reader are of particular note. The high-level research requirements have been retained but the criteria have been broadened so that an excellent practitioner, who is making significant contributions to education, can be promoted to Reader.

Where we want to be: The further objectives of the College in seeking pay reform are to:

- be open about what we reward and how we reward it;
- reward performance that is clearly defined and understood whilst also reflecting the many different types of contribution to the College’s success;
- reward individuals for the development of their capabilities – whether this is achieved within a role, through moving across roles or through moving to larger roles;
- join with staff in a more active management of careers: promoting the development of their capabilities for the longer term, and helping them identify possible career paths;
- value both the role and the person in it – we recognise that people perform differently and have different levels of competence. We also recognise market influences and that not all roles and individuals have the same market value;

- achieve consistency, and equal pay where appropriate, through a reward framework and implementation processes that cover everyone, but have the built in flexibility to recognise different circumstances (whilst meeting relevant legislation);

- balance our investment in reward with our ability to pay – making sure decisions today will not damage us tomorrow.

**How we are going to get there:** A further initiative linked to pay and grading reform is the establishment of local pay bargaining for the College. All new entrants, and those who opted for the reform package, will have their pay determined by the College in future years. Almost more than pay and grading reform itself, this move to local pay determination is a significant benchmark for HR and a further step towards the College’s increasing ability to align its remuneration strategy with its strategic goals. At the time of the presentation of this Strategy, the negotiations on this first year of independent collective bargaining will be well in hand.

The move to a common pay and grading structure provides an opportunity to review arrangements for determining promotions and to abolish the traditional grading reviews where promotion has been given as a reward for good performance. There will be a more rigorous distinction between the recognition for growth in the job and reward for the *person* in line with the majority of organisations outside of the HE sector.

The College will continue to support and reward teaching excellence through financial reward with bonuses and through the promotion system.

Annual Personal Review and Development Plans (PRDPs) for all staff will set measurable development and performance targets linked to College Strategic Objectives. Although it is not intended that there should be a mechanical link between information on performance generated by the PRDP process and subsequent pay reviews, one process will inform the other.

<table>
<thead>
<tr>
<th>Aim 1: To refine performance pay mechanisms for all staff within agreed budgetary constraints</th>
<th><strong>Action:</strong> To establish criteria for rewarding excellence at all levels and to ensure that, where increments/increases are not merited, they are not paid</th>
<th><strong>Target:</strong> Review evidence of alignment between remuneration outcomes and PRDP feedback by December 04</th>
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<tr>
<td><strong>Action:</strong> Apply the commitments given to Level D staff who become subject to performance pay in 2004</td>
<td><strong>Target:</strong> Refine and review with stakeholders the performance pay criteria for Level D staff by December 04</td>
<td><strong>Target:</strong> Positive feedback on revised reward mechanisms from managers, individual staff and</td>
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| **Aim 2:** To realise the benefits of local pay bargaining and address College specific remuneration issues | **Action:** To establish local pay bargaining as a means of differentiating the College positively from the rest of the sector to attract/retain key staff; to build on the experience of 2004 to refine the consultative processes  
**Action:** To undertake a second Equal Pay Audit following full implementation of the revised pay and grading system  
**Action:** To explore the potential for introducing employee choice in relation to compensation and benefits (e.g. off-setting holiday entitlement against pay increases) | **Target:** 04/05 and 05/06 pay awards agreed in advance of the sector generally and with employee relations difficulties avoided  
**Target:** Audit completed by October 04; address any anomalies during 05  
**Target:** Analyse and report by December 05 |
| --- | --- | --- |
| **Aim 3:** To establish robust mechanisms for ongoing job level review | **Action:** To consult with stakeholders on composition of Review Group  
**Action:** To set up a programme of termly meetings to discuss review “bids” from managers and staff | **Target:** Establish Review Group and train members as appropriate by October 04  
**Target:** Positive feedback from managers, individual staff and Trades Unions that process is fair and reasonable; absence of successful equal pay for work of equal value claims during 04/05 and 05/06  
**Target:** establish and publicise a programme of termly meetings for 04/05 by August 04; repeat for 05/06 |
| **Aim 4:** To attract academic “stars” to the College by minimising the effect of the London factor | **Action:** To implement various schemes such as “Golden Hellos” and Shared Equity | **Target:** 100% of job offers accepted during 04/05 and 05/06 |
Outcomes: The effectiveness of the Reward Action Plans will be measured/assessed by College ratings in the Research Assessment and Quality Assurance Agency Exercises; staffs’ perception of remuneration package when compared to other employers and assessed by our ability to attract and retain key staff; analysis of staff turnover, staff surveys, and exit interviews and questionnaires. As managers become more competent and confident in making performance judgements, the link between performance and reward will become embedded and future pay systems will be able to reflect this to a greater degree.

Development

Where we are now: Development activities are organised centrally by the Staff Development Unit (SDU) within the Human Resources Division, with specialist courses and development activities being provided by the Centre for Educational Development (CED), the Information and Communication Technology Division and the Safety Unit. The CED focuses on learning and teaching development for staff with a role in learning and teaching while the SDU is concerned with other development activities for all staff. These agencies work closely together to ensure that their contributions are complementary. An integrated approach is part of the HR Strategy. Both the SDU and CED have retained additional staff using the HEFCE resource.

Development activity has been brought within the wider umbrella of Organisation Development, with explicit links now being made between staff development initiatives promoting equality and diversity and the improvement of organisational performance through more effective management and performance management. Appendix C – Management Processes details the actions undertaken to introduce more rigorous and robust Performance and Development Reviews (Personal Review and Development Plans – PRDPs). These reviews have been essential to providing the necessary framework upon which our “push” on staff development has been based and within which the goal of Personal Development Plans for all staff will be met. In tandem with the introduction of PRDPs, Career Pathways have been produced for all staff groups which identify possible development activities and solutions to meet the needs of an individual’s current role and future career.

During the 1990s, fewer academic staff than staff from other categories engaged in formal development activities and so it is pertinent to single out academics to note a positive change. The academic role lends itself to self-development and a significant amount of specialist research-related development has been undertaken regularly. Training in learning and teaching has also been mandatory for new Lecturers for many years. Currently, however, there is also growing interest from staff in more general educational development issues and in management and personal effectiveness opportunities. It is not coincidental that this has been helped by the changing attitudes of academic leaders. All new academic Heads of Department/Division, who have been appointed over the past three years, have been active in seeking personally designed development programmes to assist them with their move to a new role. Additionally, it is notable that Heads who have moved into their second term of office have also wanted a range of development activities designed for them.

The career development needs of research staff on fixed-term contracts have been a priority. Each member of staff is provided with a suggested development programme using the Career Pathway approach. Action has been taken to strengthen supervisors’ understanding of their management responsibilities. In addition to a programme of management skills workshops, personal letters are sent to Principal Investigators (PIs) with new research staff to inform them of the development opportunities available for researchers and the number of days that are recommended for formal
development activities. The letter also highlights the importance of the PI’s role on researchers’ performance and development. PIs are provided with a choice of two PRDP schemes so that they may choose to review their research staff on an individual or team basis. A major mentoring project has been undertaken in all four Faculties and evaluated in two. Take up has been relatively small given the potential numbers, but those who have participated as either mentors or mentees have rated it highly.

Recognition of the importance of staff development has grown. Fewer managers and their staff take a narrow view and see it as just attending courses, and there has been a significant increase in the provision of tailor-made consultancy work to help solve specific problems or to facilitate change. There are still managers, however, who view the activity as purely remedial – they want staff “trained” to rectify a weakness without also viewing staff development as an opportunity to enhance already positive performance. Recognition of the link between development and overall College performance needs to be strengthened. Enhancing leadership qualities and improving management skills are still major priorities.

Opportunities for professional and educational development activity have grown significantly in a range of areas, including centrally run workshops and programmes, one-to-one and “teaching team” consultations with educational development staff, the involvement and success of academics across the College in Learning and Teaching Support Networks (LTSN), competitions and grant schemes, development of the CED website for learning as well as information purposes, and an expanded programme of educational development relating to the use of new technologies. The College’s Certificate in Advanced Study in Learning and Teaching (CASLAT), and the newer Supporting Learning and Teaching Programme (SLTP), which is taught through blended learning using a VLE, have recruited beyond expectation. CASLAT has proved popular with both new and experienced staff and staff are proud to mention CASLAT in submissions for promotion. Although it has officially been optional in its entirety, some Departments/Divisions made it a requirement even before the advent of the White Paper.

The College developed an e-Learning Strategy and licensed WebCT as its Virtual Learning Environment (VLE) in the 2002-03 session, with a series of pilot projects taking place during 2002-04. Learning Technologist posts have been created with specific responsibilities in each of the four academic faculties, the Business School and Humanities. Much of their work has been focused upon WebCT and cascading of expertise. To date, these projects have provided an opportunity to gain practical experience of on-line learning and of developing effective support staff and structures. Thorough evaluation, and consequent institutional learning, is both continuous and ongoing and the projects have been well received by students. Wireless laptops have been purchased and used to run training workshops for academic and support staff who have begun to use WebCT, will be used in the College’s first annual e-Learning Symposium, and are used by a number of groups for training purposes. The close coordination of various College strategies and expenditure has been a strength of the College’s approach to e-Learning. Central support and pedagogic training, combined with faculty-based learning technologists, is proving to be a successful mix.

**Where we want to be:** The College needs managers at all levels to recognise the significance of staff development as a major contributor to organisational change and development. The key requirements for staff development at the College are, therefore, to:

- foster and develop a culture committed to effective leadership, management, organisational and educational development and to recognise the role that staff development can play in achieving this;
- promote a culture of learning and development throughout the College with an explicit commitment to this at a strategic level;
• ensure that staff development and educational development activities support the Strategic Objectives of the College and are regularly reviewed against these, thus fostering a long term approach to development;
• move away from an ad-hoc approach to staff development where staff nominate themselves for courses that interest them, to a planned approach where staff gain guidance from their managers so that each individual has a Personal Development Plan that contains actions that contribute to meeting strategic needs;
• identify the competencies required for staff at all levels and to provide staff with appropriate support to develop these;
• ensure that appropriate resource is earmarked to support staff development activities.

One of the College’s Education Strategic Objectives is “to continue to provide a world-class, intellectually challenging and invigorating teaching and learning experience which is responsive to industry, commerce and society”. The CED will contribute to meeting this objective by offering high quality training, support, expertise, and the running of various networks in learning and teaching, including e-Learning. The College wishes for enrolment on CASLAT to become the norm for new academic staff and on SLTP for the range of staff involved in supporting learning. The College’s e-Learning Strategy sets out to establish an infrastructure and staffing structure that facilitates the exploitation and suitable adoption of learning technologies so that the College meets its Mission and Strategic Objectives.

How we are going to get there: The College views staff and career development as a major plank of its attraction and retention strategy. The staff development initiatives and activities that have been undertaken to date were devised in order to help meet the College’s Strategic Objectives and this focus will continue. Evaluation has been undertaken regularly, performance metrics have been produced and assessed and modifications have been made to activities and procedures as required. In keeping with our partnership approach, we have consulted with our Departmental/Divisional contacts and they require us to continue with the work that has begun. The targets, therefore, do not represent a radical rethink but they have been revised and updated so as to be responsive to external and internal change; the latter is most obviously highlighted by the need to motivate, retain and develop staff during the College’s implementation of its major Support Services Initiative project. The targets continue to be actions where specific outputs are required but there is more emphasis on the need for qualitative outcomes. There will be greater emphasis upon evaluation with trigger points built in to programmes to measure how effective the learning has been.

The emphasis on improving management and leadership will be maintained. Internally coordinated Development Centres will be offered. External providers, such as the Leadership Foundation for HE will be used, as will prestigious Business Schools - because of the importance for senior staff to benefit from development and stimulus from outside the sector.

We will continue to integrate equality and diversity issues into all management development programmes and performance management processes. As teams become more diverse, and as staff begin to work more flexibly, we will train our managers so that they value difference, and are adaptable in order to manage effectively, and “remotely” where applicable.

Research staff will benefit from a new Staff Development Adviser post which will contribute to the College’s implementation of the Roberts Report. The postholder will review and develop current provision and embed the mentoring schemes.
In relation to educational development, both CASLAT and the SLTP will continue to be developed as the national professional standards and the Higher Education Academy (HEA) become established. Following the Roberts initiative, an expanded programme of opportunities for post-doctoral staff to undertake professional development in learning and teaching is being developed. Continuing Professional Development (CPD) is also a priority area and the CED will continue to develop its expertise. A satisfactory mechanism to record internal and external CPD activity will be devised.

The College has committed to license WebCT for a further three years. The training and support needs for staff will be considerable, with different categories of staff needing to enhance their pedagogic and technical skills in VLE use. The CED will provide generic pedagogic training and, within Faculties, the learning technologists will have a training function. Issues such as cost, supplier reliability, compatibility and software modularity will need to be addressed, and the greater risks and costs associated with the adoption of a Managed Learning Environment (MLE) will need to be assessed.

### Aim 5: To increase the overall effectiveness of staff with management and leadership responsibilities, and improve managerial skills so that managers are skilled and confident to deal with any underperformance issues

**Action:** To continue to work in partnership with departments and divisions to draw up local Management Development Strategies (MDSs), including succession plans where appropriate

**Action:** To facilitate implementation by organising a wide range of activities to meet the needs of managers at all levels

**Action:** To extend the uptake of leadership development opportunities by senior staff

**Target:** 50% of departments and divisions to have local MDSs, including succession plans where appropriate, in place by July 05; 100% by July 2006

**Target:** Publish annual Staff Development Programme each September; organise tailor-made activities for those with MDSs throughout 04/06

**Target:** All new senior appointees to have a PDP with leadership development planned within six months of appointment; 75% of senior staff to have undertaken leadership development by July 06
| **Aim 6:** To motivate, retain and develop key staff during the SSI project implementation | **Action:** To work with Faculties/Support Services to identify priorities; identify the leadership and management competencies that will be required to ensure that SSI is successful; provide relevant leadership, project management and communication skills programmes so that support services staff are retained and remain motivated and professional during the changes  
**Action:** To provide a targeted programme for those with project management responsibility and for those participating in project teams | **Target:** Organise activities as required from August 04 – July 06  
**Target:** Briefings and more in-depth training offered for specific groups from August 04 - senior staff to have attended by April 2005 |
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<td><strong>Aim 7:</strong> To develop key skills so that the College meets its Strategic Objectives by having an agreed Personal Development Plan (PDP) for each member of staff which is then acted upon</td>
<td><strong>Action:</strong> Implement Personal Review and Development Plan (PRDP) schemes for all staff</td>
<td><strong>Target:</strong> 100% of non-clinical academics and managers with PDPs by July 05; 50% of research staff with PDPs by July 05 and 75% by July 06; 75% of support staff with PDPs by July 05 and 100% by July 06</td>
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| **Aim 8:** To improve the effectiveness of administrative and technical services by contributing to the general professionalism of support staff | **Action:** To provide a broad programme of activities for support staff, augmented by tailor-made consultancies with specific groups and “buddying” systems for new middle managers  
**Action:** To organise a Learning at Work Day which provides a comprehensive range of activities and events  
**Action:** To focus upon developing and improving a “service culture” | **Target:** Annual programme published each September; post event validation of 100% of activities and in-depth evaluation of 3 programmes in 04/05 and 05/06; buddying system in place by January 05  
**Target:** Learning at Work Days offered in May 05 and May 06 with post-event evaluation  
**Target:** Workshops for staff and managers of service teams offered in the 04/05 and 05/06 Staff Development Programmes; local team activities organised for two service areas in 04/05 and 05/06 |
| **Aim 9:** To achieve the targets in the College’s Research Strategy by contributing to the development of research staff | **Action:** To enhance the induction process and provide a broad programme of transferable skills, career development workshops and network opportunities  
**Action:** To evaluate the impact of the programme  
**Action:** To develop the management skills of PIs  
**Action:** To review and embed the mentoring schemes | **Target:** 50% of research staff having taken up 5 days training/development by July 05; 100% by July 06  
**Target:** Post-event validation of 100% of activities; in-depth questionnaires/interviews with a sample of researchers and PIs for 5 activities in 04/05 and 05/06  
**Target:** 50% of PIs to have attended programmes by July 06; in-depth evaluation of the impact in one Faculty by July 05 and in three by July 06  
**Target:** Review undertaken by December 04; embedded in all faculties by July 06 |
| **Aim 10:** To ensure that managers do not overlook the development needs of part-time and fixed-term staff or deny them development opportunities | **Action:** To provide staff development activities that contribute to the development of staff on fixed-term contracts and part-time staff  
**Action:** To extend provision for Operational Services staff with a focus on part-time staff; pilot a topic, such as English as a Second Language and explore the feasibility of the European Computing Driving Licence | **Target:** Completed PDPs for these staff groups at the same target rate as staff on full time and open-ended contracts; annual monitoring and assessment of all staff development take-up by contract type in Dec 04 and Dec 05  
**Target:** Hold meetings and undertake questionnaires by January 05; to pilot a topic by April 05 and review by December 05; pilot the Computing course in Spring 05 if appropriate |
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<th><strong>Aim 11:</strong> To increase the range of opportunities for effective learning</th>
<th><strong>Action:</strong> To extend the range of “blended learning” opportunities by piloting a virtual discussion group for the Diploma in Management Studies and piloting a self-learning group for one management and one personal effectiveness programme</th>
<th><strong>Target:</strong> Pilots set up by October 04 and evaluated by August 05</th>
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<tr>
<td><strong>Action:</strong> To extend and adapt to other programmes</td>
<td><strong>Target:</strong> At least 3 further programmes using “blended learning” in 05/06</td>
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<td><strong>Aim 12:</strong> To evaluate the contribution that staff development activity is making to performance</td>
<td><strong>Action:</strong> To have pre-event identification of learning needs; to have immediate post-event evaluation; to evaluate the impact of the learning by assessing the effectiveness and application against the requirements of both the individual and manager</td>
<td><strong>Target:</strong> Pre-event identification achieved for all management and personal effectiveness programmes; 100% post event evaluation; in-depth analysis and evaluation of at least 10 major programmes in 04/05 and 05/06; provide and evaluate SDU performance metrics in December 04 and 05</td>
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<td><strong>Aim 13:</strong> To provide a challenging and invigorating teaching and learning experience for students</td>
<td><strong>Action:</strong> To provide CASLAT and expand as required</td>
<td><strong>Target:</strong> Enrolment on CASLAT to become the norm for new academic staff by July 06</td>
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<td><strong>Action:</strong> To provide the SLTP and expand as required</td>
<td><strong>Target:</strong> Enrolment on the SLTP to become the norm for staff involved in supporting learning by July 06</td>
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<tr>
<td><strong>Action:</strong> To provide professional development in learning and teaching for research staff</td>
<td><strong>Target:</strong> Programme developed and taken up by 25% of research staff by July 05 and 50% by July 06</td>
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<td><strong>Action:</strong> To expand the use of WebCT and learning technologies</td>
<td><strong>Target:</strong> Annual evaluation of take-up and impact 04/05 and 05/06</td>
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**Outcomes:** The effectiveness of the Development Action Plans will be measured/assessed by College Ratings in the Research Assessment and Quality Assurance Agency Exercises; the proportion of staff with agreed Personal Development Plans which are acted upon; staff recognising where and how their skills, competencies and career development prospects have been improved by development activity; staff turnover; course evaluations; assessment of the impact of specific development activity on individual performance; assessment of the impact of development activity at Faculty and College level; staff surveys and exit interviews and questionnaires.
APPENDIX B: MODERNISATION AND COMMUNICATION

College Strategic Objective: To develop a modern organisation which is efficient, effective and adaptable

Organisation Development

Where we are now: The success of the College as a teaching and research institution with an international reputation in science, engineering and medicine has been built upon the academic traditions of the institutions from which it has been formed, ranging from those which featured in the original Charter of 1907 through to the medical institutions which joined the College in 1988, 1995, 1997 and 2000, to the merger with Wye College in 2000. Partly as a result of this history, however, the organisational structure of the College became too complex, with a large number of semi-autonomous academic Departments, Divisions and Centres supported by central academic services and administrative divisions. The separation between the academic groups, in some measure, did not promote collaborative and interdisciplinary activity. The complexity and separation of the central support divisions from these academic groups, and some lack of cohesion amongst the support divisions themselves, created inefficiency and duplication of effort and a feeling of “us and them”.

