LAY MEMBERS OF THE COUNCIL

1. At its Meeting on 12 April the Council, on the recommendation of the Nominations Committee, approved a number of new appointments to the Council, to the Court and to Council Committees. However, at that stage nominations for three vacancies on the Council remained to be confirmed. It was agreed that these outstanding nomination would be reported to the Council as soon as the candidates’ willingness to serve as Governors had been confirmed. This has now been done and the candidates for the three vacancies for lay members of the Council are listed below.

<table>
<thead>
<tr>
<th>Current appointee</th>
<th>Appointed by</th>
<th>End of Term Date</th>
<th>Nominations Committee</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Hon. Mrs. Sara Morrison</td>
<td>Co-opted (The Crown)</td>
<td>March 2002</td>
<td>Mr Balram (Ram) Gidoomal</td>
</tr>
<tr>
<td>Sir Stuart Lipton</td>
<td>Co-opted</td>
<td>June 2002</td>
<td>Mr Peter Gershon</td>
</tr>
<tr>
<td>Mr A.R.F. Buxton</td>
<td>Co-opted (The Crown)</td>
<td>Mr Buxton has indicated his wish to resign as a member of the Court and Council at the end of this year.</td>
<td>Sir Peter Williams</td>
</tr>
</tbody>
</table>

2. Mr Gidoomal’s c.v. was tabled for members’ information at the Council’s last Meeting on 17 May. The c.v.s for Mr Gershon and Sir Peter Williams will be tabled at this Meeting.

SENIOR STAFF MEMBERS OF THE COUNCIL

3. Professor John Pendry, in his capacity as the Principal of the Faculty of Physical Sciences, was appointed to the Council in December 2001 from the constituency of the senior staff. However, as reported at the last Council Meeting, with effect from 1st May 2002, Professor Frank Leppington has been appointed as the Principal of the Faculty of Physical Sciences in succession to Professor Pendry. Professor Pendry has therefore ceased to be a member of the Council and there is now a vacancy for a member of the senior staff.

4. The senior staff constituency is defined in the Statutes as:

   “6 representatives of the Pro Rectors, 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.”
5. At its meeting in November 2001, the Nominations Committee agreed that, in order to provide the required “representation of the breadth of disciplines within the College” the Principals of the Faculties should be appointed to the Council as representatives of the senior staff. In accordance with this decision, the Nominations Committee has recommended that Professor Frank Leppington be appointed as a member of the Council in the senior staff constituency.

6. The Council is invited to consider and, if it sees fit, approve the appointments of Mr Gidoomal, Mr Gershon and Sir Peter Williams to the Council with effect from 1st October 2002. It is also asked to approve the appointment of Professor Leppington to the Council with immediate effect.

K.A.M.
HONOURS

Professor Michael Hassell, FRS, Principal of the Faculty of Life Sciences has been appointed as CBE in the Queen’s Jubilee Birthday Honours List.

FELLOWS OF THE ROYAL SOCIETY

Professor Anne Dell, Professor of Carbohydrate Biochemistry in the Department of Biological Sciences, Faculty of Life Sciences, has been elected to the Fellowship of the Royal Society.

Professor Michael Crawley, Professor of Plant Ecology in the Department of Biological Sciences, Faculty of Life Sciences, has been elected to the Fellowship of the Royal Society.

IMPERIAL COLLEGE TEACHING FELLOWS 2002

The following members of staff have been elected to be the Imperial College Teaching Fellows for 2002:

Ms Susan Eisenbach, Reader in Computing, in the Department of Computing in the Faculty of Engineering.

Dr Janice Main, Clinical Senior Lecturer, Division of Medicine in the Faculty of Medicine.

Imperial College Teaching Fellow for Innovation:

Dr Peter Allison, Lecturer, Department of Earth Science and Engineering in the Faculty of Engineering.

PROFESSORIAL APPOINTMENT

Professor John MacDermot, currently Deputy Head of Undergraduate Medicine, Professor of Medicine and Therapeutics and Honorary Consultant Physician in the Division of Medicine at the Chelsea and Westminster Hospital Campus has been appointed to the post of Head of Undergraduate Medicine in the Headquarters Division of the Faculty of Medicine with effect from 1 August 2002.
READERSHIP APPOINTMENT

Dr Andrew J. Sturdy, currently Senior Lecturer in Human Resource Management/Organisational Theory at Bath School of Management, has been appointed to the post of Reader in Organisational Studies in the Management School with effect from 1 September 2002.