Since the emerging Strategy was approved in 2001, the College has been re-organised into four main academic Faculties and the Tanaka Business School, supported by academic support and administrative services on a shared-service basis. The changes to the management structure of the College were designed to reduce organisational complexity and barriers and simplify and improve communication systems in order to:

- facilitate collaborative and interdisciplinary academic activity;
- provide professional, effective and responsive support services to reduce the administrative load on academic staff;
- promote effective communication with students and staff;
- support management across the College by the provision of accurate and timely management information.

With the Faculty structure now established, and interdisciplinary work a major component of the College’s academic strategy, much of the initial planned structural work has been done. The next phase in the College’s organisation development is focusing on the provision of support services.

Where we want to be: In order to be able to respond to an increasingly competitive international environment, the College must be supported by a professional, effective and responsive support services infrastructure that supports the academic mission of the College, and reduces the administrative load on academic staff.
How we are going to get there: The College is committed to the modernisation of its support services and has approved for implementation a revised operating structure. This new structure provides for the devolution of operational human resources, finance and research services within the Faculty structures, whilst retaining strategic and some shared services at the Centre. Full implementation of these changes is planned for completion in August 2006.

The College has set four clear goals for its Support Services Initiative (SSI). These are to:

- make support services more strategic;
- improve quality of service;
- ensure more efficient use of resources;
- release academic time for the academic mission.

In order to meet these goals, SSI has created a programme of inter-linked projects reviewing operational processes from the top down and from the bottom up. It is planned that there will be revisions to reporting lines and accountabilities. At the top level there will be small central units responsible for policy and governance, ensuring strategic focus. Those parts of support services, whose effectiveness depends primarily on responsiveness and anticipation of local needs, will be placed alongside Faculty management working in Faculty clusters. Finally, those parts of the support services which are predominantly transactional, or involve expert services which cannot be replicated across the organisation, will become shared service units providing support in a consistent manner across all customer groups.

It is envisaged that, within a two to five year timescale, these changes will deliver:

- faster process turnaround times;
- less academic involvement in administrative activities;
- faster and more effective problem resolution and decision making;
- cost savings with the associated scope for alternative investment.

Quantitative and qualitative assessment metrics will be developed as part of the project working described above.

In supporting the modernisation of the College’s support services, the priority for HR is to work in partnership with key managers across the College in realigning service structures, developing the capabilities of staff and implementing key change management programmes. Within the HR Division itself, the priority will be to ensure that HR services are responsive to the strategic needs and priorities of the College and to
ensure that service provision meets the quality standards required by its users. The challenge for HR will be to ensure consistent and fair application of employment policies and procedures across a devolved management organisation.

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<tr>
<th>Aim 14: To ensure that HR is responsive to the strategic needs and priorities of the College</th>
<th>Action: To define the role, objectives and capability of the HR Strategic Centre in supporting the College’s Strategic Intent; review effectiveness in accordance with College Planning Round timetable</th>
<th>Target: Complete analysis and submit definition by September 04; review effectiveness in April 05 and 06</th>
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<tr>
<td>Aim 15: To support the modernisation of the College’s support services in accordance with the aims of the Support Services Initiative</td>
<td>Action: To work in partnership with key Support Services managers, and managers in academic Departments and Divisions, in realigning service provision, developing key capabilities and implementing key change management programmes</td>
<td>Target: Agree planning and implementation timescales for key support services (and to define the role of HR in supporting these changes) by August 04</td>
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<td>Target: Identify and recruit additional HR resource as necessary by December 04</td>
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<td>Target: New operating structure for support services fully implemented by July 06</td>
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| **Aim 16:** To improve the quality of HR service provision as required by users | **Action:** To work in partnership with College managers to develop and agree service quality standards and relevant performance measures based on cost effectiveness, and to develop the HR capability necessary to deliver these standards | **Target:** Agree quality standards and devise a relevant competency framework for HR staff to deliver these standards by August 04

**Target:** Develop key performance measures by September 04 (to include the reduction of administrative time spent on HR activity by academic staff)

**Target:** Implement mechanism for monitoring performance against measures by April 05; report in October 05 and April and October 06

**Target:** Agree key resource plan for future service provision by December 04 and populate a revised operating structure by April 2005 |

| **Action:** To work in partnership with Faculty managers in devolving operational HR support services to Faculty clusters ensuring that services are tailored to academic and business need | **Target:** To propose audit and review mechanisms by August 04; implement mechanisms by April 05, report in October 05 and April and October 06 |

| **Aim 17:** To ensure fair and effective HR practice across the College | **Actions:** To develop audit and review mechanisms; to establish routines and processes across the new operating model | **Target:** To propose audit and review mechanisms by August 04; implement mechanisms by April 05, report in October 05 and April and October 06 |

**Outcomes:** The effectiveness of our Organisation Development Action Plans will be measured/assessed by College Ratings in the Research Assessment and Quality Assurance Exercises; alignment of Strategic Support Services to College Strategic Objectives; quality and delivery of Operational Support Services and cost savings.
Communications

Where we are now: Communications with students and staff take place through regular briefings by the Rector, and these are supported by the College’s in-house magazine *Reporter*, and the College intranet, *Spectrum*. These ensure the fast communication of key information, while at the same time broadening the understanding of the College’s Mission, Strategic Intent and Strategic Plan. There is a recognition that the HR pages on the College intranet and web site have a crucial role to play in developing and maintaining good management practice, and supporting the recruitment of key staff in an increasingly competitive and electronically aware staffing market.

Where we want to be: In order to maintain the commitment and morale of managers and staff during the period of considerable organisational change outlined above, the College needs an effective communications programme capable of ensuring that managers and staff understand the overall vision and aims of the Support Services Initiative and, broadly, how and when the envisaged changes will be implemented. It is inevitable that staff will seek information from HR on how their employment may be affected by such changes and it will be important that HR staff are fully informed, and able to respond positively to any request for information. It will be an essential requirement that all relevant policies and procedures are clear and accessible on the College’s intranet.

How we are going to get there: We shall establish a communications strategy employing a variety of communication methods to inform and influence key groups, as well as individual managers and other staff. These methods will include the College newspaper and intranet, management information cascades and group briefings. Faculty HR Managers will disseminate information to their staff on the planned organisational change and ensure that they are aware of current College policies and procedures, so that they are able to communicate information to others. We shall review the content and presentation of HR information on the College’s intranet and website. We will survey managers, staff and HR staff to validate communications processes.
| **Aim 18:** To communicate the vision and aims of the Support Services Initiative effectively to managers and staff and the timing for each stage of implementation | **Action:** To establish a communications strategy employing timely and appropriate methods  
**Action:** Clarify the role of Faculty HR Managers in disseminating information to HR staff  
**Action:** Devise a survey for testing the effectiveness of the communications strategy | **Target:** By August 04, align a communications schedule with project milestones, identify appropriate methods for communication and arrangements for updating and review  
**Target:** By August 04  
**Target:** Pilot the survey with HR staff in September 04; review and survey other staff by December 04; repeat survey in June and September 05 and in June 06 |

| **Aim 19:** To ensure that the College intranet and website HR pages support management good practice by providing clear and accessible information on College policies and procedures; to ensure that they promote the Imperial College brand and provide effective support for the recruitment of staff | **Action:** Review links to pages, content and layout of information, use of graphics  
**Action:** Include questions on access to information in survey described above | **Target:** Complete review by September 04; implement desired changes by December 04; review in June and September 05 and in June 06 in response to survey described above |

**Outcomes:** The effectiveness of our Communications Action Plans will be measured/assessed by staff consultation; staff surveys which show that staff feel informed about planned changes; staff turnover and exit interviews and questionnaires.
Equality and Diversity

Where we are now: There has been a significant change of emphasis in relation to equality and diversity. As a responsible employer, the College is obviously mindful of the need to comply with the law but there is also far greater recognition for our need to be proactive rather than just respond to legislative changes. A major consultation exercise was undertaken in 2002 with all staff – “Imperial College – A Great Place to Work?”, and the subsequent Audit Report has been used to identify priority areas for action and to determine our work programme. The College’s Council has determined that, in order to ensure that the College attracts and retains high-quality staff, it must implement the Audit’s recommendations. Council requires regular analytical reports to assess progress.

Senior staff and Council members have attended equality and diversity briefing sessions and senior level support has been visible for every major equality and diversity initiative. Membership of our two Rector’s Advisory Committees on equality matters have been widened and strengthened. The Equal Opportunities and Diversity Committee (EO&DC) has, to date, focused on disability, harassment and bullying, race and communicating with staff. Members have participated in working groups in relation to these topics and have been joined by staff with specialist interests. The Academic Opportunities Committee (AOC) continues to focus upon ensuring that the College has a level playing field for female academic and research staff by removing any barriers that may exist in appointment or career advancement and, given present employee representation, to ensure that the number of such women in the College is as high as possible.

The Audit showed clearly that management skills needed to improve in order that a positive and inclusive culture might be achieved. Considerable effort has, therefore, gone into developing leadership and management capability and improving understanding of equality and diversity issues. The College has developed “Career Pathways” for each of its staff categories and attendance at workshops to understand and promote the value of equality and diversity is a major element of each Pathway. Workshops are being organised for each Department/Division and attendance is mandatory. Initially, we have focused upon Departments/Divisions with front-line staff e.g. catering, security, residences. Briefings for managers of these sections have taken place and local action plans have been produced. In these relatively early days it is perhaps, unsurprising, that we have worked very positively with those senior staff who see the obvious connections between their areas and the impact of equality issues. Staff development activity in relation to equality and diversity is a major programme of work that will continue for many years to come and, undoubtedly, there will be some Departments/Divisions which will be difficult to enter and prove challenging once there.

Significant changes have been made to the academic promotions procedure. In relation to development and equality, applicants for promotion to all academic levels are required to demonstrate attendance at development activities to develop management and leadership skills and attendance at mandatory programmes e.g. recruitment and selection, is a pre-requisite.
The crucial link between the recruitment and selection process and achieving equality and diversity has been made when the College implemented its policy that all interview panel members must be trained. Training sessions have been held College wide, with the most regular recruiters and chairs of panels being trained first. Procedures are also in place to monitor the make-up of panels and to check that panel members have been trained.

Details about the PRDP schemes are outlined in Appendix C – Management Processes. Appraisees are assessed on their competency and success in developing others/promoting potential/promoting equal opportunities and diversity. The PRDP is used to inform the promotion and reward process, thus equality and diversity has been built into career progression and reward.

Following the Audit, a major focus has been on policy development and implementation. A Disability Task Group was established and its first task was to feed into the development of our Disability Policy. Staff are being briefed and trained so that the policy becomes integrated into the most important day-to-day work practices. Under our “Respect for Others” banner, an Harassment and Bullying Policy has been introduced, together with a trained network of Harassment Support Contacts. The requirements of our Promoting Race Equality Policy are, arguably, some of the most significant affecting College because it covers both staff and students, and further action is required in relation to most functions that we perform.

There are problems and issues that need to be addressed. The collection of accurate data, and subsequent monitoring, is vital to the achievement of the College's equality and diversity objectives. The rate of collection, and the accuracy of the data, has improved considerably but still needs attention otherwise we are monitoring inadequately. The major thrust of activity has been upon policy development, training and improving data collection. To date there has been insufficient assessment of the impact of current and new policies and procedures. The need to communicate and generate in-depth understanding about equality and diversity requires skilful use of language and methods, in addition to creativity and enthusiasm, in order to get messages across. These are exciting challenges but a large number, and a wide range of, activities are still required and momentum must be kept up.

Where we want to be: It is essential to the fulfilment of the College's Strategic Objectives, that managers understand, and put into practice, the business imperative of ensuring that we attract, develop and retain staff of the highest quality throughout College. One of our aims is to make equality and diversity issues much more visible so that staff see the link between being proactive in these areas and our future success.

In order for us to achieve our goal of making Imperial College a “great place to work”, all staff must comply with, and demonstrate active commitment to, our equality and diversity policies and ensure that colleagues, clients, students, visitors, contractors etc are treated with respect.
We aim to achieve academic and research staffing levels whose diversity reflects the students we educate and to employ support staff so that the composition of this part of the workforce reflects the diversity of the economically active population of Greater London.

**How we are going to get there:** In broad terms, we will have targets with desired outcomes in addition to targets with specific outputs. The targets will cover the following areas of work:

- We need a receptive and well-informed workforce and so effective communication and the broadest possible staff involvement from individuals and the Trades Unions will be essential
- In order to achieve real and lasting success, Departments/Divisions need to have local equality and diversity action plans. The College will identify a series of practices in all major functions – “success indicators” - which can be communicated to other Heads of Departments/Divisions as achievable and practicable examples of success
- Impact assessments (where existing or new College policies and procedures in general are examined to identify if they have led, or could lead, to detrimental quantitative or qualitative differences on particular groups) have to become more systematic
- The implementation success and progress of existing equality and diversity policies will be reviewed and changes made as required
- New policies will be introduced in relation to age and flexible working/work-life balance
- Staff and management development activity, which builds management capability, greater knowledge and understanding and affects behaviour where appropriate, will continue to play a key role
- Data collection needs to improve so that we have an accurate picture of our workforce
- Monitoring a wide range of staffing-related activity will continue to be analysed and acted upon – examples include recruitment and selection, promotion, pay, attendance on staff development activities, incidences of harassment, grievances, disciplinary action, contract type, turnover
- Targets will be set in relation to the proportion of female, minority ethnic and disabled staff who apply for posts and who are appointed
<table>
<thead>
<tr>
<th><strong>Aim 20:</strong> To contribute to the aim of making Imperial College a great place to work via equality and diversity initiatives and by responding to the issues raised by staff in the 2002 College-wide audit</th>
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<tr>
<td><strong>Action:</strong> Implement Harassment and Bullying, Promoting Race Equality, Disability Policies and review their impact; review the understanding of sexual orientation and religious belief legislation at Induction and by working with special interest groups if staff opt to form them</td>
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<tr>
<td><strong>Harassment</strong> To have 40 fully-trained Harassment Support Contacts (HSCs) – 25 in place at March 04</td>
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<td><strong>Race Equality</strong> – review progress on all Action Plans and conduct Impact Assessments on College policies</td>
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<td><strong>Disability</strong> – conduct survey to identify how best to improve the satisfaction of staff with disabilities</td>
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<td><strong>Action:</strong> Develop a Flexibility/Work-Life Balance Policy</td>
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<td><strong>Action:</strong> Review family friendly policies and re-write as required</td>
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<tr>
<td><strong>Action:</strong> Review Equal Opportunities Policy and re-write as required</td>
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<td><strong>Action:</strong> Develop a policy on Age</td>
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<td><strong>Target:</strong> College-wide communications about the three policies to all staff via briefing sessions/written material throughout 04/05; 50% of managers to have attended policy briefings by July 05; 75% by July 06; test knowledge at Induction and work with special interest groups, if formed, from January 05</td>
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<tr>
<td>40 HSCs in place by October 04 and review the policy and success of the HSCs by July 05; Progress reviewed in December 04 and December 05; Impact Assessments conducted between July 04 and October 05</td>
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<td>Survey conducted by July 05; work towards gaining the Two Ticks Symbol by July 06</td>
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<td><strong>Target:</strong> Draft policy for consultation by October 04; approval by EO&amp;DC in December 04 followed by wide communication/briefing sessions between January to July 05</td>
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<td><strong>Target:</strong> Existing policies reviewed by October 04 and consult on proposed changes by January 05; issue revised policies by April 05</td>
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<td><strong>Target:</strong> Review existing policy by Aug 04 and consult on proposed changes by December 04; issue revised policy in February 05</td>
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<td><strong>Target:</strong> Draft policy for consultation by October 05; approval by EO&amp;DC in December 05</td>
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<tr>
<td>Action: To continue the equality and diversity workshop programme and continue to build management understanding and capability so that equality and diversity are well understood; to produce local action plans</td>
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<tr>
<td>Aim 21: To share understanding and good practice, and achieve more active participation so that we build on our reputation as a good employer who takes equality and diversity seriously</td>
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<td>Action: To consult with staff and facilitate the establishment of staff networks and interest groups</td>
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**Council**

**15th October 2004**
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<tr>
<th><strong>Aim 22:</strong> To ensure that all aspects of the recruitment and selection process are undertaken professionally so as to optimise the quality of applications and with due regard to equal opportunities</th>
<th><strong>Action:</strong> Review recruitment processes; provide guidance on advertising mediums and marketing; continue to implement College policy that selection panel members must be trained and identify those staff involved in recruitment who have not been trained and provide training; monitor discrimination complaints and staff turnover, particularly during first year of appointment</th>
<th><strong>Target:</strong> Review completed by December 04; focus training on staff who have not been trained by December 04; programmes offered throughout 05/06 for new staff or for those new to recruitment and selection; discrimination complaints and staff turnover monitored bi-annually</th>
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<tr>
<td><strong>Aim 23:</strong> To achieve academic and research staff levels whose diversity reflects that of College students, and to employ support staff who reflect the diversity of the economically active population of Greater London</td>
<td><strong>Action:</strong> To analyse relevant internal data, and use external data for comparative purposes, in order to produce a report which highlights the College’s targets for workforce composition</td>
<td><strong>Target:</strong> Report produced for consultation by October 04; targets agreed and communicated by November 04; progress analysed in November 05 and 06</td>
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<td><strong>Action:</strong> To consult upon a Positive Action Scheme</td>
<td><strong>Target:</strong> Consultation by December 04 and implement by July 05</td>
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Aim 24: To produce staff profile data for the College overall and for each Department and Division in order to assess trends, evaluate progress and identify and address any equality matters/issues of concern

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<tr>
<th>Action:</th>
<th>Workforce data collected and input for existing and new staff</th>
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<tr>
<td>Action:</td>
<td>To have data sets on age, gender, ethnic origin and disability in relation to employees by grade and p/t or f/t; applications; shortlisted; offered; contract type; turnover; promotion applications and decisions; pay; staff development attendance; PRDP training and completion; leavers; incidences of harassment; grievance, disciplinaries, tribunals; Occ Health referrals; take up of Care First</td>
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<tr>
<td>Target:</td>
<td>100% rate of return and 100% rate of input by December 2005</td>
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<tr>
<td>Target:</td>
<td>Data analysed and parity of treatment reviewed annually in 04/05 and in 05/06</td>
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Aim 25: To address any barriers to career opportunities and progression for female academic staff by continuing the work of the Academic Opportunities Committee

| Action: | To undertake various projects including building upon the results of the ASSET Survey, monitoring a wide range of staffing-related data, involvement in Athena activities, improving communications generally and promoting positive actions and achievements |
| Action: | To undertake exit interviews with all female academics who have given notice to identify their reasons for leaving |
| Target: | To increase the number of female academic and research staff from 19% and 36% respectively in 04 to 22% and 40% by July 06 |
| Target: | Exit interviews undertaken by HR; analysis written and recommendations made by July 06 |

Outcomes: The effectiveness of the Equality & Diversity Action Plans will be assessed/measured by Annual Reports from the EO&DC to the Management Board and Council; managers and staff being committed to having a diverse workforce and implementing College policies; information from Staff Surveys and Special Interest Groups to inform decision-making, Staff Composition; Staffing-Related Data and Exit Interviews will be used to analyse progress and to make changes as required.
APPENDIX C: MANAGEMENT PROCESSES

College Strategic Objective: To implement effective management processes

Staff Planning

Where we are now: The Faculty structure is designed to support the effective management of our resources and to create an environment which optimises opportunities for interdisciplinary collaboration in research and teaching. The Management Board, the most senior College Committee, includes amongst its membership the Principals, who head the Faculties and the Tanaka Business School, to ensure coherence between the management of the College and the overall academic mission.