VISITING PROFESSORS

The following have been appointed as Visiting Professors with effect from the dates shown:

Mr Robert Cochrane, Independent Management Consultant, as Visiting Professor in the Department of Civil and Environmental Engineering, Faculty of Engineering from 1 May 2002 to 30 September 2004.

Dr Richard Derwent, OBE, Atmospheric Chemist at the Metrological Office, Berkshire, as Visiting Professor in the Department of Environmental Science and Technology, Faculty of Life Sciences from 1 October 2002 to 30 September 2005.

Professor Michael J. Grubb, formerly Professor of Climate Change in the Department of Environmental Science and Technology as Visiting Professor in the same Department from 1 July 2002 to 30 June 2005.

Professor Jacob Israelachvilli, FRS, Professor of Chemical Engineering and Materials at the University of California USA, as Visiting Professor in the Department of Chemical Engineering and Chemical Technology, Faculty of Engineering from 1 July 2002 to 30 June 2005.

Dr Edward Riley, Assistant Professor of Anaesthetics at Stanford University USA, as Visiting Professor in the Division of Surgery, Anaesthetics and Intensive Care, Faculty of Medicine at the Charing Cross Campus from 13 April 2002 to 14 June 2002.

SENIOR RESEARCH FELLOW

Mr Aboubaker Dangor, formerly Principal Research Investigator in the Department of Physics, Faculty of Physical Sciences has been offered association with the College as Senior Research Fellow in the same Department from 1 May 2002 until 30 April 2005.

RESIGNATIONS

Professor Martin Rosser, Professor of Clinical Neurology, in the Division of Neuroscience and Psychological Medicine, in the Faculty of Medicine has resigned from his post with effect from 30 April 2002.

Dr Stephen Tait, Reader in Geological Fluid Dynamics, in the Department of Earth Science and Engineering, in the Faculty of Engineering has resigned from his post with effect from 30 April 2002.
ANNUAL REPORT ON COLLEGE HEALTH AND SAFETY 2000-01

A Note by the Rector

1. I have received the Annual Report from the Health and Safety Council, a copy of which is appended. This incorporates the reports made by the Safety Director and the Director of Occupational Health Services to the Health and Safety Council as well as the annual reports made by the Health and Safety Committees of each of the College’s Departments and Divisions.

2. As it states in its Report, the Health and Safety Council has continued to review and refine the College’s policies and procedures for health and safety. For example, this year, it has considered guidance for research supervisors, the College Policy on Children on Campus and guidance on lone working. The Health and Safety Council is also now receiving reports of the Departmental audits conducted by the Safety Unit. These audits are an innovation and are already proving to be beneficial in identifying and promulgating the good practice in individual departments.

3. A significant part of the Health and Safety Council’s work is the consideration of the annual reports from Departmental and Divisional Committees. It is pleasing that the quality of reporting from Departments has been improving year on year and that the Health and Safety Council reviews the reporting process each year to see if it can make yet more improvements. In particular, the requirement that Heads of Department/Division and/or the Campus Deans should now sign the Annual Report is a positive development which serves to underline the central importance of health and safety in everything the College does.

4. Also appended to the Health and Safety Council’s report are accident statistics for this and the past nine years. Last year there was a small increase in the total numbers of accidents reported and I am therefore pleased that this year there has been a reduction.

5. Finally, I would commend the Health and Safety Council’s Report to members of the Council. This and the Council’s own Health and Safety Audit Committee perform a valuable role in ensuring that health and safety is treated seriously throughout the College.

R.B.S.
ANNUAL REPORT TO THE RECTOR FROM
THE HEALTH AND SAFETY COUNCIL

1. Since its last Report, the Health and Safety Council has met three times and discussed a wide range of issues brought to its notice by the College Officers with responsibility for Safety, Occupational Health and the Fire Service, the Trade Union representatives and departmental and campus health and safety committees.