Each year, the College publishes a Strategic Plan defining the strategic planning environment of the College by providing the means for managing and communicating necessary and desired change over the planning period. It 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. The Strategic Plan draws together the plans and key objectives set within each of the College’s major strategic goal areas. Research Strategy is discussed within the Strategic Plan and recovering the costs for research activities and maximising performance at the next RAE is highlighted as particular objectives. The College’s commitment to providing education at both undergraduate and postgraduate levels is confirmed and the high percentage of 5* research active academic staff is seen as a fundamental strength, ensuring that teachers remain expert and up to date in their fields. A high priority is given to continuous improvement in the quality of teaching delivered at Imperial. The College’s commitment to equality of opportunity is affirmed both for business and equity reasons – it seeks to attract the most able people in all areas of activity. There is a particular concern about our success in attracting and retaining female academic staff and this is but one element of a broader recognition that advancing our Mission and Strategic Intent demands that we attract, retain and develop the most able staff in all key areas. These considerations link staff planning to other College strategies including reward strategy and our ability to pay, financial management, the development of fundraising initiatives and the condition of the estate.

It is within the overall framework of the Strategic Plan that Faculty Strategic Plans are drawn up, and it is within the context of Faculty Plans that Departmental and Divisional Plans are formulated and examined. This process is mirrored in departments and divisions where Section Plans are formulated and examined within the context of the Departmental and Divisional Plans. As part of an annual Planning Round exercise, the Faculties, Departments and Divisions review their immediate and longer term staffing needs against their strategic aims and the staffing expenditure that can be afforded within their budgets. They are supported in this process by the College Administration which is itself subject to the same Planning Round process, submitting action plans in support of the College’s Strategic Plan. In order to ensure that relevant issues are
addressed, i.e. those contained within the Strategic Plan, and that they have in place appropriate processes for workforce planning, Faculties, Departments and Divisions are required to respond to a set of pro-forma questions. The outcome of the process is a formal planning statement starting with objectives, moving to the specifics of teaching and research plans and then focusing on resource issues in terms of staff, space and finance. This statement is useful and accessible as a reference document in the Faculty and in the Centre.

Planning and advisory groups have been established within each Faculty. Within these planning groups, proposals for recruitment are measured against the potential for redeployment or development of existing staff which may be informed by the Personal Development Plans formulated for individual members of staff. Succession planning is a requirement in reviews for senior posts. Performance issues may be highlighted within the groups and referred to the Faculty HR Managers for attention. Desired reward strategies may be similarly communicated via HR to ensure equity and overall College support.

Proposals involving new or expanded areas of research and teaching, and/or increased staffing levels, will require additional consideration in respect of available accommodation and health and safety requirements. Within the Faculty of Medicine, there are additional considerations relating to the need to support clinical service within the NHS, and ethical issues in respect of research activity.

The College is a highly devolved organisation. For example, while the HR Division currently notifies Departments and Divisions of upcoming retirements, the plan for dealing with this resource issue will be brought forward within Department and Divisional Plans to be considered within the context of a Faculty Plan.

**Where we want to be:** The College needs a robust and rigorous staff planning process that enables each Faculty and the College Administration to meet the College’s Strategic Objectives.

**How we are going to get there:** The College regularly reviews the planning process to ensure that it is effective. Both the Director of HR and senior Faculty management staff attend Planning Round meetings and so issues of importance and concern are highlighted. The Director of HR takes responsibility for working with senior colleagues to address staff-related matters, for example planned restructurings, special programmes to address skill shortages, or particular reward strategies to attract and reward staff who could command higher pay in other sectors. Effective use of management information is key and, as the quality and accuracy of data improves, so will the College’s ability to identify problems and measure the success of action that has been taken to address these problems. During the next two years, the impact upon staff planning of the SSI project will be considerable and, as described elsewhere, HR is playing a major role in assisting key Support Services managers in identify their staffing needs and implementing the planned changes. A feature of the SSI project is that support service provision should become more closely aligned with Faculty management and so, for the 2004 Planning Round, senior Faculty managers are attending College Administration Planning Round meetings.
Appraisal

Where are we now: Consultation undertaken prior to the formulation of the emerging Strategy demonstrated that there is significant agreement across the College that all staff should be included in an annual appraisal exercise which reviews both development needs and performance. The objective has been to have in place effective performance management and development systems which facilitate the recognition of staff’s contribution to the achievement of the College’s Strategic Intent, and to deal with poor performance in a timely and equitable manner.

Considerable energy and resources have been devoted to the development of our aim of “Appraisal for All.” We have a Performance Review and Development Plan (PRDP) system in place for Management Board members and Heads of Department and Divisions, non-clinical academic staff, research staff and senior administrative staff (Level 3a to 6 in our Professional Services job family). We also have an appraisal system in place for clinical academic staff incorporating the recommendations of the Follett Review. While we have different schemes for different staff groups, we have adopted common approaches to identifying staff development and assessing performance.

The schemes have been designed to promote more effective analysis and assessment of performance and development. This is achieved by a requirement to set measurable objectives using the SMART methodology. The essential competencies and skills for success in the job are identified and, importantly, both the competencies and the individual’s objectives are linked to College objectives. Development needs are then identified with a view to ensuring that individuals have the essential competencies and skills for current or future roles.

A further element in the schemes is the more obvious involvement of HR in their monitoring and evaluation. HR monitors the use of the schemes and, by surveying managers and staff, evaluate their contribution to improving performance. The task of training managers in appraisal skills is large but is essential for underpinning the shift towards a more performance driven reward system.

Where we want to be: We want to have in place a systematic and effective approach to reviewing development needs and performance applying to all staff within the College, and where the link between individual development and performance is understood.

How we are going to get there: We will extend the PRDP system across the remaining staff groups - staff in Levels 3b and below in our Professional Services job family, and staff in our Technical and Operational Services job families. We will review the success of pilot projects trialling appraisal for these staff groups. In consultation with the Trades Unions, we will review the documentation and guidance for the schemes and launch them College–wide. We will review the current application of the PRDP system within those staff groups to which it is currently applied, and review the use of the tools contained within the system for agreeing and reviewing performance objectives and agreeing and implementing Personal Development Plans. Where there is a shortfall in application, we will take remedial action to include re-launching
the system and providing further skills training. We will evaluate the impact and contribution of PRDPs upon performance and assess what the beneficial effects have been. Where appropriate, these success indicators will be communicated throughout College to ensure the general adoption of good practice.

Aim 26: To improve staff performance by extending the implementation of the PRDP system to all staff and ensure more comprehensive understanding of the link between development and performance

| Action: | To review the success of the pilot projects for staff in the Technical, Operational and the lower levels of the Professional Services families; review effectiveness of scheme documentation and guidance in consultation with managers and Trades Unions
| Target: | Complete review of pilots and documentation by August 04

| Action: | To hold briefings and skills development workshops for managers and staff covered by the extended PRDP implementation and monitor take up
| Target: | To arrange briefings and skills workshops during 04/05 and 05/06

| Action: | To launch the extended PRDP implementation and monitor application
| Target: | PRDPs being undertaken for all staff in all departments and divisions by July 05 – see Appendix A- Development section above for specific metrics

Aim 27: To improve staff performance by ensuring that PRDPs are being undertaken for those staff currently covered by schemes, and that the tools contained within the schemes are being used effectively

| Action: | To review the impact, application of, and documentation for the PRDP systems in place; to review Reviewers’ performance in relation to setting targets, evaluating performance and identifying development needs
| Target: | Complete review by August 04

| Action: | To re-launch systems as necessary; to offer briefings and workshops on skills development as required
| Target: | To arrange briefings and skills workshops as necessary during 04/05 and 05/06

| Target: | Effective PRDPs being undertaken for all staff in all Departments and Divisions by July 06

Outcomes: The effectiveness of the Appraisal Action Plans will be measured/assessed by College ratings in the Research Assessment and Quality Assurance Agency exercises; managers and staff being clear about what is expected of them and being able to link their objectives to those of the College; managers and staff recognising the link between development and performance; staff surveys; staff turnover and exit interviews and questionnaires.
Performance Management

While appraisals should not be used as the first occasion for raising serious performance problems, they can nevertheless serve to crystallise discussions about poor performance that have been taking place during the year. With objectives having been set to ensure an individual’s contribution to the College’s Strategic Intent, any failure to meet those objectives must, other than in exceptional circumstances, present a problem that will need to be addressed.

Where we are now: Increasingly, the College is aware of its responsibility to manage poor academic performance and, in consultation with Faculties, Departments and Divisions and Trades Unions, a performance management framework has been developed and promulgated. Key considerations within this framework are:

- Volume and quality of research activity;
- Level of research income;
- Teaching effectiveness;
- Other professional activities;
- National standing liable to enhance the reputation of Imperial College.

The College welcomes the outcome of the initiative amongst pre-1992 universities to agree a Revised Model Statute with the Privy Council. For other staff, the College has consulted with Faculties and Trades Unions and implemented a revised disciplinary procedure and introduced a capability procedure. The Ordinances complementing the RMS, and the revised College procedures, stress a positive approach from managers and supervisors in resolving problems, rather than being simply procedural. The introduction of a capability procedure is designed to encourage managers and supervisors to make interventions in situations where they have identified a performance problem but have determined that disciplinary procedures are inappropriate; i.e. to take action when previously they would not have done. Each new procedure is complemented by a guidance note to support its effective operation and by pro forma letters for managers and supervisors to use when confirming the outcome of any discussions, which includes actions for improving performance.

As with the appraisal schemes described above, HR is pro-active in promoting and monitoring the use and effectiveness of the new procedures. Their introduction has been accompanied by an intensive programme of training for those HR staff whose role is to give support and guidance to managers tackling performance issues. Following consultation with Faculties, Departments and Divisions, this has been determined as an essential first step in assuring managers and supervisors that, when tackling poor performance, they will receive sound professional advice and support.
Where we want to be: We wish to have in place effective mechanisms for dealing with poor performance. Ideally, performance problems will be tackled and resolved locally at an early, informal stage. Where such problems are not resolved informally, managers and supervisors will be clear about their role in taking problems forward, and confident in their ability to carry out those roles, supported by effective and fair procedures.

How we are going to get there: As a result of the intensive training programme described above, HR staff are significantly more confident in dealing with the procedures for managing performance and there is evidence that this is beginning to engender greater confidence in line managers and supervisors. A programme of workshops on ‘performance management’ is already established and, in launching the new procedures, these have been supplemented by “roadshows” held in departments to clarify line management roles and to discuss any perceived barriers to dealing with poor performance. The programme of workshops will continue and will be supplemented by further roadshows as necessary. The College recognises that managers and supervisors will need support in acquiring the skills necessary for resolving performance problems, and management development activity and programmes are designed specifically to improve performance management (see Appendix A - Development section).

The Revised Model Statute, with its associated Ordinances, is a considerable improvement on the earlier Model Statute but remains more complex than the procedures found in other organisations, and this may continue to be a hindrance for managers tackling performance issues amongst academic staff. As a result, the College, in collaboration with a number of other institutions, is seeking a legal opinion on whether the procedures may be simplified still further. If this approach fails, the College will move to adopt the Revised Model Statute and Ordinances.

HR will evaluate and monitor the effect of these initiatives to improve the management of poor performance, and to improve staff performance generally, by:

- surveying managers, supervisors, staff and Trades Unions;
- assessing a sample of cases to learn from good practice or errors;
- monitoring the number of cases that are resolved in the early stages and go no further.
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<thead>
<tr>
<th><strong>Aim 28:</strong> To ensure clarity amongst managers and supervisors in respect of their responsibility and role in tackling poor performance</th>
<th><strong>Action:</strong> Survey line managers and supervisors and clarify where necessary</th>
<th><strong>Target:</strong> Complete survey by September 04; 100% of line managers and supervisors confirming a clear understanding of their role in tackling poor performance</th>
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</table>
| **Aim 29:** To ensure that managers and supervisors feel confident about using disciplinary and capability procedures where necessary, and feel competent and confident to identify and deal with stress | **Action:** Survey line managers and supervisors and provide workshops and other development activity as necessary | **Target:** Complete survey by September 04  
**Target:** Provide any necessary support so that 100% of managers and supervisors confirm confidence by December 04  
**Target:** By March 05, 75% of performance problems tackled and resolved at the first level (informal intervention/oral warning) and not escalating to higher levels of procedures involving HR |
**Aim 30:** To improve staff performance as a basis for ensuring quality overall

**Action:** Maintain the quality of HR advice and support by providing development activity for HR staff including external seminars, internal briefings and quizzes

**Action:** HR Service Managers, in conjunction with Divisional/Department Heads, to identify underperformers and develop strategies for taking forward appropriate action

**Action:** Provide support to managers in dealing with performance issues, including extending the use of formal disciplinary and capability procedures where necessary and actively managing staff through procedures

**Target:** Schedule activities during 04/05 and 05/06 and monitor participation by HR staff

**Target:** Mechanism in place for identifying underperformers by September 04. Activate mechanism in one Faculty by December 04 and in all Faculties by December 05

**Target:** Following identification of underperformers, provide support as required during 04/05 and 05/06

**Outcomes:** The effectiveness of the Performance Management Action Plans will be measured/assessed by College ratings in the Research Assessment and Quality Assurance Agency exercises; performance problems being tackled early and fairly; incidence and outcomes of internal appeals and Employment Tribunal cases; staff surveys; staff turnover and exit interviews and questionnaires.

**Risk Management**

**Where we are now:** As part of overall risk assessment in the College, specific employment related risks are considered to be employment related litigation, data accuracy and protection, the external funding of salary costs, the NHS interface (where staff management problems can be particularly complex), and conflicts of interest. High levels of absence can affect the performance of individuals and, consequently, the performance of the College, and so absence management is a key issue. Following agreement during the past year on a revised framework that reinforces the link between absence and
capability, the HR Division has worked hard on briefing managers on the importance of early interventions in absence management. The underlying reasons for absence are investigated so that actions to improve attendance and performance may be determined, or referrals to employee support programmes instigated. Information on staff absences is used to support a proactive approach by HR staff in encouraging managers to investigate reasons for absence, and HR Staff work closely with the College’s Occupation Health Department in addressing related health problems. There is, however, a concern that absence reporting across all staff groups is less than fully effective and for academic staff in particular.

Following the HEFCE stress project, results have been communicated to the College’s major committees and to staff via Roadshows. Discussions have taken place with managers from those departments where results were outside the statistical “norms”. An Employee Assistance Programme has been introduced and widely publicised.

The College works in concert with NHS Trust HR colleagues in respect of the management of staff who are College employees but report to Trust management for their day-to-day operational activities, and vice versa. This has enabled greater understanding of the joint employment framework and more effective management of the risks inherent in these arrangements. Joint working continues to develop, and is especially important in the light of the new clinical academic consultant contract and its implications for academic staff and the funding of their employment.

During the past year, the College has reviewed its principal employment frameworks including those covering discipline, capability, grievances, bullying and harassment, recruitment and selection, redundancy and organisational change and the management of fixed term employees. These have been updated and revised as necessary and promulgated to the College.

There is a growing awareness within College that competition for capable staff is increasing across all staff groups. There is a realisation that recruitment and retention plans will need to be developed.

**Where we want to be:** We want to be in a position whereby all employment risks are fully assessed, managed and minimised in accordance with best practice.

**How we are going to get there:** These risks are mitigated by the existence, communication and monitoring of appropriate College policies and procedures, management and other training, audit of data input and reporting, and the College’s professional advice and support infrastructure. The overall aim is to continue to anticipate and minimise such risks by monitoring, for instance, proposed changes in employment and other related law, and modifying, in a timely manner, relevant College policies, procedures and systems.

In relation to absence monitoring and management, the College will, in consultation with Departments and Divisions, take steps to improve the level and quality of reporting. In partnership with Occupational Health, the HR Division will ensure that reporting formats provide for the early identification of reasons for absence as a basis for effective health management on an individual and organisational basis. Precise reporting
metrics will be developed and subsequently audited by HR teams to ensure that they are fit for purpose, with full absence data being gathered. Absence levels will be monitored at College, Faculty, Departmental/Divisional level. Briefings and development workshops for line managers will continue to be provided, as required, as a basis for maintaining active management of individual cases which will be supported by HR as necessary.

The College’s Employee Assistance Programme has proved to be well-received and effective but, despite considerable publicity, could be better known. We will continue to retain the current provider, review the service regularly and run a promotional event to raise awareness. The risks of stress, particularly during the implementation of the changes associated with SSI, must be minimised. Initiatives described in other parts of this Strategy, such as the development of management skills, open and effective communications, supported by stress management programmes, will reduce stress.

The College will seek to establish formal agreements on the management of any risks arising from the joint working of clinical academic staff and continue to work with NHS Trusts on the management of performance and staff development processes in accordance with the requirements of the Follett Review.

The HR Division will work closely with all Departments and Divisions in developing recruitment and retention plans based on academic and business needs, market considerations, and individuals’ own career development aspirations and opportunities. The College’s Safety Unit, working closely with Departmental Safety Committees, has responded to the challenge of the College’s ageing estate as highlighted in the introduction to the Strategy, not least in the provision of a range of education and training programmes made available to all staff, including post-graduates. These programmes cover all levels of risk management and lead, ultimately, to the NEBOSH qualification. This provision will continue.

<table>
<thead>
<tr>
<th>Aim 31: To manage and minimise employment related risk</th>
<th>Action: To review regularly all employment frameworks to ensure compliance with legal requirements and best practice and, in particular, staff on fixed-term contracts</th>
<th>Target: Each area to be reviewed during 05/06</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Action: To monitor compliance with employment frameworks through analysis of performance and absence management, individual casework, complaints to Employment Tribunals</td>
<td>Target: Absence of adverse outcomes to internal appeals and Employment Tribunal cases during 04/05 and 05/06</td>
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</table>
| **Aim 32:** To ensure that absences are reported fully and informatively | **Action:** To consult with Departments/Divisions on current reporting arrangements, exploring any perceived shortcomings and devising strategies for improvement  
**Action:** To review reporting format to ensure that relevant information is provided (e.g. that which might initiate an Occupational Health intervention) and implement a new format as appropriate | **Target:** Complete review by December 04 and implement improvements by July 05  
**Target:** Complete review by December 04 and implement a revised format by March 05 |
|---|---|---|
| **Aim 33:** To ensure that absences are managed and the level of absence reduced | **Action:** To devise precise metrics for monitoring absence levels  
**Action:** To provide briefings and development workshops for line managers | **Target:** Metrics devised by March 05; mechanisms for reporting at College, Faculty and Departmental/Divisional level established by June 05; quarterly reporting taking place from January 06  
**Target:** As required during 04/05 and 05/06 |
<p>| <strong>Aim 34:</strong> To ensure staff have access to a responsive and confidential counselling service | <strong>Action:</strong> To continue to retain current service provider, raise awareness in staff and managers of the service’s existence and review quality | <strong>Target:</strong> Report on take up and anonymous feedback to be sought in 05 and 06; run a promotional event with post-event survey to test awareness |</p>
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<tr>
<th><strong>Aim 35:</strong> To minimise the risks associated with stress, substance and alcohol abuse</th>
<th><strong>Action:</strong> Run management development and awareness programmes, particularly in relation to the planned organisational change</th>
<th><strong>Target:</strong> Programmes to be offered throughout 04/05 and 05/06, targeted as required</th>
</tr>
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<tbody>
<tr>
<td><strong>Aim 36:</strong> To minimise the risks associated with the joint management of clinical academic staff</td>
<td><strong>Action:</strong> Continue working with NHS Trusts on joint performance management, staff development arrangements and on other staffing-related matters, and gain agreement to the action required and the timetable by both parties</td>
<td><strong>Target:</strong> Gain agreement to a &quot;project/issue management&quot; concordat as issues are tackled</td>
</tr>
<tr>
<td><strong>Aim 37:</strong> To respond to the growing concerns about competition for able staff across all staff groups</td>
<td><strong>Action:</strong> In collaboration with Departments and Divisions, identify problems or potential problems and devise focused recruitment and retention strategies as appropriate</td>
<td><strong>Target:</strong> Complete consultation with departments and identify priorities for intervention by December 04; begin implementation of programme of support by December 04</td>
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*Outcomes: The effectiveness of the Risk Management Action Plans will be measured/assessed by a reduction in absence levels; staff feeling that they are working in a safe environment and feel supported in dealing with pressures of work or home; incidence and outcomes of complaint against the College; staff surveys; staff turnover and exit interviews and questionnaires.*
APPENDIX D: MANAGEMENT INFORMATION

College Strategic Objective: To develop and provide management information appropriate to College needs

Where we are now: During the past three years, much work has been done to ensure the availability of appropriate management information. In particular, our focus has been on producing and disseminating regular metrics, which contribute both to strategic decision making and to improved service delivery.

Turnover rates are now analysed annually, showing turnover by Faculty, contract type, grade, gender, age, ethnicity and length of service. Collection of this data means that we can produce useful trends analysis, which can be used by Faculties and Departments/Divisions in their staff planning activities (see Appendix C – Management Processes for more details on staff planning). Exit interviews and questionnaires are used to gather more qualitative feedback.

The age composition of our workforce is monitored carefully to ensure appropriate planning for staff retirement. Data gathered through recruitment monitoring is used to evaluate recruitment advertising activity and to monitor diversity metrics in relation to applications, shortlisting and appointment. Our information is analysed to compare recruitment data on ethnicity and gender against that of the population of Greater London. In addition, regular monitoring of staff development take-up, career progression and reward takes place.

Regular reports are issued to enable HR Managers to monitor sickness absence proactively, and each quarter, the College’s Operations Committee is provided with data on absence rates in each Faculty and for support services.

Management information has been a critical factor in the College’s successful implementation of the new pay and grading structure. Pay modelling has been essential to the development of the new pay ranges, and improved processes have enables us to issue personalised offers of pay and terms and conditions to all staff.

None of the above would have been possible without improvements in use of the HR database and data quality. Training and support for users have been improved through the employment of a full-time database trainer; more staff resource has been allocated to data entry; improved data audit procedures have been introduced. In addition, considerable resource is taken up with work to ensure that the College meets the significant additional requirements of the new HESA Staff Individualised Return.

Where we want to be: We want to be in a position to both promote, and support, the achievement of the College’s Strategic Objectives and, through the provision of accurate and timely management information, specifically those initiatives and projects discussed in this Strategy. In
particular, there is much work to be done to redesign key processes in HR, and to ensure that the technology supports robust, professional solutions that will meet the College’s future needs as identified during the Support Services Initiative project.

Although significant efforts have been made to improve the quality of data on the ethnic origin and disability status of our staff, this remains an area of concern and further work will be devoted to this area.

**How we are going to get there:** HR will keep under close review its ability to provide relevant information to support the College’s Strategic Objectives and measure the impact of HR Strategy initiatives. There are three main priorities in this area:

- ensuring that the HR system supports the redesign and optimised delivery of processes;
- continuous improvement of data quality;
- ensuring that management information contributes to the achievement of HR objectives and meets customer needs.

The target relating to the collection of diversity data is contained within *Appendix B – Modernisation and Communication* and the target relating to the collection of sickness absence data is contained within *Appendix C – Management Processes*.

| **Aim 38**: To ensure the provision of accurate, timely and appropriate management information for HR staff and customers | **Action**: Review with customers the delivery of data reports, their timing and content  
**Action**: Implement employee self-service for provision of personal data  
**Action**: Identify system and data organisation requirements for the next RAE | **Target**: Complete review by December 04  
**Target**: Employee self-service rollout completed by July 05  
**Target**: Delivery of HR support to the development of project plan by June 05 |
|---|---|---|
| **Aim 39**: To provide relevant Human Resource Management Information to College decision making bodies | **Action**: Review regular data provision with members of key College Committees and managers  
**Action**: provide key data on Turnover and Diversity (annual); Exit Interviews and Recruitment Monitoring (six monthly); Starters/Leavers, Study/Training days and Sickness absence (quarterly) | **Target**: Complete review by December 04  
**Target**: Timely provision of annual, half-yearly and quarterly data to key College Committees and managers during 04/05 and 05/06 |
| Aim 40: To ensure that the College meets its external and statutory requirements | Action: Review data quality and data collection processes to ensure that they are sufficient to meet revised HESA staff data requirements  
Action: Keep abreast of requirements and changes from statutory funding agencies (including HEFCE, HESA and the Research Councils) as they impact on staffing data | Target: Complete the review and meet the requirements for the Staff Individualised Return due September 04  
Target: Timely, accurate and optimised submission of returns by each deadline during 04/05 and 05/06 |
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<tr>
<td>Aim 41: To develop data audit procedures and quality standards to meet the requirements of the new operating model</td>
<td>Action: Review existing data audit procedures and data quality standards; propose revised data audit and data quality standards for Faculty HR Service Managers</td>
<td>Target: Complete review and propose revised data audit procedures and data quality standards by December 04</td>
</tr>
<tr>
<td>Aim 42: To ensure that HR processes are efficient and meet the requirements of the new operating model</td>
<td>Action: In consultation with users, review existing HR processes; develop revised processes facilitating e-enablement where possible</td>
<td>Target: Complete review by June 05; implement e-enablement by December 05</td>
</tr>
</tbody>
</table>
| Aim: To improve the quality of management information by improving the effectiveness of staff using ICIS (Oracle HRMS) | Action: To continue to provide support and training to all users, within HR and across the College and target non-HR staff in particular for training opportunities | Target: Devise and publicise a training programme for 04/05 and 05/06  
Target: During 04/05 and 05/06, offer training to all new users within 1 month of ICIS responsibility being assigned |

Outcomes: The success of our Management Information Action Plans will be measured/assessed by the cost effective provision of quality data that promotes operational efficiency, allows the College to determine progress towards meeting its Strategic Objectives, meets external requirements such as returns to HESA and other statutory bodies, and maximises its performance at the next RAE.
Outline Map of Grading Structure

Research and Education

- E
- D
- C
- B
- A

Professional Services

- 7
- 6
- 5
- 4
- 3b
- 3a
- 2b
- 2a
- 1b
- 1a

Technical Services

- 5
- 4
- 3b
- 3a
- 2b
- 2a
- 1b
- 1a

Operational Services

- 4
- 3b
- 3a
- 2b
- 2a
- 1b
- 1a
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<tr>
<td>REWARD</td>
<td>£40,000</td>
<td>£579,000</td>
</tr>
<tr>
<td>DEVELOPMENT</td>
<td>£74,000</td>
<td>£300,000</td>
</tr>
<tr>
<td>Staff Development Adviser 0.6</td>
<td>£27,000</td>
<td>£28,000</td>
</tr>
<tr>
<td>Staff Development Administrator</td>
<td>£26,000</td>
<td>£27,000</td>
</tr>
<tr>
<td>Centre for Educational Development</td>
<td>£54,000</td>
<td>£56,000</td>
</tr>
<tr>
<td>EQUALITY &amp; DIVERSITY</td>
<td>£95,000</td>
<td>£200,000</td>
</tr>
<tr>
<td>Diversity Consultant 0.8</td>
<td>£34,000</td>
<td>£35,000</td>
</tr>
<tr>
<td>Diversity Administrator 0.6</td>
<td>£16,000</td>
<td>£17,000</td>
</tr>
<tr>
<td>RISK MANAGEMENT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employee support programme</td>
<td>£60,000</td>
<td>£61,000</td>
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<tr>
<td>RESOURCE &amp; PLANNING</td>
<td></td>
<td></td>
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<tr>
<td>HR Services staff</td>
<td>£270,000</td>
<td>£278,000</td>
</tr>
<tr>
<td></td>
<td><strong>Total</strong></td>
<td><strong>£696,000</strong></td>
</tr>
<tr>
<td></td>
<td>subtotal HR staff costs</td>
<td>£373,000</td>
</tr>
<tr>
<td></td>
<td>subtotal non staff costs</td>
<td>£323,000</td>
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BACKGROUND

1. Governors will recall that, on 9 July, at the last Meeting of the Council I reported the conclusions I had reached as a result of my consultations with you on the effectiveness of the College’s governance arrangements and how they might be improved. After the very useful discussion, which is recorded in the Minutes you have before you, you agreed that I should resolve some outstanding issues, most notably the question of future staff and student representation on the Council, and bring formal proposals back to you at this Meeting.

2. This Paper, therefore, sets out formally the conclusions of my review of the College’s governance and seeks your approval for changes to it.

CONCLUSIONS

THE COUNCIL

3. All those whom I have consulted agree that the role of the College’s governing body should be:

   • To appoint the College’s most senior executive, the Rector;
   • To approve its mission, strategy, business plans, and budgets;
   • To establish and monitor systems of control and accountability; and
   • To keep the performance of the College under review.

4. All also agree that the Council is not as effective a governing body as it should be, principally because it has too many members and too many persons in attendance at each meeting. Moreover, if it were a smaller body, and if the delineation between its role and that of the Executive were to be clearer, the number of its Committees could be markedly reduced.

5. In essence, the governing body should be seen as a meeting between those responsible for delivering the College’s plans and non-executives charged with ensuring that those plans are delivered in the interests of wider stakeholders in this prestigious UK university. For the executives, the emphasis is on their responsibility for delivery - it is they who are called to account by the non-executives. If this revised model for the Council is accepted, elected members have no real role to play, since in Lambert’s words “all members should exercise their responsibilities in the interests of the institution as a whole rather than as a representative of any constituency”. (1) However, as we agreed at our last Meeting, I have carried out further

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consultations and these have persuaded me that the retention of an elected staff and student presence on the Council would be desirable in the interests of transparency.

6. The size of the Council is determined by the principle of external oversight by a majority of non-executive (i.e. lay) members. Hence, it is set by the number of executive members (i.e. College staff), of which there are currently 15 – the Rector, Deputy Rector, 6 senior staff representatives, 6 elected staff members, and the ICU President. Given that Imperial now has a restructured and strengthened executive, comprising a Management Board and Operations Committee, my proposal is to reduce the internal membership of the Council to 9 - the Rector, his Deputy, 5 members of the senior management team, one member of staff elected from amongst the College’s Deans, and the ICU President. No other College staff would attend governing body meetings, unless invited for a specific agenda item by the Rector. Nine lay members, together with a lay Chairman, would provide a lay majority and thus lead a Council with a total membership of 19, plus the Clerk. All to whom I have spoken agree that this is an ideal size and I would suggest a quorum for meetings of 10 members.

7. Turning to the frequency of meetings, you will recall that I originally suggested that the Council should meet bi-monthly throughout the year. My further consultations have, however, led me to conclude that it would be better to have fewer, weightier meetings, starting earlier, at 9.30am, and continuing, if necessary, after lunch.

8. I would therefore propose that from 2005/06 the number of Council meetings should be reduced from six to four, with a combined meeting and away day in late September, a meeting in December at which the Accounts for the previous financial year can be approved, a meeting in late March on the same day as the Court’s meeting, and meeting in July at which the Council can agree the Plan and Budget for the following financial year.

9. While on this subject, several members have commented to me that the dates of Council Meetings are not set far enough in advance for those with extensive commitments. I have therefore asked the Clerk to establish a process whereby meeting dates are approved by the Council annually for up to four years ahead and you have his Paper setting out his proposed dates for the next four years.

THE COUNCIL COMMITTEES

10. The size of the Council is partly determined by its need to provide the chairmen and some of the members of certain of its Committees. Currently there are 11 such Committees, for which the Council provides 8 chairmen and 39 members.

11. Clarification of the Council’s role vis-à-vis the Executive leads to the conclusion that we need only two Committees – the Audit Committee and a combined Remunerations and Nominations Committee. The chairmanship and membership of these two Committees should be exclusively drawn from the non-executive members of the Council and 10 lay Governors, including the Chairman, should suffice to meet this need.

12. All agree that the House and Sport & Leisure Committees should be disbanded as soon as possible, and that it is for the Rector to consider whether either should be continued as Rector’s Committees. Whatever his decision, no Council membership would be appropriate.
13. The Rector has agreed that the role of the Fellowships’ Committee can be taken on by the Management Board, but in this case there would be value in inviting the Council to nominate, say, 2 of its non-executives as members.

14. The Finance Committee, chaired by the Honorary Treasurer, looks in detail at the financial plans, budget and investment proposals that have to come to Council for formal approval. It also provides the Rector with strategic financial advice. This activity is at the heart of the Council’s role. A Council Committee currently handles it because the Council, as currently constituted, does not have the time or detailed understanding of the College’s finances to be able to do other than ratify the Committee’s recommendations. However, the proposed Council will be able to take this business back to itself and the responsibility would then fall to the Rector and his team to bring their proposals to Council in an appropriate form.

15. To do that they may need external advice on investments. The Council itself has no need for an Investments Committee, but it will need to ensure that it has amongst its members those with appropriate expertise and experience.

16. On financial strategy, I conclude that the Rector needs to strengthen this contribution to his management team, and hence I propose that the post of Honorary Treasurer be lost from the Council and transferred to the Executive as a member of staff. On strategy development in general, all agree that Council should be more involved at an earlier stage. I propose a Council away day as a brainstorming session early in the annual strategy development process which leads into the Planning Round. Council members’ contribution would not then be confined, as now, to the few who sit on the Finance Committee.

17. The Rector has confirmed to me that he has in place the expert advice he needs to prepare proposals for Council. The Finance Committee can therefore be disbanded without delay, if the Council so decides.

18. On the Health and Safety Audit Committee, all agree that this is a subject of paramount concern to the governing body. Many share unease that the current arrangement may blur the lines that need to be crystal clear between the roles of management and oversight. The Council should ask for regular reports from the Rector on Health and Safety compliance in the College. As part of its audit function it should also benchmark the College’s performance against other HEIs or similar organisations. Again, Council should ensure that its membership, and that of its Audit Committee, includes people with expertise and experience in the management of risk, especially in this area. The work of the current Health and Safety Audit Committee, such as the inspections of Departments, should continue but under the aegis of the College management. Again, the Rector has confirmed that the necessary arrangements for this exist and so this Committee, too, can be disbanded, if you so decide.

19. The College’s Regulations already provide the means for the Council to delegate to the Chairman the authority to take decisions on its behalf when urgent matters arise in the periods between its meetings. This obviates the need for a Vacations Powers Committee and I would propose that it is disbanded.

20. The Chairman’s Committee should be seen as an ad hoc arrangement, rather than a standing committee of Council, and I recommend therefore that it, too, should be disbanded.
THE COURT

21. I considered whether it would be appropriate to make changes to the Court, or even to propose its disbandment. However, given that it is a body which, without requiring much resource from the College, provides Imperial with links to the external world which can, on occasion, be useful in practical or presentational terms, I decided not to make any recommendations.

RECOMMENDATIONS

22. In summary, I recommend that:

a. A submission should be made to the Privy Council requesting that the College’s Statutes be amended as shown at Annex A (2), to the effect that:

   (1) The Council shall be restructured to comprise a lay Chairman, 9 lay members and 9 staff members (*i.e.* the Rector, the Deputy Rector, 5 senior staff members nominated by the Rector, an elected staff member and the President of the ICU), together with the Clerk.

   (2) The quorum for Council Meetings shall be 10 members.

b. The following changes, which lie within the Council’s own gift, should also be made:

   (1) The post of Honorary Treasurer should be discontinued and its functions should be transferred to the Executive.

   (2) From 2005/06 the Council should four times a year with the dates of meetings set annually for four years ahead.

   (3) Other College staff should attend Council Meetings only for specific agenda items as required by the Rector.

   (4) The Audit Committee should be restructured so that its membership is exclusively drawn from the Council and its remit is extended to include oversight of the management of health and safety risks in the College.

   (5) The Remuneration and Nominations Committees should be combined, with a restructured membership drawn exclusively from the Council.

   (6) The House, Sport & Leisure, Fellowships, Finance, Health and Safety Audit, and Investments Committees should be disbanded now that the Rector has confirmed that, where necessary, their functions have been assumed by the College’s management. However, the Council should nominate 2 of its non-

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2. In the Annex the wording of the proposed amendments to the existing text of the Statutes is given in *italics* and the words which are to be deleted are struck out with a line through them.
executives to take part with the relevant management committee in the selection of candidates for Fellowships, Associateships and Honorary Degrees.

(7) The Vacation Powers and Chairman’s Committees should be disbanded.

(8) The Council should be more closely involved in the early development of College strategy and, to that end, should hold an annual away day on strategic issues each Autumn.

c. The Court should remain in being in its present form.

ADDITIONAL AMENDMENTS TO THE STATUTES

23. Apart from some minor editorial corrections which you will see at Annex A, there is one further proposed amendment to the Statutes which does not stem from my review, but which, if approved by you, I would suggest is submitted to the Privy Council as part of the present exercise. This concerns the power of the Senate to delegate its authority to make decisions. As matters stand, Statute 5.(5)(b) gives the Senate the power to “establish Committees in Engineering Studies, in Medical Studies and in Science Studies and such other committees with such terms of reference as it deems appropriate and may delegate to such committees responsibilities placed upon it by the Charter and these Statutes.”

24. Thus, the Senate has no express power to delegate responsibilities to an individual, for example to the Rector, as Chairman of the Senate, to take chairman’s action in the periods between meetings. This has the potential to create delays and difficulties, especially during vacations, which the College would wish to avoid. For this reason it is proposed that the additional Statute 5.(6) shown in Annex A be added to the Statutes.

RESOLUTIONS

25. The College’s Charter requires that any proposed amendments to the Statutes are approved by Special Resolution of the Council before they are submitted to the Privy Council (3). The Charter also lays down (4) that “a "Special Resolution" means a resolution passed at a meeting, of which at least 21 days’ notice has been given, of not less than two thirds of the members of the Council by a majority of not less than three quarters of those present and voting at the meeting”.

26. The Council is asked, in accordance with the provisions of Article 17 of the Royal Charter of the College to consider and, if it sees fit, to approve by Special Resolution the proposed amendments to the Statutes of the College set out in the document headed ‘Revisions to the Statutes (October 2004)’ and attached at Annex A to this Paper.

3. Article 17 of the 1998 Charter. “The Council may add to, amend or revoke the Statutes by Special Resolution, provided that no new Statute, addition, amendment or revocation shall have effect until it has been approved by the Lords of Our Most Honourable Privy Council, of which approval a certificate under the hand of the Clerk of Our Privy Council shall be conclusive evidence”.

27. The Council is further asked to consider and, if it sees fit, to approve the changes to the College’s governance recommended at Paragraph 20.b. above.

Dr Eileen Buttle

Annex:
A. Revisions to the Statutes (October 2004)
1. Notwithstanding the provisions of Statutes 3 and 4, the first Chairman of the Court and of the Council shall be Field Marshal The Lord Vincent GBE KCB DSO and the first Deputy Chairman thereof shall be Sir Peter Baxendell CBE FIC FEng.

2. Notwithstanding the provisions of Statute 3, the first Honorary Treasurer shall be Mr John MacArthur BSc (Econ) FIC.

3. Notwithstanding the provisions of Statute 8, the first Rector shall be Professor Sir Ronald Oxburgh KBE FRS.
SECOND SCHEDULE

STATUTES OF IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE

1. DEFINITION OF TERMS

(1) In these Statutes and the Appendix thereto words bear the same meaning as in the Charter and, unless the context otherwise requires;

(a) “the Charter” means the Charter of the Imperial College of Science, Technology and Medicine granted in 1998 to which these Statutes are scheduled;

(b) “Regulation” means a Regulation made by the Council in accordance with the Charter and these Statutes;

(c) “staff” means persons employed by the College;

(d) “academic staff” means those persons employed by the College who (having successfully completed any relevant probationary period) have the title of Professor, Reader, Senior Lecturer or Lecturer at the College or are appointed to any other post designated by the Council as a post on the academic staff of the College;

(e) “academic-related staff” means persons employed by the College in those grades designated by the Council as academic-related grades;

(f) “the appointed day” means the date on which the Charter to which these Statutes are scheduled comes into effect;

(g) “the effective date” means the date on which the amendments to the Statutes approved by Special Resolution of the Council on 15 October 2004 relating to the membership of the Council shall come into effect by order of the Privy Council;

(h) “external members” means members of the Council who are not persons holding honorary status in the College as defined by Regulation, or students of the College, or employees of the College;

(i) “elected members” means persons as defined by Regulation for the purpose of election;

(j) “students” means persons registered for courses of study at the College;
(k) any reference to a numbered Statute shall be taken to refer to the Statute of such number in these Statutes.