SAFETY ISSUES

2. The Health and Safety Council has considered and/or approved a number of new policy initiatives brought forward by the College Officers with responsibility for Safety and Occupational Health. These have included:

   a. **Research Supervisors Guidance.** This was based on guidance published by the Health and Safety Executive (HSE). The Guidance had also been published on the College’s Intranet, *Intrinsic*, and is therefore accessible to all staff. The Health and Safety Council was also advised that further guidance on the responsibilities of Heads of Departments would be prepared and published in due course.

   b. **College Policy on Children on Campus.** This issue had arisen as a result of the incident involving a small child whose parents had been visiting the South Kensington Campus. The Safety Director investigated this incident and provided the Health and Safety Council with a full Report. It was acknowledged that the issue of children on campus was a complex one. Some of the factors that needed to be considered included visits to departments by school parties, the number of areas which were open to the public, particularly at South Kensington, and its proximity to the Science Museum. A draft policy based on that produced by Nottingham University was prepared and circulated to Members.

   c. **Guidance on Lone Working.** This has been a long-standing issue of concern for a number of Departments. In order to resolve it, it will be necessary to devise a system whereby members of the academic staff, who often work long hours, can continue to work safely outside the College’s normal working hours. While it is relatively simple to devise a system to raise the alarm, the difficulty comes in ensuring that anyone responding to the alarm will be able to locate the lone worker. The Safety Director, working in tandem with the Department of Biological Sciences, has been assessing an electronic system which might go some way to addressing these problems. However, in the meantime Guidance Notes on Lone Working were agreed and have been published on the College Intranet.

3. In SPADOM, the Council has had, since its inception, a sub-committee which has examined the accident and dangerous occurrence reports and made recommendations to the Safety Director on ways that these might be minimised. Attached to this Report is the statistical analysis of the reports for the year compared with those of previous years.
ANNUAL REPORTS FROM DEPARTMENTAL AND CAMPUS HEALTH AND SAFETY COMMITTEES

4. Last year, the Health and Safety Council reviewed the effectiveness of the annual reporting process and agreed to amend both the reporting procedure and the way in which it would consider the reports. Departments and Divisions were required to report to either of the Council’s meetings in March and June with all the Campus reports being considered together at the Council’s meeting in October. This allowed the Council to give closer scrutiny to the smaller number received on each occasion. Regrettably, by the end of this period, the Health and Safety Council had not received reports from all the Departments, Divisions and Campuses. The few outstanding reports have been chased and are to be considered at the Council’s meeting in March 2002. This is a slight falling off from the previous year’s achievement when all the reports due were received. The Council will be seeking to ensure that all reports due this year are received in a timely manner.

5. The format of the reports required from Departments was also amended and a proforma questionnaire provided. In addition to requesting all the information on which Departments were previously asked to report, this proforma also encouraged Departments to report on trends in health and safety performance over a number of years; to report on the results of audits as well as inspections; and encouraged Departments to identify the key risks facing them. The Health and Safety Council agreed that the new reporting proforma had been successful in encouraging a higher standard of reporting generally as well as providing reports which could more readily be compared with each other. The standard of reports was also continuing to improve year on year, with more Departments achieving higher standards.

6. When reviewing the Report from the Division of Medicine, the Council noted that this had been signed off both by the Committee Chairman and by the Head of Division. Members commended this and agreed that in future all reports should be signed off by the Head of Department/ Division or the relevant Campus Dean. Furthermore, an additional section for the HoD’s comments would also be added to the proforma for next year.

7. The reports themselves highlighted a number of common issues, for example determining the locus of responsibility for testing and maintaining safety equipment; difficulties with the permit to work procedures; lone working; compliance with display screen equipment regulations; waste disposal; a suggested need for a centralised process for autoclave testing; concerns over security at the medical campuses and the interface with the local NHS Trusts; and a ventilation problem at one of the medical campuses. A number of these concerns were already being addressed by the Safety Unit through the issuance of new Guidance Notes (e.g. lone working). With regard to the other concerns raised in the reports, the Health and Safety Council asked for further investigations to be carried out by the Safety Unit and/ or the Estates Division. The results of these were then reported back to the Council.

HSE INSPECTIONS

8. The Health and Safety Council received reports on inspections made by the HSE Inspectorate during the year. Following its investigations in 1999 of incidents at the St. Mary’s Campus and at the Chelsea and Westminster Campus, the HSE conducted two
prosecutions of the College. The first had been brought because of the College’s failure in 1998, shortly after the Medical School mergers, to ensure that a Containment Level 3 laboratory at the Charing Cross and Westminster Campus was properly sealable for fumigation. The College had been fined £20,000 at Blackfriars Crown Court on 2nd March 2001 and had also been ordered to pay HSE’s costs of £11,229.61. Universal Safety Consultants, a wholly owned subsidiary of the College, had also been fined £20,000 and ordered to pay costs of £12,033.36. However, the total cost to the College was probably significantly greater than this. On top of the fines and the costs of the prosecution, the College had also had to refurbish the Laboratory and expend a considerable amount of staff time in investigating the incident and subsequently preparing for the prosecution. Because of the circumstances of this particular incident, these costs had been borne centrally by the College.