(2) Pro-Rectors, Provosts, Principals, Vice-Principal, Directors of Graduate Schools and Deans for the purpose of appointment or election shall be as defined by Regulation.

(3) Except where the context otherwise requires, words importing the singular number shall include the plural number and words importing the masculine gender shall include the feminine gender and vice versa.

2. MEMBERSHIP OF THE COLLEGE

The following persons shall be Members of the College:

(1) The Members of the Court;
The Members of the Council;
The Fellows;
The Academic and Academic-Related Staff;
The Students.

(2) The Council, following consultation with the Senate, shall have the power to declare such other persons or categories of persons Members of the College as it shall determine, in accordance with procedures prescribed by Regulation.

(3) The Council shall have power, at the request of a member, to release that person from membership of the College, subject to the agreement of that person to continue to observe the Charter, Statutes and Regulations of the College.

3. THE COURT

(1) MEMBERSHIP OF THE COURT

The Court shall consist of the following persons:

(a) **EX OFFICIO MEMBERS**

- Rector
- Deputy Rector
- **Pro-Pro-Rectors**
- Deans
- Principals
- Vice-Principals
- Provosts
- President of the Imperial College Union
- Presidents of the Old Students’ Associations
(b) **APPOINTED MEMBERS**

6 appointed by the Sovereign in Council
2 appointed by the University of London
1 appointed by the Goldsmiths’ Company
1 appointed by the Clothworkers’ Company
13 appointed by the City and Guilds of London Institute, of whom 10 should be members of City Livery Companies other than the Goldsmiths’ Company and the Clothworkers’ Company
2 appointed by the Royal Commissioners for the Exhibition of 1851
2 appointed by the Royal Society
2 appointed by the Royal Academy of Engineering
1 appointed by the Royal Society of Chemistry
1 appointed by the Royal College of Physicians
1 appointed by the Royal College of Surgeons of England
1 appointed by the Royal College of Anaesthetists
1 appointed by the Royal College of General Practitioners
1 appointed by the Royal College of Obstetricians and Gynaecologists
1 appointed by the Royal College of Ophthalmologists
1 appointed by the Royal College of Pathologists
1 appointed by the Royal College of Psychiatrists
1 appointed by the Royal College of Radiologists
1 appointed by the Royal College of Paediatrics and Child Health
1 appointed by the Royal Aeronautical Society
1 appointed by the Royal Statistical Society
1 appointed by the Royal Institution of Naval Architects
1 appointed by the Royal Agricultural Society of England
1 appointed by the Royal Horticultural Society
1 appointed by each of:

the Institution of Chemical Engineers
the Institution of Civil Engineers
the Institution of Electrical Engineers
the Institution of Mechanical Engineers
the Institution of Mining Engineers

_the Institute of Materials, Minerals and Mining_, _the Institution of Mining and Metallurgy_, _the Institute of Biology_, _the Institute of Management_,

_the Institute of Materials_,

—the Institute of Physics
the Society of Chemical Industry
the British Computer Society
the British Society for the History of Science
1 Head Teacher appointed by the Head Masters Conference
1 Head Teacher appointed by the Girls Schools Association
2 Head Teachers appointed by the Secondary Heads Association
1 each by the Local Authority in the areas in which the College has a main site location as determined by the Council
1 each appointed by the Governments of: Canada, Australia, New Zealand, South Africa, India, Pakistan and Sri Lanka
1 appointed by the Secretary of State for Foreign and Commonwealth Affairs
8 appointed by the Imperial College Union
1 each appointed by: the Royal College of Art, the Royal College of Music, the Trustees of the Science Museum, the Trustees of the Natural History Museum, the Trustees of the Victoria and Albert Museum and the Corporation of the Hall of Arts & Sciences
3 Members of the Commons House of Parliament for relevant parliamentary constituencies as determined by the Council.

(c) Elected Members

24 Members of the full-time academic staff (8 elected each by and from the Engineering, the Medical and the Science academic staff, including, where possible, 1 member with a responsibility which includes the subject area of food, agriculture or rural environment)

4 Members elected by and from the full-time academic-related staff.

(d) Co-opted Members

Up to 40 persons, not employees of the College, co-opted on the recommendation of the Council.

(e) Chairman and Deputy Chairman

The Chairman and Deputy Chairman appointed under Statute 3(5) (if not members by virtue of Statutes 3(1)(a) to (d))

(2) Period of Office of Membership of the Court

(a) Procedures for the appointment, election and co-option of members of the Court, including procedures for the filling of casual vacancies, shall be as prescribed by Regulation.

(b) Ex officio members shall be members of the Court for the period for which they hold the position designated; other members shall be appointed for a term of four years, and be eligible for re-appointment except that members shall not normally be appointed for more than two consecutive terms of four years.

(c) Periods of office of appointed or elected members shall commence on 1 October, save that any member appointed or elected to fill a casual vacancy shall be a member only for the unexpired portion of the period of appointment or election of the member replaced, but any such period shall be disregarded in determining that member’s eligibility for further appointment or election.
(3) **CESSATION OF MEMBERSHIP OF THE COURT**

(a) *Ex officio* members shall cease to be members on vacation of the relevant office.

(b) Elected members shall cease to be members of the Court if they cease to be eligible in the categories in which they were elected.

(c) Where a member of the Court becomes incapable by reason of mental disorder, the Court may resolve that such person’s membership be terminated.

(d) The Court may require any member against whom a receiving order has been, or who makes an arrangement or composition with creditors, or who is convicted on indictment of a criminal offence, to resign from membership.

(e) Any member of the Court may resign by sending notice of resignation in writing to the Clerk to the Court.

(4) **MEETINGS OF THE COURT**

(a) There shall be a meeting of the Court at least once a year at such day and hour as determined by the Council to discharge the powers and functions prescribed by Statute 3(5).

(b) The quorum for a meeting of the Court shall be as prescribed by Regulation.

(5) **POWERS AND FUNCTIONS OF THE COURT**

(a) to appoint, on the recommendation of the Council, *an external member of the Court as* Chairman of the Court;

(b) to appoint, on the recommendation of the Council, *an external* member of the Council to be Deputy Chairman of the Court;

(c) to appoint, on the recommendation of the Council, a member of the Council to be Honorary Treasurer;

(d) to receive annual reports on the workings of the College from the Rector and the Council;

(de) to receive the Annual Accounts and the comments of the Audit Committee thereon;

(ge) to discuss any matters relating to the College and convey its opinion thereon to the Council;
(gf) to approve amendments to the Charter on the recommendation of the Council, prior to submission to the Privy Council;

(hg) to make representations for the appointment of a Visitor, as provided for in the Charter.

4. THE COUNCIL

(1) MEMBERSHIP OF THE COUNCIL

(a) Subject to the transitional provisions in Appendix 3 to the Statutes, the Council, from the effective date, shall consist of the following persons:

The Chairman (who shall be the person appointed under Statute 3(5)(a))

The Rector ex-officio.

The Deputy Rector ex-officio.

6-5 representatives of the Pro-Rectors, Provosts, Deans, Principals, Vice Principals. Members appointed from the senior staff of the College in a manner to be prescribed by Regulation, the representatives to be selected in a manner prescribed by Regulation so as to provide for representation of the breadth of disciplines and executive responsibility within the College.

61 Elected Members, two each elected by and from among the Engineering, Medical and Science full-time academic staff in a manner to be prescribed by Regulation, including, where possible, 1 member with a responsibility which includes the subject area of food, agriculture or rural environment.

3 External Members nominated by the Court from amongst its Appointed Members

1 External Member nominated by the University of London from among its appointees to the Court

126 External Members, co-opted by the Council

The President of the Imperial College Union ex officio.

(b) The Deputy Chairman of the Council shall be the person appointed under Statute 3(5)(b).

(2) PERIOD OF MEMBERSHIP OF THE COUNCIL

(a) Procedures for the appointment, election and co-option of members of the Council, including procedures for the filling of casual vacancies, shall be as prescribed by Regulation.

(b) Ex officio members shall be members of the Council for the period for which they hold the position designated; all other members, whether nominated or co-opted, shall be appointed for a term of four years and shall
be eligible for re-appointment except that members shall not normally be appointed for more than two consecutive terms of four years

(c) Periods of office of appointed or elected members shall commence on 1 October, save that any member appointed or elected to fill a casual vacancy shall be a member only for the unexpired portion of the period of appointment or election of the member replaced, but any such period shall be disregarded in determining that member’s eligibility for further appointment or election.

(3) CESSATION OF MEMBERSHIP OF THE COUNCIL

(a) *Ex officio* members shall cease to be members on vacation of the relevant office.

(b) Elected and nominated members shall cease to be members of the Council if they cease to be eligible in the categories in which they were elected or nominated.

(c) Any member who is absent from meetings of the Council for twelve consecutive calendar months shall cease to be a member unless the Council shall decide otherwise.

(d) Where a member of the Council becomes incapable by reason of mental disorder, the Council may resolve that such person’s membership be terminated.

(e) The Council may require any member against whom a receiving order has been made, or who makes an arrangement or composition with creditors, or who is convicted on indictment of a criminal offence, to resign from membership.

(f) Any member of the Council may resign by sending notice of resignation in writing to the Clerk to the Council.

(4) MEETINGS OF THE COUNCIL

(a) The Council shall meet at least three times during the academic year, but additional meetings shall be called as required by the Chairman or at the written request of no fewer than one third of the members.

(b) From the effective date the quorum for a meeting of the Council shall be twenty.

(5) POWERS AND FUNCTIONS OF THE COUNCIL

The powers and functions of the Council shall be:
(a) to recommend to the Court the appointment of the Chairman and the Deputy Chairman;

(b) to recommend to the Court the appointment of the Honorary Treasurer;

(c) to appoint the Rector;

d) to be responsible for the efficient management and good conduct of all aspects of the affairs of the College (including its finances and property) not reserved specifically to the Court;

(e) to make such Regulations as are necessary to fulfil the responsibilities under the preceding sub-paragraph;

(f) to establish committees with such membership as deemed necessary to assist in the discharge of its responsibilities.

(g) to make such appointments, or recommendations for appointments, as are required by the Charter, Statutes or Regulations;

(h) to define such academic structure of the College, comprising departments, divisions, centres and other units which may be associated to form faculties, schools or other groupings within the College, as the Council, on the recommendation of the Rector, after consultation with the Senate, considers expedient.

6. **DELEGATION OF POWERS OF THE COUNCIL**

The Council may delegate any of its functions, powers and duties (other than its power to make Regulations) to committees appointed by it or to its officers as it sees fit, and such committees and individuals may further delegate unless the Council has provided to the contrary.

5. **THE SENATE**

1. **MEMBERSHIP OF THE SENATE**

The Senate shall consist of the following persons, namely:

(a) *Ex Officio* Members

Rector, who shall preside over meetings of the Senate
Deputy Rector
*Pro-Pro*-Rectors
Principals
Directors of the Graduate Schools
Deans
(b) Five Heads of Science and Engineering Departments, appointed by fellow Heads of Departments.

(c) Two Heads of the School/Faculty of Medicine Divisions, appointed by fellow Heads of Divisions.

(d) Twenty-four members of the full-time academic staff, eight each appointed by the Engineering Studies, the Medical Studies and the Science Studies Committees.

(e) Six elected by and from the full-time academic members of staff employed by the College, of whom not more than two should be Professors.

(f) Three co-opted members of the full-time academic staff, to include academic interests not otherwise represented.

(g) Three students of the College, one of whom should be the President of the Imperial College Union and two nominated by the Imperial College Union in accordance with the provisions of Statute 11(3).

(2) PERIOD OF OFFICE OF MEMBERS OF THE SENATE

(a) Procedures for the appointment, election and co-option of members to the Senate, including the procedures for the filling of casual vacancies, shall be prescribed by Regulation.

(b) Appointed and elected members shall be appointed or elected for a period of three years and shall be eligible for re-appointment or re-election except that members will not normally serve for more than three consecutive terms of three years.

(c) Periods of office of appointed or elected members shall commence on 1 October, save that any member appointed or elected to fill a casual vacancy shall be a member only for the unexpired portion of the period of appointment or election of the member replaced, but any such period shall be disregarded in determining that member’s eligibility for further appointment or election.

(3) CESSATION OF MEMBERSHIP OF THE SENATE

(a) Ex officio members shall cease to be members on vacation of the relevant office.

(b) Appointed and elected members shall cease to be members if they cease to be eligible in the categories in which they were appointed or elected or if they send notice of resignation in writing to the Academic Registrar.
(4) MEETINGS OF THE SENATE

The frequency of and the quorum for meetings of the Senate shall be as prescribed by Regulation.

(5) POWERS OF THE SENATE

(a) The Senate shall be the supreme academic authority of the College, responsible to the Council, and shall take such measures as shall appear to it to be best calculated to promote the academic work of the College, both in teaching and research and for the regulation and superintendence of the education and discipline of the students of the College.

(b) The Senate may establish Committees in Engineering Studies, in Medical Studies and in Science Studies and such other committees with such terms of reference as it deems appropriate and may delegate to such committees responsibilities placed upon it by the Charter and these Statutes.

(6) DELEGATION OF POWERS OF THE SENATE

The Senate may delegate any of its functions, powers and duties to committees appointed by it or to its officers as it sees fit, and such committees and individuals may further delegate unless the Senate has provided to the contrary.

6. RESERVED AREAS OF BUSINESS

Student members of the Court, the Council and the Senate and of their Committees and of such other committees or bodies of the College as may from time to time be established shall not be entitled to participate in the consideration of reserved areas of business. Reserved areas of business shall be appointment, re-appointment, promotion and any other matter affecting individual members of staff; the admission, re-admission and academic assessment of individual students; the appointment of examiners for individual students; the consideration of courses of study for individual students, including research projects; and discussion of the award of grants, scholarships and prizes for individuals. It shall be for the relevant Chairman to decide in any case of doubt whether a matter is one to which this Statute applies, and that decision shall be final. In respect of any item of business to which this Statute does apply, papers for consideration at meetings of any such bodies and minutes and other records relating to such matters shall not at any time be available to a student member.

7. ACTS DURING VACANCIES

No act or resolution of the Council or any committee or board constituted in accordance with these Statutes shall be invalid by reason only of any vacancy in the body doing or passing it or by reason of any want of qualification by or invalidity in the election or appointment of any de facto member of the body whether present or absent,
or by reason of the accidental omission to give any member notice of the meeting or the non-receipt by any member of that notice.

8. OFFICERS OF THE COLLEGE

(1) THE RECTOR

(a) The Council shall appoint a Rector who shall hold office for such period and on such terms and conditions as the Council shall determine.

(b) Subject to the provisions of the Charter and these Statutes, the Rector shall be responsible for ensuring that the objects of the College are fulfilled, for maintaining and promoting the efficient and proper management of the affairs of the College, and for such other duties as may be prescribed by Regulation or determined by the Council from time to time.

(c) Subject to any directions or limitations imposed by the Council, the Rector shall have power to delegate any powers and duties to any person or committee.

(2) PRO-PRO-RECTORS

The Council shall, on the recommendation of the Rector, appoint for such period as the Council shall determine Pro-Pro-Rectors of the College who shall undertake such duties as shall be assigned to them by the Rector, and one of whom may be designated Deputy Rector.

(3) OTHER OFFICERS

The Council may, on the recommendation of the Rector and in accordance with such Regulations as are deemed appropriate, appoint for such period as prescribed by Regulation other College Officers to discharge such responsibilities and duties as shall be assigned to them by the Rector.

(4) CLERK TO THE COURT AND THE COUNCIL

The Council shall, on the recommendation of the Rector, appoint a person to act as Clerk to the Court and Clerk to the Council, with the responsibility of providing the necessary secretarial services for the Court and the Council.

(5) COLLEGE SECRETARY

The Council shall, on the recommendation of the Rector, appoint a person to act as College Secretary who shall undertake such duties as are assigned by the Rector.

9. STAFF OF THE COLLEGE
(1) **GENERAL**

(a) Except as hereinafter provided, all the functions of the Council in relation to the appointment and promotion of staff of the College, other than the Rector, shall be exercised by committees established for this purpose by the Rector. The membership shall be prescribed by Regulation.

(b) The committees shall have power to delegate upon such conditions as the Council may determine any of their functions to committees or sub-committees formed from their own number or otherwise appointed by them, or to persons within the College.

(c) Procedures governing the discipline, grievances and dismissal of academic staff employed by the College shall be in accordance with the provisions of the Appendix I to these Statutes.

(2) **ACADEMIC ORGANISATION**

(a) The arrangements for the appointment and duties of the head, director or principal of a faculty, school, department, division, centre or other unit and for the direction and administration of such entities shall be determined by the Rector.

(b) Provisions for electing or appointing Deans, Principals or other officers to such faculties, schools or groupings as may be established shall be determined by the Council, on the recommendation of the Rector after consultation with the Senate, and shall be prescribed by Regulation.

10. **STUDENTS OF THE COLLEGE**

(1) **ADMISSION**

Policy relating to the admission of students to the College shall be determined by the Senate subject to any directions given by the Council.

(2) **TERMINATION**

(a) The registration as a student of any student who fails to satisfy the examiners in any examination prescribed in the Regulations or by the Senate for the course of study being pursued may be terminated.

(b) Termination of registration as a student on academic grounds other than failure in any examination falling within Statute 10(2)(a) above shall be in accordance with a procedure laid down by the Senate which shall provide an opportunity for the student to make representations.
(c) The Rector, acting in accordance with Regulations approved by the Senate, may suspend or terminate the registration as a student, or not confer the award of a degree, diploma or certificate and withhold the certificate in respect of that award from any student, who is in debt to the College or to the University.

(d) The Senate may establish procedures to revoke any degree, diploma, certificate or other award of the College gained on courses of study approved by the College, if at any time it shall be discovered and proved to the satisfaction of the Senate that there was any material irregularity in the events or circumstances leading to the grant of the degree, diploma, certificate or other award.

(3) DISCIPLINE

(a) The Council shall by Regulation establish a Code of Student Discipline which shall provide for the hearing of complaints of breaches of discipline by students, and for rights of appeal where appropriate, and the penalties that may be imposed, including termination of membership of the College. The Code shall in particular provide that any student subject to disciplinary proceedings shall be entitled:

(i) to receive adequate notice of the details of the charge or charges and the date on which any hearing is to be held;

(ii) at any hearing, to be present and to be represented by a person of their choice other than a lawyer acting in a legal capacity, to give evidence and otherwise be heard, to have access to all relevant documents to be submitted to the hearing and to call and examine or cross-examine witnesses.

(b) Pending the determination of such a hearing, the Rector may suspend a student or impose restrictions on membership, attendance at the College or access to its property.

11. STUDENTS’ UNION

(1) There shall be a Union of Students of the College entitled “the Imperial College Union” which shall for all purposes be treated solely as an integral part of the College.

(2) There shall be a President of the Imperial College Union elected from amongst those students of the College who are full members of the Union.

(3) Without prejudice to Statute 11(1), the Imperial College Union shall conduct and manage its own affairs in accordance with a constitution approved by the Council, which shall be included in Regulations. The Union shall present to the Council its audited annual accounts.
(4) Where the Council disapproves of all or any part of the Imperial College Union’s proposed constitution and the Union does not alter that proposed constitution in accordance with the Council’s requirements within three months from the date on which the Union is requested to do so in writing by the Council, the Council shall make such amendments to the proposed constitution as it thinks fit and the proposed constitution as so amended shall then be the Union’s constitution.

12. FELLOWS AND ASSOCIATES

The Council may elect as Fellows or Associates of the College persons of distinction and persons who have in the opinion of the Council rendered significant services to the College or to the community, in accordance with Regulations approved by the Council.