9. The second prosecution followed an inspection, also in 1998, of research conducted at the St Mary’s Campus. The College was accused of failing to ensure the safety of its employees handling, or in the vicinity of, a hybrid hepatitis C virus and dengue fever virus. The College pleaded guilty to two of the charges presented (the third charge having been dropped by the HSE) and was fined £25,000 plus costs of £21,000, as well as receiving negative press coverage concerning both prosecutions.

10. Following an inspection in the summer of 2001, the HSE criticised the College’s use of benches for writing-up areas in Containment Level 2 laboratories. This represented a significant change in attitude by the HSE which could have serious implications for the College as many of its laboratories, including those in the new Multi-Disciplinary Research Building featured writing-up areas. However, this criticism, which related to practice at a single laboratory, has not as yet been followed up by the HSE.

OCCUPATIONAL HEALTH

11. **Asthma Sensitisation.** The Health and Safety Council was advised that four new cases of asthma sensitisation were identified over the Summer of 2001. One of these, at the Royal Brompton Campus, had become a case of occupational asthma. The Council was concerned to learn that this case could have been avoided if the work had been conducted in accordance with College procedures and its code of practice. Consequently, the Division was revising its procedures to ensure that managers were aware of their responsibilities and the research group concerned was amending its practices in line with the College’s Code of Practice. There was, however, a further concern that a similar problem might occur elsewhere. The Director of Occupational Health therefore undertook to prepare a revised Code of Practice, which would take account of new guidance being produced by the HSE. It is expected that a draft policy will be considered by the Health and Safety Council in Spring 2002.

12. **Health Screening for Staff.** During the year 2000-01, the College introduced a pilot scheme to provide Health Screening for staff in the age group 57 - 61. Although some problems had been experienced with this, these were resolved satisfactorily and the scheme was extended to all staff over the age of 55 from August 2001. The programme was already proving to be worthwhile as 5 members of staff had had health problems identified in which early diagnosis was beneficial.
13. **Stress Survey.** The College has agreed to take part in survey of stress experienced by staff, which is being funded as part of a HEFCE project. The survey was conducted over Easter 2002, with the first results expected shortly.

**OTHER ISSUES**

14. Other issues considered by the Health and Safety Council during the year included:

a. **Waste Disposal.** Previously, Departments and Divisions had had to pay for their own waste disposal. Although this had been introduced in order to ensure that the ‘polluter pays’ for such waste, in effect it had introduced a disincentive for Departments to dispose of their waste properly. Consequently, it had been decided to declare an ‘amnesty’ from 1\textsuperscript{st} August 2001. This meant that the College would pay for waste disposal during 2001-02 from central funds. While the main reason for doing so was to ensure that radioactive and chemical waste was disposed of properly, this would also cover combustible waste.

b. **Health and Safety Audits.** During the year the Safety Unit was able to introduce a programme of health and safety audits of Departments and Divisions. The Council was advised that, wherever possible, these audits would be scheduled to tie in with the visits to individual Departments which preceded the meetings of the Health and Safety Audit Committee. Documentation for the audits was available for Departments to inspect on the Safety Unit’s web site and the summaries of the results of individual audits would be provided for the Council.

c. **External Contractors.** Because of the large number of building works being conducted at the College, there have been a number of incidents involving external contractors. Following one such incident, the HSE had recommended that all external contractors should undergo some form of formal training. The Council was advised that the Estates Division had written to all contractors and that they would now be required to keep a written record of training given to their staff. Furthermore, all contractors would be given a copy of the College’s safety procedures and would also be given a talk on safety before they were allowed to commence work. In relation to this, it was also agreed that there was a need to review the procedures for the reporting of Dangerous Occurrences. These reports often had to be completed by the Estates Division because the contractor might choose not to report the incident to the College. In these cases it was necessary to ensure that someone was taking responsibility for the situation. It was also agreed that, in future, the Council would receive a report on dangerous occurrences in addition to the current accident reports it received.

d. **Department Managed Works.** The Council was advised of Trade Union concerns that departmentally managed projects were being managed by staff who were not necessarily aware of the correct procedures to be followed. A particular case was cited in which the manager had been aware of College procedures but had chosen not to follow them. The Council was advised that the member of staff concerned had now been required to re-attended the College’s asbestos training course and it was suggested that all projects should ideally be managed by the Estates Project Office, thus removing the risk of unqualified people supervising projects.
e. **Audit of the Long Term Maintenance Regime.** The Council received a copy of an Audit of Long Term Maintenance that had been carried out for the College by BSRIA. No significant problems had been noted, but ten recommendations had been made. Implementation of these recommendations was being taken forward by the Estates Division. However, following concerns expressed about this Report by the Health and Safety Audit Committee, the Council will be reviewing the Report again, as well as receiving a progress report on the implementation of its recommendations.