13. ACCOUNTS AND AUDIT

The Council shall ensure that financial accounts are kept and that an annual statement of the College’s finances is prepared and published. The Council shall appoint, for such period and on such terms and conditions as the Council shall determine, an Auditor to undertake an audit of such financial accounts. The Auditor shall be a member of a body of accountants established in the United Kingdom and eligible for appointment as company auditors within the meaning of the Companies Act 1985. No person shall be appointed or remain Auditor who is, or any one of whose partners is, a member of the Council or the full-time staff of the College.

14. INVESTMENTS

(1) Monies in the hands of the College and available for investment may be invested by the College in any of the following modes or objects of investment:

(a) by placing them on deposit with any bank or licensed deposit taker;

(b) by investing them in such stocks, funds, shares, securities and other investments (including land of any tenure or any interest therein) of whatsoever nature and wheresoever and whether involving liability or not, as the Council shall, in its absolute discretion, think fit.

Provided that, in the case of monies held by the College as trustees, the powers conferred by this Statute shall be exercised in accordance with the relevant law.

(2) The Council shall have the power at any time and from time to time by writing to appoint (and in like manner to revoke or to vary the terms of any such appointment) any person or persons including a company or firm to act as investment advisers or investment managers and to permit any monies, investments or other property belonging to or in the hands of the College to be registered or held in the name or names of any nominee or nominees within the
United Kingdom on behalf of the College without being liable for any loss occasioned thereby in each case subject to such conditions and upon such terms (including the payment of remuneration) as shall from time to time be agreed in writing between the Council and such person or persons as aforesaid.

15. RAISING OF MONEY

Where the College is authorised to apply money for any purpose or in any manner it shall, subject to any trust deed, have power to raise the same or any part thereof by borrowing it or by selling, converting, calling in, mortgaging or otherwise charging all or any part of the property of the College: Provided that no lender nor any purchaser or mortgagee paying or advancing money on a sale, conversion, calling in, mortgage or charge shall be concerned to see that such money is wanted or that no more than is wanted is raised or otherwise as to the application thereof.

16. TRANSITIONAL PROVISIONS

These Statutes shall have effect subject to the transitional provisions in Appendix 2 and Appendix 3 to the Statutes.

(1) Those persons who immediately before the appointed day were members of the Governing Body of the College appointed by the bodies mentioned in Statute 16(2) shall be deemed for the purposes of these Statutes to have become members of the Court in accordance with these Statutes on the appointed day.

(2) The bodies referred to in paragraph (1) above are:

- the Sovereign
- the Royal Commissioners for the Exhibition of 1851
- the Royal Society
- the Royal Institution of Naval Architects
- the Institution of Civil Engineers
- the Institution of Electrical Engineers
- the Institution of Mechanical Engineers
- the Institution of Mining and Metallurgy
- the Society of Chemical Industry
- the Government of Australia
- the Government of Canada
- the Government of India
- the Government of New Zealand
- the Government of Pakistan
- the Government of South Africa
- the Government of Sri Lanka.

(3) Notwithstanding anything in Statutes 3(2), 4(2) and 5(2) the first appointments and elections of members of the Court, the Council and the Senate may be made
so as to take effect on the appointed day in accordance with procedures for the purpose determined before that day by the Governing Body of Imperial College.

(4) Notwithstanding Statute 5(2)(c) the periods of office of the first appointed or elected members of the Senate shall commence on the date on which such appointment or election is expressed to take effect; but for the purpose of Statute 5(2)(b) such members shall be deemed to have been appointed or elected (as the case may be) on 1st October immediately following that date.

(5) Notwithstanding anything in these Statutes any person who immediately before the appointed day was a member of the Governing Body and who becomes a member of the Court or the Council on that day shall be deemed for the purposes of Statute 3(2)(b) or 4(2)(b) to have begun his term of office as a member of the Court or the Council on 1st October immediately following the date on which he became a member of the Governing Body:

(5A) Notwithstanding Statute 3(2)(c) the term of office of any person who immediately before these provisions came into force was a member of the Court or the Council (other than a person to whom Statute 16(5) applies) shall commence on the date on which his appointment or election was expressed to take effect; but for the purpose of Statute 3(2)(b) or 4(2)(b) such a member shall be deemed to have been appointed or elected (as the case may be) on 1st October immediately following that date.

(6) Until the first appointments under Statute 8(2) to (5) have been made, the Pro Rectors, other College Officers and College Secretary shall be the persons who respectively held those offices immediately before the appointed day and the Clerk to the Court and Clerk to the Council shall be the person who immediately before that day provided the secretarial services to the Governing Body.

(7) Notwithstanding Statute 11(2), the first President of the Imperial College Union shall be the person who held that office immediately before the appointed day.

(8) Nothing in these Statutes shall affect the status as a Fellow or an Associate of the College of any person who was so elected before the appointed day.
APPENDICE TO THE STATUTES

APPENDIX TO THE STATUTES

APPENDIX 1: DISCIPLINE, GRIEVANCE AND DISMISSAL PROCEDURES FOR ACADEMIC STAFF

[No further changes are proposed for the Appendix 1 to the Statutes at this stage. The remainder of this Appendix has therefore been omitted in order to save space].
APPENDIX 2: TRANSITIONAL PROVISIONS (1998)

1. Those persons who immediately before the appointed day were members of the Governing Body of the College appointed by the bodies mentioned in Paragraph 2 below shall be deemed for the purposes of these Statutes to have become members of the Court in accordance with these Statutes on the appointed day.

2. The bodies referred to in paragraph 1 above are:

   the Sovereign
   the Royal Commissioners for the Exhibition of 1851
   the Royal Society
   the Royal Institution of Naval Architects
   the Institution of Civil Engineers
   the Institution of Electrical Engineers
   the Institution of Mechanical Engineers
   the Institution of Mining and Metallurgy
   the Society of Chemical Industry
   the Government of Australia
   the Government of Canada
   the Government of India
   the Government of New Zealand
   the Government of Pakistan
   the Government of South Africa
   the Government of Sri Lanka.

3. Notwithstanding anything in Statutes 3(2), 4(2) and 5(2) the first appointments and elections of members of the Court, the Council and the Senate may be made so as to take effect on the appointed day in accordance with procedures for the purpose determined before that day by the Governing Body of Imperial College.

4. Notwithstanding Statute 5(2)(c) the periods of office of the first appointed or elected members of the Senate shall commence on the date on which such appointment or election is expressed to take effect; but for the purpose of Statute 5(2)(b) such members shall be deemed to have been appointed or elected (as the case may be) on 1st October immediately following that date.

5. Notwithstanding anything in these Statutes any person who immediately before the appointed day was a member of the Governing Body and who becomes a member of the Court or the Council on that day shall be deemed for the purposes of Statute 3(2)(b) or 4(2)(b) to have begun his term of office as a member of the Court or the Council on 1st October immediately following the date on which he became a member of the Governing Body:

6. Notwithstanding Statute 3(2)(c) or 4(2)(c) the term of office of any person who immediately before these provisions came into force was a member of the Court or the Council (other than a person to whom Paragraph 5 above applies) shall commence on the date on which his appointment or election was expressed to take effect; but for the purpose of Statute 3(2)(b) or 4(2)(b) such a member shall be
deemed to have been appointed or elected (as the case may be) on 1st October immediately following that date.

7. Until the first appointments under Statute 8(2) to (5) have been made, the Pro-Rectors, other College Officers and College Secretary shall be the persons who respectively held those offices immediately before the appointed day and the Clerk to the Court and Clerk to the Council shall be the person who immediately before that day provided the secretarial services to the Governing Body.

8. Notwithstanding Statute 11(2), the first President of the Imperial College Union shall be the person who held that office immediately before the appointed day.

9. Nothing in these Statutes shall affect the status as a Fellow or an Associate of the College of any person who was so elected before the appointed day.
APPENDIX 2: TRANSITIONAL PROVISIONS (2005 AMENDMENTS)

1. Until the effective date:

(1) The Council shall consist of the following persons:

The Chairman (who shall be the person appointed under Statute 3(5)(a))
The Rector.
The Deputy Rector.
6 Representatives of the Pro-Rectors, Provosts, Deans, Principals, Vice Principals and such other persons as may be prescribed by Regulation, the representatives to be selected in a manner prescribed by Regulation so as to provide for representation of the breadth of disciplines within the College.
6 Elected Members, two each elected by and from the Engineering, Medical and Science full-time academic staff, including, where possible, 1 member with a responsibility which includes the subject area of food, agriculture or rural environment.
3 External Members nominated by the Court from amongst its Appointed Members
1 External Member nominated by the University of London from among its appointees to the Court.
12 External Members, co-opted by the Council
The President of the Imperial College Union, ex officio

(2) The Deputy Chairman of the Council shall be the person appointed under Statute 3(5)(b).

(3) The quorum for a meeting of the Council shall be twenty.

2. Save for ex-officio members of the Council and for other members as provided for in this appendix, the members of the Council immediately before the effective date shall cease to be the members of the Council on the effective date.

3 The persons who immediately before the effective date were the Chairman and Deputy Chairman of the Council shall continue to be the Chairman and Deputy Chairmen of the Council from the effective date and shall be treated as appointed from the dates of their original appointment before the effective date.

4 The persons who immediately before the effective date were External Members nominated by the Court from amongst its Appointed Members shall continue to be the External Members of the Council from the effective date and shall be treated as appointed from the dates of their original appointments before the effective date.

5 Nothing in the Statutes shall render acts or resolutions of the Council at its first meeting after the effective date invalid by reason only of the Council not comprising at the date of that meeting the 6 external members to be co-opted by the Council after the effective date.
A Note by the Clerk

1. The Chairman’s Review of Governance includes the recommendation that the Council’s Committees should be reduced from the present number to just two Committees – the Audit Committee and a combined Remunerations & Nominations Committee. This recommendation was accepted in principle by the Council at its last meeting, together with the proposal that the chairmanship and membership of these two Committees should be exclusively drawn from non-executive members of Council.

2. The Council’s discussion of these recommendations included a consideration of the responsibilities currently undertaken by the Health and Safety Audit Committee. Members agreed that the Council’s role was not to try to manage health and safety itself, but rather to ensure that the College was fulfilling its legal obligations in this regard. It was felt that the Council’s responsibility for oversight could be satisfied if the Audit Committee were to scrutinise the Health and Safety Council’s annual report on safety in the College. This would be done within the context of the Audit Committee’s general responsibility for monitoring the College’s risk management policy and procedures.

3. The terms of reference of the Audit Committee have been revised in the light of the Chairman’s recommendations and the discussion at the last Council meeting. They have also been reviewed against the model terms of reference contained in the recently re-issued HEFCE Code of Practice for Institutional Audit and Accountability (December 2003). The amended version is attached at Annex A with additions printed in italics, and deletions marked in text which has been struck through.

4. Terms of reference for a new Remuneration & Nominations Committee have also been prepared and included in the Annex.

ACTION REQUIRED

5. The Council is invited to consider, and if it sees fit, to approve the proposed terms of reference for the Audit Committee and the Remuneration & Nominations Committee at Annex A.

K.A.M.
AUDIT COMMITTEE

Terms of Reference:

(i) To keep under review the effectiveness of internal control systems, and in particular to review the external auditors' management letter, the internal auditors' annual report, and management responses.

(ii) To consider the Annual Financial Statements in the presence of the external auditor, including the auditor's formal opinion, the statement of members’ responsibilities and any corporate governance statement.

(iii) To monitor the implementation of agreed recommendations arising from internal and external audit reports.

(iv) To advise the Council on the appointment of the external auditors, the audit fee, the provision of any non-audit services by the external auditors and any questions of resignation or dismissal of the external auditors.

(v) To review the internal auditors' audit needs assessment and the audit plan; to consider major findings of internal audit investigations and management's response; and promote co-ordination between the internal and external auditors. The Committee will ensure that the resources made available for internal audit are sufficient to meet the College’s needs.

(vi) To satisfy itself that satisfactory arrangements are in place to promote economy, efficiency and effectiveness.

(vii) To monitor the effectiveness of the College’s risk management policy and procedures, and in this regard, to receive annual reports from the Rector on Risk Management and the management of Health and Safety within the College.

(viii) To receive any relevant reports from the National Audit Office, the HEFCE and other organisations.

(ix) To monitor annually the performance and effectiveness of external and internal auditors.

(x) To report to the Council at least annually on its activity for the year and to give its opinion on the extent to which the Council may rely on the internal control system and the arrangements for securing economy, efficiency and effectiveness.

(xi) The Committee shall have the authority to call for any information from College officers, external and internal auditors and others which it considers necessary to discharge its responsibilities effectively.
Constitution:

The Committee and its Chairman shall be appointed by the Council from among its own members and must consist of members with no executive responsibility for the management of the College. No member of the Audit Committee may also serve on the College’s Finance Committee or its equivalent.

A Chairman to be appointed by the Council from among the lay-external members of the Council.

Three members with appropriate, at least one of whom shall have recent and relevant expertise and experience in finance, accounting or auditing, to be appointed by the Council from among the lay-external members of the Court and/ or Council.

One member to be appointed by the Council from among the elected staff representatives on the Court.

No member of the Audit Committee may also serve on the College’s Finance Committee.

In attendance:
The Rector
The Deputy Rector
The College Secretary
The Director of Finance
The Head of Management Audit and Review.
A representative of the external auditors

Secretary
Head of Central Secretariat and Assistant Clerk to the Court and Council

Present Membership:

Mr D P Hearn (Chairman)
Mr G Bickerton
Mr D R L Duncan
Dr J D Wilbraham
Two vacancies
Professor D Griffiths

Meetings and Reporting:

The Committee shall meet not less than three times a year. The external auditors or the Head of Management Audit and Review may request that additional meetings be held if they consider it necessary.

The minutes of meetings of the Committee will be circulated to all members of the Council.

The Committee will prepare an annual report covering the College’s financial year and any significant issues up to the date of preparing the Report. The Report will be addressed to the Rector and to the Council and will summarise the activity for the year. It will give the Committee’s opinion on the adequacy and effectiveness of the College’s arrangements for:

a. Risk Management, control and governance, including the accuracy of the statement of internal control included with the annual statement of accounts.
b. Economy, efficiency and effectiveness (value for money).

This Report will be presented to the Council at its meeting in December, before the members’ responsibility statement in the Annual Financial Statements is signed.

The Committee will also provide an annual statement on the College’s Accounts to the Court at its annual meeting. and shall report:

— (a) to the Council in December.

— (b) to the Court in March.

Quorum:

The quorum shall be the Chairman or Deputy Chairman and two one other members.
REMUNERATION & NOMINATIONS COMMITTEE

Terms of Reference:

(i) To receive comparative information on salaries, other emoluments and conditions of service in the university sector.

(ii) To review and approve annually the salaries and emoluments of the Rector and of such senior staff as report directly to the Rector or who may, from time to time, be agreed by the Committee.

(iii) To review and approve any discretionary salary revisions for such staff.

(iv) To consider and resolve any apparent anomalies in remuneration.

(v) To consider and decide any severance payments proposed for staff listed in (ii) above.

(vi) To agree in advance remuneration packages outside the norm.

(ix) To review information on College reward strategy and policy.

(x) To receive annually information from the Rector on the decisions made by the Management Board concerning the salaries and other emoluments of professorial and such other senior staff as may, from time to time, be agreed.

(xii) To recommend to the Council external members for co-option to the Council.

(xiii) To recommend to the Council persons for co-option to the Court.

(xiv) To recommend to the Council persons for nomination by those Appointing Bodies requesting nominations to be made for them.

(xv) To recommend to the Council such additional definition of terms as may be necessary to facilitate the procedures for the appointment, election and co-option of persons to the Court and Council.

(xvi) To recommend to the Council the appointment of persons to other external bodies in cases where the Council is the Appointing Body.

Constitution:

The Chairman of the Council (Chairman)
Three external members of the Council, appointed by the Council

In attendance:
The Rector (except when his own remuneration is being considered).
Council
15th October 2004

The Deputy Rector (except when remuneration issues are being considered).
The Director of HR

Secretary:
The Clerk to the Court and Council

Present Membership:

Dr E Buttle (Acting Chairman)
Three vacancies

Meetings and Reporting:

The Committee shall meet at least two times per annum.

The Committee will make an annual report on remuneration to the Council at its meeting in October.

The Committee’s recommendations for appointments to the Court and Council and to other bodies shall be made to the Council as and when required.

Quorum:

The quorum shall be the Chairman and the one other member.
1. At its February Meeting each year the Council agrees the dates of its meetings and of those of the Court for the following academic and financial year. Several members have commented, however, that, given their many other commitments, a single year’s forecast is insufficient and have requested that the dates of Council and Court meetings be set much further in advance.

2. I therefore attach at Annex A proposed dates for meetings of the Court and Council for the academic years 2005-06 to 2008-09, together with those already agreed for the current year (1).

3. I would ask the Council to:
   
   a. Consider and, if it sees fit, agree these dates in principle.
   
   b. Agree that from 2005/06 the procedure should be that at its third Meeting each year the dates of Meetings for the next three years are reviewed and those for a fourth year agreed in principle.

K.A.M.

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## PROPOSED DATES FOR COUNCIL MEETINGS 2004 – 2009

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<td>Council Meeting (12 Jul 07)</td>
<td>Council Meeting (11 Jul 08)</td>
<td>Council Meeting (17 Jul 09)</td>
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A Note by the Rector

PRO RECTOR FOR POSTGRADUATE AFFAIRS

Professor Mary RITTER, Professor of Immunology in the Division of Medicine, has been appointed to the post of Pro-Rector for Postgraduate Affairs with effect from 1 October 2004.

PRINCIPAL OF THE FACULTY OF ENGINEERING

Dr Julia KING CBE FREng, formerly Chief Executive of the Institute of Physics, has assumed the appointment of Principal of the Faculty of Engineering with effect from 27 September 2004.

PRINCIPAL OF THE FACULTY OF LIFE SCIENCES

Professor Sir Leszek BORYSIEWICZ FRCP, FMedSci, currently Deputy Rector, will also be acting Principal of the Faculty of Life Sciences with effect from 1 October 2004 until a new appointment to the post is made.

PRINCIPAL OF THE FACULTY OF PHYSICAL SCIENCES

Professor Michael DUFF, currently Oskar Klein Professor of Physics at the University of Michigan and Director of the Michigan Centre for Theoretical Physics, will assume the appointment of Principal of the Faculty of Physical Sciences with effect from 1 May 2005.

Professor Peter KNIGHT FRS, currently Head of Department of Physics, will be acting Principal for the Faculty of Physical Sciences until Professor Duff takes up his appointment.

CAMPUS DEAN FOR FACULTY OF LIFE SCIENCES

Professor Maggie DALLMAN, Professor of Immunology in the Department of Biological Sciences, has accepted appointment as Campus Dean for the Faculty of Life Sciences on the South Kensington Campus with effect from 1 October 2004.

CAMPUS DEAN FOR SILWOOD PARK

Professor Mike HASSELL FRS will be stepping down as Principal of the Faculty of Life Sciences, but has accepted appointment as Campus Dean for the Silwood Campus with effect from 1 October 2004.


CAMPUS DEAN FOR WYE

Professor Mike JEGER, Sainsbury Chair of Horticulture, in the Department of Agricultural Sciences has accepted appointment as Campus Dean for the Wye Campus with effect from 1 October 2004.

HEAD OF THE DEPARTMENT OF ENVIRONMENTAL SCIENCES

Professor Jeff WAAGE, Professor of Applied Ecology, will be Head of a new Department of Environmental Sciences and manage its development alongside the managed closure of the former Department of Environmental Science and Technology with effect from 1 October 2004.

FELLOWS OF THE ROYAL ACADEMY OF ENGINEERING

The following have been elected Fellows of the Royal Academy of Engineering:

Professor Tony CONSTANTINIDES, Professor of Signal Processing, in the Department of Electrical and Electronic Engineering.

Professor Richard SYMS, Professor of Microsystems Technology, in the Department of Electrical and Electronic Engineering.

Emeritus Professor John HUTCHINSON, Emeritus Professor of Engineering Geomorphology and Senior Research Fellow, in the Department of Civil and Environmental Engineering.

IMPERIAL COLLEGE TEACHING FELLOWS

The following awards have been made:

Imperial College Teaching Fellowships:

Dr Michael COPPINS, Senior Lecturer in the Department of Physics.

Imperial College Teaching Fellow for Innovation:

Dr Michael SCHACHTER, Senior Lecturer in the Division of NHLI.

Mr Zen MUKUCH, Reader in Law in the Department of Environmental Sciences.

PROFESSORS

Professor William Osmond Charles COOKSON, formerly Wellcome Senior Clinical Research Fellow and Honorary Consultant, in the Department of Medicine at the University of Oxford has
been appointed to the Chair in Respiratory Genetics in the Division of National Heart and Lung Institute with effect from 1 October 2004.

Professor Russell COWBURN, currently Reader in Physics and Head of the Nanomagnetism Research Group in the Department of Physics at Durham University, has been appointed to the Chair in Nanotechnology in the Department of Physics with effect from 1 January 2005.

Professor Kurt DRICKAMER, currently Professor of Biochemistry and Wellcome Principal Research Fellow at the University of Oxford, has been appointed to the Chair in Biochemistry in the Department of Biological Sciences with effect from 1 April 2005.

Professor Andrew Bruce HOLMES, formerly Professor of Organic and Polymer Chemistry at the University of Cambridge, has been appointed to the Chair in Organic and Polymer Chemistry in the Department of Chemistry with effect from 29 September 2004.

Dr Kin Kwong LEUNG, formerly Distinguished Member of Technical Staff at Lucent Technologies Bell Laboratories, USA, has been appointed to the Tanaka Chair in Internet Technology held jointly between the Department of Electrical and Electronic Engineering and the Department of Computing with effect from 9 August 2004.

Professor Steven Jay SCHWARTZ, currently Professor of Space Plasma Physics in the School of Mathematical Sciences at Queen Mary University, has been appointed to the Chair in Space Physics in the Department of Physics with effect from 1 January 2005.

Dr George A YOUNG, currently Reader in Methodological Statistics at the University of Cambridge, has been appointed to the Chair in Statistics in the Department of Mathematics with effect from 1 January 2005.

READERS

Professor Jonathan Samuel FRIEDLAND, formerly Reader in Infectious & Tropical Diseases has been appointed to the Chair in Infectious Diseases and Microbiology in the Division of Investigative Sciences with effect from 1 January 2004.

Dr Ante MUNJIZA, formerly Reader in Computational Mechanics and Software Engineering at Queen Mary, University of London, has been appointed as Reader in Earth Science and Engineering in the Department of Earth, Science and Engineering with effect from 1 October 2004.

VISITING PROFESSORS

Professor John ALLEN, Emeritus Fellow and Visiting Researcher at University College, Oxford, has accepted association with the College as Visiting Professor in the Department of Physics from 1 September 2004 for a period of three years.

Dr Satinder PUREWAL, Consultant Petroleum Engineer at BG Petroleum Engineering Skills Centre for international oil and gas field developments in South America, Middle East and
Indonesia, has accepted association with the College as Visiting Professor in the Department of Earth Science and Engineering from 1 September 2004 for a period of three years.

Dr Nigel SMITH, Group Leader for Dark Matter in the Particle Physics Department at the Rutherford Appleton Laboratory, has accepted association with the College as Visiting Professor in the Department of Physics from 1 September 2004 for a period of three years.

Professor Chunshan SONG, Professor of Fuel Science in the Department of Energy and Geo-Environmental Engineering at the Pennsylvania State University, has accepted association with the College as Visiting Professor in the Department of Chemical Engineering and Chemical Technology from 1 September 2004 for a period of nine months.

Professor Stuart SWAIN, Professor of Quantum Optics in the School of Mathematics and Physics at The Queen’s University, Belfast, has accepted association with the College as Visiting Professor in the Department of Physics from 1 October 2004 for a period of three years.

CONFERMENT OF TITLE - PROFESSORS

The following have been conferred the title of Professor with effect from 1 October 2004:

### Biological Sciences:
- Stephen Matthews, Professor of Chemical and Structural Biology
- Ian Owens, Professor of Evolutionary Ecology

### Chemistry:
- Alan Armstrong, Professor of Organic Chemistry
- Thomas Welton, Professor of Catalysis
- Andrew Demello, Professor of Chemical Nanosciences

### Civil and Environmental Engineering:
- David Lloyd Smith, Professor of Structural Mechanics
- Christopher Swan, Professor of Hydrodynamics

### Clinical Sciences:
- Mary Ann Rutherford, Professor of Perinatal Imaging
- David Carling, Professor of Biochemistry
- Matthias Merkenschlager, Professor of Cell Biology

### Computing:
- Ian Hodkinson, Professor of Logic and Computation
- Wayne Luk, Professor of Computer Engineering
- Istvan Maros, Professor of Computational Methods of Operations Research

### Investigative Sciences:
- Barbara Bain, Professor of Diagnostic Haematology
- Sunil Shaunak, Professor of Infectious Diseases

### Mathematics:
Kevin Buzzard  Professor of Pure Mathematics  
Richard Vaughan Craster  Professor of Applied Mathematics 

**Medicine:**  
Edwina Brown  Professor of Renal Medicine 

**Neuroscience & Psychological Medicine:**  
Mark William Hankins  Professor of Visual Neuroscience 

**NHLI:**  
Peter Goldstraw  Professor of Thoracic Surgery 
Athol Umfrey Wells  Professor of Respiratory Medicine 
Ian Michael Adcock  Professor of Respiratory Cell and Molecular Biology 

**Physics:**  
Michele Karen Dougherty  Professor of Space Physics 
William Matthew C Foulkes  Professor of Physics 
Kenneth Richard Long  Professor of Experimental Particle Physics 
Ray J Rivers  Professor of Theoretical Physics 
Michael J Damzen  Professor of Experimental Laser Physics 

**Primary Care and Population Health Science:**  
Alan Fenwick  Professor of Tropical Parasitology 
David Blane  Professor of Medical Sociology 

**Surgery, Anaesthetics and Intensive Care:**  
Wendy Atkin  Professor of Gastrointestinal Epidemiology 

**CONFERMENT OF TITLE - READERS**

The following have been conferred the title of Reader with effect from 1 October 2004:

**Agricultural Sciences:**  
Sophia Davidova  Reader in European Agricultural Policy 

**Bioengineering:**  
Mauricio Barahona  Reader in Biomathematics 

**Biological Sciences:**  
Katherine Anne Brown  Reader in Biochemistry 
Neil Fairweather  Reader in Molecular Microbiology 

**Centre for Educational Development:**  
Heather Fry  Reader in Higher and Professional Education 

**Chemical Engineering and Chemical Technology:**  
Sergei G Kazarian  Reader in Physical Chemistry 

**Civil and Environmental Engineering:**  
Christopher Cheeseman  Reader in Waste Management
Council  
15th October 2004

Robert Noland    Reader in Transport and Environmental Policy

Clinical Sciences:
Julian Dyson    Reader in Immunology
Eric Ofori Aboagye    Reader in Cancer Pharmacology and Molecular Imaging

Earth Science and Engineering:
Joanna Victoria Morgan    Reader in Geophysics
Jamie John Wilkinson Reader in Mineral Deposits

Electrical and Electronic Engineering:
Michael Brookes Reader in Signal Processing
Andrew Sean Holmes Reader in Micro-Electro-Mechanical Systems
Danilo Mandic Reader in Signal Processing
Jeremy Valentine Pitt Reader in Intelligent Systems

Environmental Sciences:
Geoffrey Peter Kirkwood Reader in Resource Modelling

Investigative Sciences:
Karim Meeran Reader in Endocrinology

Mechanical Engineering:
John P Dear Reader in Mechanical Engineering
Noel O'Dowd Reader in Solid Mechanics
Andrew Vernon Olver Reader in Mechanical Engineering

Medicine:
Mark Bower Reader in Medical Oncology
Timothy J Vyse Reader in Rheumatology
Francesco Dazzi Reader in Transplantation Immunology
Janice Main Reader in Medicine and Infectious Diseases

Neuroscience & Psychological Medicine:
Stephen M Gentleman Reader in Experimental Neuropathology

NHLI:
Philip Kilner Reader in Cardiovascular Magnetic Resonance
Raad Mohiaddin Reader in Cardiovascular Imaging
Angela Clerk Reader in Biochemistry and Cell Biology

Paediatrics, Obstetrics & Gynaecology:
Jenny Higham Reader in Obstetrics & Gynaecology
Paul Langford Reader in Paediatrics (Molecular Infectious Diseases)

Physics:
Gavin Davies Reader in Experimental Particle Physics
Andrew Jaffe Reader in Astrophysics
David I Britton Reader in Physics
Kim Christensen Reader in Physics
Daniel Martin Segal Reader in Quantum Optics
Jing Zhang    Reader in Physics

Primary Care and Population Health Sciences:
Richard Edmund Ashcroft  Reader in Biomedical Ethics

Surgery, Anaesthetics and Intensive Care:
Steve Halligan Reader in Intestinal and Colorectal Radiology
Andrew S C Rice  Reader in Pain Research

Tanaka Business School:
Rifat A Atun Reader in International Health Management

RETIREMENTS

The following have retired from the College with effect from 30 September 2004:

Emeritus Professor Peter BEARMAN, FREng, Deputy Rector and Professor of Experimental Aerodynamics in the Department of Aeronautics. Following retirement he has been conferred the Emeritus title, and been appointed as Senior Research Investigator in the Department of Aeronautics from 1 October 2004 to 30 September 2008.

Emeritus Professor David COSGROVE, Professor of Clinical Ultrasound in the Division of Clinical Sciences. Following retirement he has been conferred the Emeritus title.

Professor Brian DAVIES, Professor of Medical Robotics in the Department of Mechanical Engineering. Following retirement he has been appointed as Senior Research Investigator in the Department of Mechanical Engineering from 1 October 2004 to 30 September 2007.

Emeritus Professor George FREEMAN, Professor of General Practice in the Division of Primary Care and Population Health Science. Following retirement he has been conferred the Emeritus title.

Professor Alan JONES, Professor of Combustion Physics in the Department of Chemical Engineering and Chemical Technology.

Emeritus Professor Barry KAY, Professor of Clinical Immunology in the Division of Surgery, Anaesthetics and Intensive Care. Following retirement he has been conferred the Emeritus title, and been appointed as Senior Research Fellow from 1 October 2004 to 30 September 2005.

Professor Lester KERSHENBAUM, Professor of Chemical Engineering in the Department of Chemical Engineering and Chemical Technology. Following retirement he has been appointed as Senior Research Fellow in the Department of Chemical Engineering and Chemical Technology from 1 October 2004 to 30 September 2007.
Emeritus Professor Frank LEPPINGTON, Principal of the Faculty of Physical Sciences and Professor of Applied Mathematics in the Department of Mathematics. Following retirement he has been conferred the Emeritus title and been appointed as Senior Research Fellow in the Department of Mathematics from 1 October 2004 to 30 September 2007.

Emeritus Dr Sarada SARMA, Reader in Engineering Seismology in the Department of Civil and Environmental Engineering. Following retirement has been conferred the Emeritus title.

Professor James WILLIAMSON, Professor of Materials Chemistry in the Department of Materials. Following retirement he has been appointed as Senior Research Investigator from 1 October 2004 to 30 September 2005.
1. The Remuneration Committee met on 7 October 2004 to review the remuneration of senior staff and to approve any increases.

2. The current membership of the Remuneration Committee is Dr. E. Buttle (Chairman), Dr. M.P. Knight, Mr. G. Gray and Sir Peter Gershon, with the Rector in attendance for part of the meeting. The Committee was serviced by the Director of Human Resources.

3. The Committee considered in detail the remuneration of the Rector and those senior staff reporting directly to him. They also received information on the current remuneration and recent remuneration histories of senior staff in the College (professorial and senior administrative staff). Increases for these staff – including those in the College’s commercial operations – had previously been approved by the Rector in consultation with members of the Management Board and Operations Committee following a process of discussion between Heads of Departments, Faculty Principals and the Directors of the Administrative Divisions. These increases were noted by the Remuneration Committee.

4. Increases in remuneration approved by the Management Board/ Operations Committee and the Remuneration Committee are being implemented in the October payroll.

5. The Committee also considered a paper highlighting the introduction of major pay and grading reform and summarising the main components of a new approach to the remuneration of College staff. The Committee noted that Imperial was a sector leader in championing the early introduction of change in this area (effective from August 2003) and that the College had, uniquely, embraced the flexibilities presented by local pay bargaining achieving, in August 2004, a settlement of 3.5%, which was above the sector norm of 3.0%.

C.G.
PROPOSED RESTRUCTURING OF THE FACULTY OF LIFE SCIENCES

A Paper by the Deputy Rector

AIM

1. The Council is asked to consider the proposed restructuring of the Faculty of Life Sciences and the desirability of a reduction in the academic staff of the Faculty, if necessary by means of compulsory redundancies.

BACKGROUND

2. In May 2004 the Faculty of Life Sciences submitted to the College its plan for 2004-05 onwards. The key financial elements of this Plan showed the following historic and predicted deficits (£K):

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3. Taken together, this would result in a predicted carried forward balance of (£11.6M) by the end of 2006-07. Furthermore, the outcomes for 2001-02, 2002-03 and 2003-04 include extra financial support, which was provided to the Faculty by the College in addition to the funding provided through the normal formula-based allocation of resources. The additional amounts provided in each year were, respectively, £1.0M, £1.9M and £3.2M.

4. The Department of Agricultural Sciences currently contributes between £1.5M and £2.0M per annum to the above deficits. The predicted outturns for 2004-05 and onwards include the effect of a recovery plan for this Department which aims to bring Agricultural Sciences into an annual deficit of £1M in 2006-07, and into balance by 2008-09; this recovery is almost wholly predicated on proposed increases in its student numbers (principally to the courses in applied business management).

5. The other Departments in the Faculty are Biological Sciences and Environmental Science & Technology. Agricultural Sciences and Environmental Science and Technology were both rated 4 in the last Research Assessment Exercise and are the lowest-rated departments in the College. Consequently, both receive significantly less funding than the College’s other top-rated departments.

STRATEGY AND PROPOSED STRUCTURE FOR THE FACULTY

6. The College’s aim must be to create a Faculty which can develop over the medium term in order to sustain itself in the long term through the normal allocation of resources (its ‘vote’ income) and through the achievement of research funding and overheads. It is recognised that this will require:
a. A commitment from the College to support the Faculty in its strategy over the next 5 years.

b. Acceptance of the Wye Campus as a potential medium-term investment requiring its own funding stream to support it as such outside the academic structure.

c. Acceptance of some units (e.g. those around successful MSc courses) as teaching only cost-centres, the justification for which will exist solely on the financial balance between vote and fee income and costs.

d. A significant reduction in the academic staff of the Faculty. (A reduction of some 30 academic staff posts and corresponding support staff is suggested).

7. To achieve this aim, the Management Board has agreed that the Faculty should be restructured and that appropriate staff from the existing Departments should be transferred into the new structure.

8. To enable the Faculty in its new configuration to achieve the aims set out above, the Management Board has also agreed that:

a. With the exception of the successful Business Management programme, all research and undergraduate teaching activity should be withdrawn from the Wye Campus in a managed and timely way over the next 3 years.

b. The College should identify Environmental Sciences as an area in which Imperial should be prominent and one which should span across all the Faculties.

c. The research areas which are maintained within the Faculty must fit into cognate groupings.

d. A clear investment strategy must be developed for those areas in which international profiles can be achieved.

9. These proposals are now being implemented through consultation with the recognised trades' unions and through meetings with individual members of staff in the Faculty. The implementation process is being overseen by the Deputy Rector.

THE STATUTORY POSITION


a. Given the scale of the reduction in the academic staff which is required for this restructuring, the Management Board is not confident that it will be possible to reduce staff costs in the Faculty of Life Sciences to the necessary extent by voluntary means, and is concerned that there may be a need to consider compulsory measures. Where academic staff are concerned, the procedures in such a situation are given in the Appendix to the College’s Statutes on the Discipline, Grievance and Dismissal Procedures for Academic Staff, an extract from which is given at Annex A.

b. Under these procedures, the Council is required to set up a Redundancy Committee, should it decide that “it is desirable that there should be a reduction in the academic staff-

(a) of the College as a whole; or
(b) of any school, department, centre or other similar area of the College by way of redundancy."

c. Council is therefore asked to consider whether it is desirable that there should be a reduction in the academic staff of the Faculty of Life Sciences.

11. **The Redundancy Committee.**

a. The purpose of a Redundancy Committee is:

   "(a) to select and recommend the requisite members of academic staff for dismissal by reason of redundancy; and

   (b) to report their recommendations to [the Council]"

b. As a preliminary to this, the Committee will need to confirm that alternative measures have been considered which might eliminate or reduce the need for compulsory redundancies and to assure itself that due consideration has been given to:

   (1) Suggestions made by the relevant trades unions concerning the proposals.

   (2) The longer term implications of the plan, especially the overall impact on the Faculty of Life Sciences and the College as a whole.

**THE PROPOSED WAY FORWARD**

12. If the Council decides that it is desirable that there should be a reduction in the academic staff of the Faculty of Life Sciences (Paragraph 11.a above), it is proposed that Governors should authorise the Chairman of the Council on their behalf:

   a. To give due consideration to the outcome of the collective consultation period ending on 21 October 2004 and any further measures taken by the Deputy Rector to eliminate or reduce the need for compulsory redundancies.

   b. Having done so, to make, if necessary, the appropriate arrangements to appoint a Redundancy Committee.

13. Such a decision would recognise:

   a. The harmful effects of continuing uncertainty.

   b. The Management Board’s concern that the Faculty may not be able to achieve the necessary changes without some compulsory redundancies.

   c. That the Council had set in train the measures necessary for such compulsory redundancies, should they prove necessary.

14. It is further proposed that a Redundancy Committee, should, if needed, actively start its selection process no later than the end of December 2004. By that time it is anticipated that:
a. The Management Board will have confirmed to the Chairman of the Council that the Deputy Rector has met the trades' unions and reported on:

(1) The progress made towards avoiding or reducing the number of likely compulsory redundancies.

(2) The proposed organisational structure for the Faculty - its staffing structure and costs.

(3) The outcome of meetings held with the academic staff of the Faculty to explore ways of avoiding or reducing the need for compulsory redundancies.

b. The Chairman of the Redundancy Committee will have confirmed to the Chairman of the Council that all the preliminaries have been completed and that the Committee has the information and framework it needs to begin undertaking its statutory functions.

L.K.B.
“PART 1: CONSTRUCTION, APPLICATION AND INTERPRETATION

Construction

1. This Appendix and any Regulations made under it shall be construed in every case to give effect to the following guiding principles, that is to say -

   (1) to ensure that academic staff have freedom within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions, without placing themselves in jeopardy of losing their jobs or privileges;

   (2) to enable the College to provide education, promote learning and engage in research efficiently and economically; and

   (3) to apply the principles of justice and fairness.

Reasonableness of Decisions

2. No provision in Part II or Part III shall enable the body or person having the duty to reach a decision under the relevant Part to dismiss any member of the academic staff unless the reason for that member's dismissal may in the circumstances (including the size and administrative resources of the College) reasonably be treated as a sufficient reason for dismissal.

Application

3. (1) This Appendix shall apply -

   (a) to Professors, Readers, Senior Lecturers and Lecturers employed by the College who have successfully completed any relevant probationary period;

   (b) to any other senior academic-related staff in research grades designated by the Council for the purpose of this Appendix; and

   (c) to the Rector to the extent and in the manner set out in the Annex to this Appendix.

   (2) In this Appendix any reference to “academic staff” is a reference to persons to whom this Appendix applies.
Interpretation

Meaning of “Dismissal”

4. In this Appendix “dismiss” and “dismissal” mean dismissal of a member of the academic staff and -

   (1) include remove or, as the case may be, removal from office; and

   (2) in relation to employment under a contract, shall be construed in accordance with section 95 of the Employment Rights Act 1996.