f. **Health and Safety Audit Committee.** The Health and Safety Council is now represented at meetings of the Health and Safety Audit Committee, a committee of the College Council, by Dr G.W. Taylor. It also receives feedback from the Committee at each of its meetings. This not only ensures a greater co-ordination of approach between the two Committees, but also allows for the sharing of good practice.

Professor J. Caldwell (Chairman).
During the Year 1999-2000 (1 August 1999 to 31 July 2000) 301 accidents were reported to the Safety Unit. The accident reports have been analysed to determine the types of accidents occurring, and the categories of staff/students involved.

1. **Types of accident**

Accidents have been categorised using the same classifications employed by the Health and Safety Executive under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR). The results obtained are as follows:

<table>
<thead>
<tr>
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<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Contact with moving machinery or material being machined</td>
<td>7</td>
<td>3</td>
<td>4</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>2</td>
<td>3</td>
<td>7</td>
<td>2</td>
<td>40</td>
</tr>
<tr>
<td>2 Hit by moving, including flying or falling, object</td>
<td>10</td>
<td>28</td>
<td>39</td>
<td>38</td>
<td>35</td>
<td>38</td>
<td>18</td>
<td>23</td>
<td>31</td>
<td>28</td>
<td>288</td>
</tr>
<tr>
<td>3 Struck by moving vehicle</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>3</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>8</td>
</tr>
<tr>
<td>4 Hit something fixed or stationary</td>
<td>30</td>
<td>38</td>
<td>36</td>
<td>22</td>
<td>18</td>
<td>26</td>
<td>27</td>
<td>27</td>
<td>18</td>
<td>36</td>
<td>278</td>
</tr>
<tr>
<td>5 Injured whilst handling, lifting or carrying</td>
<td>65</td>
<td>97</td>
<td>86</td>
<td>53</td>
<td>49</td>
<td>76</td>
<td>66</td>
<td>60</td>
<td>88</td>
<td>89</td>
<td>729</td>
</tr>
<tr>
<td>6 Slip, trip or fall on same level</td>
<td>36</td>
<td>54</td>
<td>48</td>
<td>45</td>
<td>34</td>
<td>40</td>
<td>38</td>
<td>39</td>
<td>59</td>
<td>59</td>
<td>452</td>
</tr>
<tr>
<td>7 Fall from a height</td>
<td>9</td>
<td>8</td>
<td>2</td>
<td>5</td>
<td>2</td>
<td>3</td>
<td>8</td>
<td>4</td>
<td>1</td>
<td>44</td>
<td></td>
</tr>
<tr>
<td>8 Trapped by something collapsing or overturning</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>9 Drowning or asphyxiation</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>10 Exposure to, or contact with, a harmful substance</td>
<td>19</td>
<td>29</td>
<td>28</td>
<td>25</td>
<td>14</td>
<td>23</td>
<td>29</td>
<td>18</td>
<td>37</td>
<td>35</td>
<td>257</td>
</tr>
<tr>
<td>11 Exposure to fire</td>
<td>14</td>
<td>15</td>
<td>15</td>
<td>10</td>
<td>12</td>
<td>4</td>
<td>5</td>
<td>4</td>
<td>11</td>
<td>13</td>
<td>103</td>
</tr>
<tr>
<td>12 Exposure to an explosion</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>6</td>
</tr>
<tr>
<td>13 Contact with electricity or an electrical discharge</td>
<td>2</td>
<td>0</td>
<td>3</td>
<td>1</td>
<td>3</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>5</td>
<td>21</td>
</tr>
<tr>
<td>14 Injured by an animal</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>0</td>
<td>1</td>
<td>12</td>
<td>6</td>
<td>3</td>
<td>2</td>
<td>8</td>
<td>39</td>
</tr>
<tr>
<td>15 Other kind of accident (including sporting)</td>
<td>0</td>
<td>1</td>
<td>10</td>
<td>23</td>
<td>33</td>
<td>47</td>
<td>29</td>
<td>31</td>
<td>43</td>
<td>12</td>
<td>229</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>194</strong></td>
<td><strong>280</strong></td>
<td><strong>275</strong></td>
<td><strong>227</strong></td>
<td><strong>205</strong></td>
<td><strong>282</strong></td>
<td><strong>228</strong></td>
<td><strong>217</strong></td>
<td><strong>301</strong></td>
<td><strong>288</strong></td>
<td><strong>2497</strong></td>
</tr>
</tbody>
</table>
2. **Graphs**

2 graphs are attached. The first shows total numbers of accidents for each year from 1991 to 2001. The second analyses the total number of accidents by category.
Contact with moving machinery or material being machined
Hit by moving, including flying or falling, object
Struck by moving vehicle
Hit something fixed or stationary
Injured whilst handling, lifting or carrying
Slip, trip or fall on same level
Fall from a height
Trapped by something collapsing or overturning
Drowning or asphyxiation
Exposure to, or contact with, a harmful substance
Exposure to fire
Exposure to an explosion
Contact with electricity or an electrical discharge
Injured by an animal
Other kind of accident (including sporting)
AUDIT DISCUSSION WITH THE DEPARTMENT OF BIOLOGICAL SCIENCES

1. The Health and Safety Audit Committee Meeting on 29 May 2002 was preceded by a discussion with the Department of Biological Sciences. The purpose of the discussion was to take an overview of the management processes adopted within the Department to ensure compliance with legislation and with the College's own Health and Safety policies. The Committee noted that the Department had only recently been created from the merger of two existing Departments and recognized that this presented the Department with problems, not the least of which was organizing safety in six buildings on two separate campuses. The Department appeared to have good procedures, which were well documented. However, the Committee was concerned that the line management responsibilities for health and safety were not well understood, or applied, and it was felt that there was an over-reliance in the Department on specialist safety officers and systems and insufficient active engagement with safety by the Department’s line management. For the future, the Committee wanted to see a much greater demonstration of the Department’s senior line managers taking a positive role in the application of safety.

HEALTH AND SAFETY AUDIT COMMITTEE MEETING

2. The following items were discussed at the Health and Safety Audit Committee Meeting on 29 May 2002.

COMMITTEE MEMBERSHIP

3. The Committee was pleased that the remaining vacancies in its membership had now been filled. Professor Richard Himsworth, the Director of the Institute of Public Health at Cambridge University, and Professor Donald Jeffries, Head of the Department of Medical Microbiology at St Bartholomew’s Hospital, had both been appointed to the Committee with immediate effect.

PORTABLE APPLIANCE TESTING (PAT)

4. The Committee was concerned that, despite the issue being raised on numerous occasions, PAT Testing was still not being achieved consistently across the College. The Committee felt that this was not an issue that the Safety Unit should be expected to resolve as it was largely a process issue. The Chairman agreed to write to the Rector expressing the Committee’s concerns.
LONG TERM MAINTENANCE

5. The Committee considered a Report on an Audit of Health and Safety Management in the Long Term Maintenance regime, which had been conducted for the College by external consultants. Although the Report contained some inaccuracies, it appeared that the level of resources currently devoted to Long Term Maintenance was inadequate. The Committee therefore recommended that the College’s Long Term Maintenance Plan should be reviewed alongside its Capital Investment Plan to ensure that any gaps between the two could be identified.

HEALTH AND SAFETY COUNCIL MEETINGS

6. The Committee reviewed the Minutes and Papers of the Health and Safety Council Meeting held on 5 March 2002 making note, in particular, of the following issues:

a. Departmental Audits. The Committee commended the Report of Departmental Audits conducted by the Safety Unit. The Committee had supported the introduction of such audits and was therefore pleased to see that they had been implemented so well. The Report had identified a number of areas of good practice that could usefully be shared between Departments. The Committee encouraged all Departments involved in the audit process to approach this positively and recommended that the audit summary should be circulated to all Heads of Department and Faculty Principals to encourage the sharing of best practice.

b. Annual Reports. The Health and Safety Council had considered the first group of annual reports from Departmental Health and Safety Committees. The Committee agreed that these were almost all of a very high standard and that they had shown a steady improvement in the last few years. The Committee was particularly pleased to note that these were now being signed by the Head of Department or Division or the relevant Campus Dean. In relation to this, it was noted that, increasingly, private companies now required their section heads to sign an annual statement to the effect that their Department was in full compliance with the Company’s Health and Safety policies. It was suggested that the College consider whether it should introduce a similar system.