Meaning of “Good Cause”

5. (1) For the purposes of this Appendix (and the Annex thereto) “good cause” in relation to the dismissal or removal from office or place of a member of the academic staff, being in any case a reason which is related to conduct or to capability or qualifications for performing work of the kind which the member of the academic staff concerned was appointed or employed to do, means -

   (a) conviction for an offence which may be deemed by a Tribunal appointed under Part III to be such as to render the person convicted unfit for the execution of the duties of the office or employment as a member of the academic staff; or

   (b) conduct of an immoral, scandalous or disgraceful nature incompatible with the duties of the office or employment; or

   (c) conduct constituting failure or persistent refusal or neglect or inability to perform the duties or comply with the conditions of office; or

   (d) physical or mental incapacity established under Part IV.

(2) In this paragraph -

   (a) “capability”, in relation to such a member, means capability assessed by reference to skill, aptitude, health or any other physical or mental quality; and

   (b) “qualifications”, in relation to such a member, means any degree, diploma or other academic, technical or professional qualification relevant to the office or position held by that member.

Meaning of “Redundancy”

6. For the purposes of this Appendix dismissal shall be taken to be a dismissal by reason of redundancy if it is attributable wholly or mainly to -

   (1) the fact that the College has ceased, or intends to cease, to carry on the activity for the purposes of which the member of the academic staff concerned was appointed or employed by the College, or has ceased, or intends to cease, to carry on that activity in the place in which the member concerned worked; or

   (2) the fact that the requirements of that activity for members of the academic staff to carry out work of a particular kind, or for members of the academic staff to
Incidental, Supplementary and Transitional Matters

7. (1) In any case of conflict, the provisions of this Appendix shall prevail over any other Statute and the provisions of any Regulation made under this Appendix shall prevail over those of any other Regulations:

Provided that Part III of, and the Annex to, this Appendix shall not apply in relation to anything done or omitted to be done before 31 March 1993.

(2) Nothing in any appointment made, or contract entered into, shall be construed as over-riding or excluding any provision made by this Appendix concerning the dismissal of a member of the academic staff by reason of redundancy or for good cause:

Provided that nothing in this sub-paragraph shall prevent waivers made under section 197 of the Employment Rights Act 1996 from having effect.

(3) Nothing in any Statute or Regulation made by virtue of the Charter shall enable the Council to delegate their power to reach a decision under paragraph 10 (2) of this Appendix.

(4) Nothing in any Statute or Regulation shall authorise or require any person to sit as a member of any Committee, Tribunal or body appointed under this Appendix or to be present when any such Committee, Tribunal or body is meeting to arrive at its decision or for the purpose of discussing any point of procedure.

(5) Any reference in this Appendix to the University, to the Vice-Chancellor of the University or to Professors and Readers of the University is a reference to the University of London, or to the Vice-Chancellor or Professors and Readers of the University of London as the case may be.

(6) No instrument which would have the effect of modifying the provisions in this Appendix shall have that effect unless it has been approved by the Privy Council.

(7) In this Appendix references to numbered Parts, paragraphs, and sub-paragraphs are references to Parts, paragraphs, and sub-paragraphs so numbered in this Appendix

PART II: REDUNDANCY

Purpose of Part II

8. This Part enables the Council, as the appropriate body, to dismiss any member of the academic staff by reason of redundancy.

Exclusion from Part II of persons appointed or promoted before 20th November 1987

9. (1) Nothing in this Part shall prejudice, alter or affect any rights, powers or duties of the College or apply in relation to a person unless -
(a) that person's appointment is made, or contract of employment is entered into, on or after 20th November 1987; or

(b) that person is promoted on or after that date.

(2) For the purposes of this paragraph in relation to a person, a reference to an appointment made or a contract entered into on or after 20th November 1987 or to promotion on or after that date shall be construed in accordance with subsections (3) to (6) of section 204 of the Education Reform Act 1988.

The Appropriate Body

10. (1) The Council shall be the appropriate body for the purposes of this Part.

(2) This paragraph applies where the appropriate body has decided that it is desirable that there should be a reduction in the academic staff -

(a) of the College as a whole; or

(b) of any school, department, centre or other similar area of the College

by way of redundancy.

11. (1) Where the appropriate body has reached a decision under paragraph 10 (2) it shall appoint a Redundancy Committee to be constituted in accordance with sub-paragraph (3) of this paragraph to give effect to its decision by such date as it may specify and for that purpose -

(a) to select and recommend the requisite members of the academic staff for dismissal by reason of redundancy; and

(b) to report their recommendations to the appropriate body.

(2) The appropriate body shall either approve any selection recommendation made under sub-paragraph (1), or shall remit it to the Redundancy Committee for further consideration in accordance with its further directions.

(3) A Redundancy Committee appointed by the appropriate body shall comprise -

(a) a Chairman; and

(b) two members of the Council, not being persons employed by the College; and

(c) two members of the academic staff.

Notices of Intended Dismissal

12. (1) Where the appropriate body has approved a selection recommendation made under paragraph 11(1) it may authorise an officer of the College as its delegate to dismiss any member of the academic staff so selected.

(2) Each member of the academic staff selected shall be given separate notice of the selection approved by the appropriate body.
(3) Each separate notice shall sufficiently identify the circumstances which have satisfied the appropriate body that the intended dismissal is reasonable and in particular shall include -

(a) a summary of the action taken by the appropriate body under this Part;

(b) an account of the selection processes used by the Redundancy Committee;

(c) a reference to the rights of the person notified to appeal against the notice and to the time within which any such appeal is to be lodged under Part V (Appeals); and

(d) a statement as to when the intended dismissal is to take effect."
1. The Department of Health has given the go ahead for a new Outline Business Case (OBC) for the Paddington Health Campus, to reflect the changes since the original OBC presented in 2000. This decision was made following an independent review of the Project by the Department of Health, Treasury and the National Audit Office which was supportive of the overall Paddington Health Campus Project, but was critical of its funding, governance and proposed configuration. The Project Team has addressed these issues and a new site configuration is now proposed, called the “Union Site Option”.

2. The Union Site Option has become a possibility because a site immediately North of the canal, owned by Paddington Development Corporation Ltd. (PDCL), has potentially become available.

3. The new OBC will contain the Union Site Option as the preferred solution, which is to be compared with a Fulham Road option and a “Do Minimum” option.

4. Under the Union Site Option St. Mary’s Hospital would be rebuilt on the Union Site, with access for emergencies and A & E from the A40 to the North. Heart and lung specialist services will be centred in a new Royal Brompton and Harefield building, which will be located south of the canal, mainly on the “Acrow Site” on South Wharf Road. It is likely that the QEQM building would be demolished.

5. The Union Site Option proposes that the New Imperial Building (NIB) be located on the Triangle Site, adjacent to and adjoining the current Medical School building. There would be an underground and/ or bridge connection between the NIB and the RBH building.

6. The Union Site Option has a number of significant advantages. It enables the Project to start rapidly on essentially vacant sites, with minimum decant requirements. This accelerates the timescale and reduces the costs associated with multiple moves. It also simplifies the programme and creates desirable adjacencies and appropriate access. It is now seen as the only viable Paddington Basin solution.

7. Negotiations are taking place between the NHS and PDCL as to arrangements for making the Union Site land available. It is possible that PDCL and the NHS will jointly set up a development company (DevCo) which will own and develop both the Union Site land and the surplus lands which will be created at Paddington (and possibly in Chelsea) when PHC is completed.

8. Under the Union Site Option the New Imperial Building would be physically separate from NHS buildings. This gives the opportunity for Imperial to revert to independent procurement and construction, and not be part of the NHS PFI. The previously agreed financial arrangements, whereby the NHS would make a substantial financial contribution to the NIB (as specified in the Capital Costs paper, agreed in July 2003), would continue to apply. The College will continue to contribute 5.08% of project development costs until the OBC is approved, following which the NHS and Imperial College are likely each to fund their own project costs separately.
9. Imperial College and the two NHS Trusts have had an exchange of letters which will lead to a formal co-operation agreement. The principles underlying this agreement will be:

   a. The NHS will make land available on the Triangle Site for the NIB, which will be procured separately by Imperial.

   a. The Royal Brompton Hospital and the National Heart and Lung Institute will move to Paddington within six months of each other.

   b. The funding arrangements will be as set out in the Capital Costs paper and associated letters agreed in July 2003.

CONCLUSIONS

10. The Union Site option creates a real opportunity to deliver a coherent and comprehensive PHC project. There are considerable advantages for the NHS Hospitals. From Imperial's viewpoint the Union Site option delivers the original and preferred solution, namely the independent procurement of a stand-alone New Imperial Building, co-located with the current Medical School Building, and closely linked to the RBH. This gives Imperial College appropriate funding combined with independence within the overall PHC project.

Malcolm Green
RESULTS COMPARED WITH LAST FORECAST

1. The information presented in the Finance Management Report \(^{(1)}\) and in this commentary is for the year ended 31 July 2004 and is provisional as the College accounts have not yet been audited.

2. Subject to the following paragraph, the outcome is an overall surplus of £15.0M, which is £2.9M below the last forecast. All this change was at the operating level:

<table>
<thead>
<tr>
<th></th>
<th>Unaudited actual £M</th>
<th>Last forecast £M</th>
<th>Budget £M</th>
</tr>
</thead>
<tbody>
<tr>
<td>Surplus/(deficit) before asset disposals</td>
<td>2.2</td>
<td>5.1</td>
<td>(3.9)</td>
</tr>
<tr>
<td>Exceptional items – asset disposals</td>
<td>12.8</td>
<td>12.8</td>
<td>12.2</td>
</tr>
<tr>
<td><strong>Net surplus/(deficit)</strong></td>
<td><strong>15.0</strong></td>
<td><strong>17.9</strong></td>
<td><strong>8.3</strong></td>
</tr>
</tbody>
</table>

3. Consideration is being given to increasing the provision for the decommissioning of the specialist engineering facility, as this event is now thought likely to occur earlier than previously estimated. This would give rise to an additional expense in the region of £4.2M, therefore reducing the overall surplus to £10.8M.

4. The reduction of £2.9M now being reported in the operating result arose for two principal reasons, both unbudgeted, and partly offset by improvements in other areas:

   **Worse than forecast:**
   
   - Provision for restructuring in the Faculty of Life Sciences 3.5
   - Expenditure relating to Southside/Eastside developments written off as planning permission has not yet been received 3.3 6.8

   **Better than forecast**

   - Faculties’ results 2.1
   - Higher surpluses from IMPACT and Business activities 1.3
   - Other improvements, net 0.5 3.9

   **Net** 2.9

\(^{1}\) Not included with these Minutes
RESULTS COMPARED WITH BUDGET

5. College operating activities generated a net surplus of £2.2M in the year, £6.1M better than the budgeted deficit of £3.9M. As noted in earlier Financial Management reports, the single main reason for this improvement was the higher academic fees. This has been partially offset by higher than budget costs and provisions within the Central Support Services and College Corporate Costs area:

<table>
<thead>
<tr>
<th>Better than budget:</th>
<th>£M</th>
</tr>
</thead>
<tbody>
<tr>
<td>Academic fees</td>
<td>5.4</td>
</tr>
<tr>
<td>Faculties</td>
<td>2.9</td>
</tr>
<tr>
<td>Other operating income (IMPACT and other)</td>
<td>1.9</td>
</tr>
<tr>
<td>Residences and Catering surplus</td>
<td>0.3</td>
</tr>
<tr>
<td>Other</td>
<td>0.9</td>
</tr>
<tr>
<td><strong>Net improvement</strong></td>
<td><strong>11.4</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Worse than budget:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Estates: maintenance brought forward from 2004/05</td>
<td>1.0</td>
</tr>
<tr>
<td>Estates: use of unexpected income</td>
<td>0.2</td>
</tr>
<tr>
<td>College corporate costs</td>
<td>4.1</td>
</tr>
<tr>
<td><strong>Net improvement</strong></td>
<td><strong>5.3</strong></td>
</tr>
</tbody>
</table>

FACULTIES (Pages 2 - 4)

6. The results of all Faculties, except Life Sciences, were better than budget. In total they generated a net surplus of £1.4M compared with the budgeted deficit of £1.5M. The individual faculty results were:

- **Engineering.** £0.5M deficit, £0.5M better than budget
- **Life Sciences.** £1.2M deficit, £1.2M worse than budget. Excluding the £3.2M subsidy, the deficit would have been £4.4M
- **Medicine.** £2.4M surplus, £2.8M better than budget
- **Physical Sciences.** £0.3M surplus, £0.4M better than budget
- **Business School.** £0.4M surplus against a breakeven budget

7. Research income was £165.6M, slightly above budget but £0.8M lower than the previous year. Although total research income was close to budget there are significant variances between the Faculties, as explained below:

- **Engineering.** Total income at £27.9M was £3.7M (12%) below budget and 9% below the previous year
- **Life Sciences.** Total income at £20.1M was £4.7M (19%) below budget and 6% lower than the previous year
- **Medicine.** Total income at £94.6M was £7.2M (8%) better than budget and 2% higher than the previous year
- **Physical Sciences.** Total income at £20.6M was £0.9M better than budget and 2% higher than the previous year
• **Business School.** Total income at £2.4M was £0.6M (36%) better than budget and 45% higher than the previous year

8. A new page (page 4) has been added in this month’s Report, which analyses research income by main sponsor group within each Faculty.

**CENTRAL SUPPORT SERVICES**

9. Total expenditure on Support Services was £73.3M, which is £1.2M above budget and the last forecast. The overspend against budget can be ascribed totally to the extra spend in Estates mentioned above.

**COLLEGE CORPORATE COSTS**

10. Actual costs total £29.0M in the year, £4.1M above budget and £3.6M higher than the forecast. The changes relate mainly to the restructuring provision in Life Sciences and the Southside Project costs referred to above, partly offset by favourable variances in interest payable, the Deputy Rector’s Reserve and other areas.

**CAPITAL EXPENDITURE**

11. The total capital spend, including departmentally funded equipment costs, and net of expenditure written off to revenue, amounted to £77.5M in the year.

12. **Externally funded projects** (for this purpose excluding the Tanaka Business School) – Actual expenditure, including projects under £1.0M, totalled £43.2M in the year. The main projects amongst these were:

<table>
<thead>
<tr>
<th>Spend in year</th>
<th>Spend to date</th>
<th>Forecast Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>£M</td>
<td>£M</td>
<td>£M</td>
</tr>
<tr>
<td>St Mary’s Medical School Refurbishment</td>
<td>7.9</td>
<td>22.0</td>
</tr>
<tr>
<td>Primary Electrical Infrastructure Renewal</td>
<td>0.7</td>
<td>7.7</td>
</tr>
<tr>
<td>Physics Building Refurbishment</td>
<td>3.6</td>
<td>7.1</td>
</tr>
<tr>
<td>Biochemistry Rejuvenation</td>
<td>8.1</td>
<td>11.3</td>
</tr>
<tr>
<td>Burlington Danes</td>
<td>6.5</td>
<td>9.3</td>
</tr>
<tr>
<td>Hydrodynamics Lab, Civil Engineering</td>
<td>1.6</td>
<td>5.2</td>
</tr>
<tr>
<td>Chemical Engineering Laboratory</td>
<td>3.0</td>
<td>5.0</td>
</tr>
</tbody>
</table>

13. **College-funded projects** (for this purpose including the Tanaka Business School) – Actual expenditure, including projects under £1.0M, totalled £32.3M in the year. The main projects amongst these were:
WORKING CAPITAL

14. Net borrowings (borrowings less cash on deposit) at 31st July 2004 was £36.4M, some £13.2M higher than last year-end. This rising trend is as planned, due to high levels of college-funded capital expenditure.

15. Invoiced debtors ended the year at £53.2M, some £6.7M higher than a year previously, but this was due solely to an amount due in respect of a capital project. The debt over a year old stood at £5.4M against £3.1M a year ago; the increase was due to one major account, where a billing mistake is being rectified, and an increase in EU contract balances.

16. Capital work in progress, being costs incurred but yet to be billed to sponsors, totalled £6.8M, some £4.5M lower than a year ago.

FUNDING

17. The borrowings projection (page 7) has been updated this month to reflect these results and a revised capital spend profile, now including expenditure on Southside. Within this, the non-operating cash flow contains only property transactions. No sales of IPR or shares are projected, except for relatively modest realisations by Innovations.

18. The chart shows that the £50M long-term facility is now expected to be sufficient until the second half of 2005 (as short-term facilities can be used in the immediate future if required). The £23M facility from the EIB is still undrawn (without penalty) and is not needed until late 2005.

A.S.D.C.
1. For many years, the College has held a checking account with Fleet Bank, which has recently been taken over by the Bank of America. For commercial reasons, the Bank of America has decided to withdraw from the London operations which support its non-US resident corporate customers.

2. Our principal London bankers, NatWest/ Royal Bank of Scotland, have suggested that we replace the account by one with Citizens Bank, their US subsidiary. The charges and services are comparable to those previously provided by the Bank of America.

3. A US-based dollar checking account is useful for low-value supplier payments within the States. About 4,500 cheques were issued in the last year with an aggregate value of $8.4M. High value payments, and dollar payments outside the USA, are made by electronic transfer, originated in London.

4. In order to bring the new account into being, the Council is invited to consider, and if it sees fit, pass the resolutions set out in Annex A. Signatory arrangements will be in line with the College's normal banking mandate, i.e. two signatures on all cheques, of which one must be from List A for transactions over £10,000, and both on List A for those over £20,000.

A.S.D.C.

\(^1\) Annex not included with these Minutes.
BACKGROUND

1. The Animals (Scientific Procedures) Act 1986 (ASPA) requires that any place where regulated scientific procedures are performed on protected animals must be designated and that the Certificate of Designation must be held by “the person who represented the governing authority of the establishment and who is ultimately responsible to the Home Office for ensuring that the conditions of the certificate are observed”. This person is therefore always a senior member of an institution’s administration.

2. Currently, the College’s Certificates of Designation are held by the Director of the Central Biomedical Services (CBS). These arrangements were set in place by the then Governing Body in June 1998 when it passed the following resolution giving the necessary authority to the Director of CBS to enable him to fulfil the duties of Certificate Holder:

“that the Director of the Central Biomedical Services be given the necessary authority, as the Home Office Certificate Holder, to ensure compliance by students and staff with the Animals (Scientific Procedures) Act 1986.”

3. At its meeting in May 2004 the Management Board considered and approved a number of changes to the operational and management structures of the CBS. These changes were proposed following two reviews of the CBS’ structure and function and consultation with staff, service users, and individuals with experience of the CBS from the perspective of the ethical review process. Views were also sought informally from the Head of the Home Office’s ASPA Division.

4. Central to the proposed changes is the aim of ensuring a service fit for the purpose of serving the future needs of Imperial’s academic community, whilst enabling best practice and strict adherence to all relevant legislation, especially the ASPA. In particular, the Management Board approved:

   a. The future separation of the role of the Certificate Holder from that of the Head of CBS.

   b. The appointment of a new Certificate Holder (who would be responsible to the Council and accountable to the Home Office).

   c. The establishment of a new post of Head of CBS.

5. The current Director of CBS and Certificate Holder leaves his post on 31 October 2004.
CERTIFICATE HOLDER

6. Following discussions with the relevant Home Office ASPA Inspectors, they are content that the Certificate Holder Designate will be the Principal of the Faculty of Medicine, Professor Steve Smith. From the Home Office Inspectors' perspective this appointment would fulfil their criteria of the Certificate of Designation being held by an individual of appropriate seniority within College, who will also be in a position to effect changes within the service should they be required under the terms and conditions of the ASPA. The proposals have been discussed with the Chairman of the College’s Central Ethical Review Panel (CERP), Dr Richard Ashcroft, who is content with the arrangement. Dr Ashcroft has also met with Professor Smith.

7. Formal paperwork will be lodged with the Home Office to effect the transfer of the College’s five Certificates of Designation to Professor Smith.

8. The Council is invited to note the new arrangements for the appointment of the Holder of the Certificates of Designation.

HEAD OF CBS

9. The Council may also wish to note that interviews for the new post of Head of the CBS were held on 8 October. Members will be provided with an oral update of the outcome.

L.K.B.