RECTOR’S PRIZE

7. The Committee noted that the College Council had previously discussed the introduction of a Rector’s Prize for Safety, but that there appeared to have been little progress with this initiative. It was suggested that more publicity should be given to this, with the criteria to be fully outlined. This would also demonstrate the College’s continuing commitment to health and safety.

A.D. Roche
AIM

1. The Council is asked to consider the desirability of a reduction in the academic staff of the Department of Agricultural Sciences, if necessary by means of compulsory redundancies. The Council is also asked to authorise the Chairman of Council to set up a Redundancy Committee when he is content that fullest consideration has been given to all possible alternative measures, which might eliminate or reduce the need for compulsory redundancies.

THE STATUTORY POSITION ON ACADEMIC REDUNDANCIES

2. Council are reminded of the requirement to set up a Redundancy Committee, should it determine 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.” (1)

3. These procedures include the establishment of a Redundancy Committee whose purpose 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]” (2)

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1. Appendix to the College’s Statutes - Discipline, Grievance and Dismissal Procedures for Academic Staff, Paragraph 10(2).
2. Appendix to the College’s Statutes - Discipline, Grievance and Dismissal Procedures for Academic Staff, Paragraphs 11(1).
BACKGROUND

4. Wye College and Imperial College formally merged on 1 August 2000. The merger was founded on a vision of academic synergy between the two institutions, which would maintain and improve the quality, range and scope of research and education available nationally and internationally. It was acknowledged at the time of merger that there would need to be significant changes to the academic portfolio at Wye as well as to the academic services and administrative support arrangements.

5. Upon merger, the academic and academic support activities were divided between the T.H. Huxley School and the Department of Biology. The Department of Agricultural Science was established on 1 May 2001 upon the dissolution of the T.H. Huxley School. The Department forms part of the Faculty of Life Sciences.

6. The Department is operating with a projected financial deficit of £1.8M in this financial year. This is supported by a subvention from the College of £1M. Support for next year will be £500K plus a ‘safety net’ payment of £377K to offset a reduction in funding flowing from the result of the 2001 Research Assessment Exercise (although the Department improved its RAE score from 3a to 4, changes in the formula for funding those departments rated below 5 led to a reduction in funding to the Department).

7. Following a consultation process within the Department, a Strategy that will lead to an improved academic and financial performance has been presented to the Faculty and the College. By improving the academic portfolio, in terms of the amount of and quality of research activity and external funding for that activity, and the amount of teaching, both undergraduate and postgraduate, the Department is aiming to increase its income, not least by achieving a 5/5* RAE rating. At the same time, the Department is seeking a reduction in current salary costs of £600K per annum. This Strategy has been approved at both Faculty and College level.

PROGRESS WITH RESTRUCTURING THE DEPARTMENT OF AGRICULTURAL SCIENCE

8. The Head of Department, Professor Jeff Waage, met with all staff of the Department on 11 April 2002. He confirmed Faculty and College approval for the Strategy and explained the difficult steps that will need to be taken to achieve the desired outcomes. Both the Faculty Principal, Professor Mike Hassell, and the Director of Human Resources, Mr Chris Gosling, attended this meeting with staff. Later that same day, the Head of Department and HR representatives met with trade union representatives. There have been further meetings with trade union representatives to discuss actions and progress with the restructuring exercise. A pattern of communication with all staff has been established through the staff newsletter Wye Week and by placing the notes of trade union meetings on the Wye Intranet. This is in addition to direct communication with staff most affected by the restructuring.

9. Staff have been informed that the restructuring will focus on academic posts and technical support posts. It is envisaged that the desired £600K saving on current staff costs will
be distributed evenly between these two staff categories although, should opportunities arise to save posts in other staff categories, these will also be considered. Non-staff expenditure is also under the closest scrutiny.

**Academic Staff**

10. Essential to success in the Research Assessment Exercise is the submission of academic staff who are engaged in academic work of sufficient quantity and quality considered to be of national and international standing. Only 65% of academic staff within the Department of Agricultural Science were submitted to the 2001 RAE.

11. The Head of Department, accompanied by Heads of Sections, has met with all members of academic staff who, it is felt, may struggle to improve their research profile and meet the requirements of the RAE. Proposed actions plans for improvement have been considered and feedback has been given to staff. For a few staff, there is some optimism that, with support, they can achieve outputs at the desired level. There is less optimism for other staff and it is envisaged that it is from this group that redundancies will need to be sought both to reduce costs and improve the submission rate to the RAE.

**Technical Support Staff**

12. At the time of merger, there was a reduction in the number of full-time academic posts but no corresponding reduction in the number of technical support posts. The ratio of technical support posts to academic posts is high when compared to other Departments with the Faculty. For these reasons, and the fact that further reductions in academic posts are envisaged, it has been proposed that a reduction in the number of technical support posts can be accommodated without too adverse an affect on academic work.

13. Following consultation with trade union representatives, a Working Party has been established to consider the Department’s future requirements for technical support. Following a number of iterations which have drawn feedback from both academic and technical support staff and their representatives, a revised structure for providing technical support has been circulated to all staff with an invitation to make an application for one or more posts within the new structure. There is a reduction in technical support posts from 35 to 22.

**THE PROPOSED WAY FORWARD**

14. In parallel with the above consultation activity, some 45 staff have had individual discussions with HR on terms for voluntary severance. As a result of these discussions, 11 technical support staff have requested voluntary severance and the potential saving on salary costs from this group is £249K. Within academic staff, 3 have requested voluntary severance with a potential salary saving of £105K. It is proposed to withdraw the voluntary severance scheme for all staff at a time that will allow for the conclusion of the process for appointing to the revised technical structure and a further short period for applications for voluntary severance. At the time of withdrawal, an assessment will be made as to the necessity to consider whether
compulsory redundancies are necessary.

15. The Council is asked to decide whether there should be a reduction in the academic staff in the Department of Agricultural Sciences, if necessary by means of compulsory redundancies. If so, the Council may wish to authorise the Chairman on their behalf to make, if necessary, the appropriate arrangements for a Redundancy Committee to be established.

16. The Council is asked to note that the College’s Rationalisation and Change procedure will be used for the selection of non-academic posts for redundancy. This will take place alongside the process for academic staff.

C. Gosling
THE CAPITAL INVESTMENT PLAN 2002-07

A Note by the Deputy Rector

1. The College’s Capital Investment Plan has been presented to Council every year since its inception in 1998. The Plan represents a snap shot of the state of the College’s intentions with regard to capital works at the time of its presentation to Council.

2. It should be stressed that approval of the Plan is not synonymous with the approval of every project included in the Plan, since each project costed at over £1M requires the specific approval of the Finance Committee and Council, before work can begin.

3. The core expenditure on capital projects over the next two years relates to SRIF Projects, the Tanaka Business School and the Faculty Building.

4. The narrative of the Plan and the supporting financial information has received the approval of the Executive Committee, and has been passed for recommendation to Council by the Finance Committee. Council is invited to approve the Plan for 2002-07.

P.W. Bearman
THE CAPITAL INVESTMENT PLAN 2002-07

BACKGROUND

1. First introduced in 1998, the Capital Investment Plan forms part of the College’s Strategic Plan and reflects the mission and strategic intent of the College insofar as they relate to capital works. It is based on information from other sections of the Strategic Plan, Departments (via the Planning Round), Residences (via the College Secretary), Information Systems (via the Director of Planning and the Director of ICT), Social and Recreational Facilities (via the College Secretary) and the Estates Strategy (via the Director of Estates). Each year the Capital Investment Plan is updated to take account of achievements and includes a comparison of the actual income and borrowing levels with the budgeted and predicted figures. It is then amended to incorporate new projects that have emerged since the previous edition, changes in the academic priorities of the College, other relevant alterations in College policy, any extra funding that might be available, and additional liabilities and changes to any pertinent legislation or regulations. Once finalised it is then submitted to the Council for approval at its last meeting of each academic year. The document is essentially a rolling plan, the content of each edition representing a snapshot of the position at the time of writing. It should be noted that the projects proposed during the 2003-04 Planning Round are still being evaluated and are not incorporated into this edition of the Plan. A summary of the financial implications of the Plan is attached at Annex A.

PROGRESS AGAINST PREVIOUS EDITIONS

2. The Capital Investment Plan has, in the past few years, seen many key projects brought to fruition using external funding. In academic terms, the major achievements have been the completion of the Flowers Building for multi-disciplinary research at South Kensington, the Wolfson and Weston Research Centre for Family Health at Hammersmith, and the refurbishment of the upper floors of the Reynolds Building at Charing Cross for the Library and for the Departments of Primary Health Care & General Practice and Social Medicine. In addition, the refurbishment of the Royal School of Mines complex has made a good start, with the refurbishment of the fourth floor of Aston Webb for Environmental Sciences, and teaching laboratories for Materials in the Goldsmiths’ Wing. Silwood Manor at Ascot has also been refurbished.

3. Outside the purely academic arena of teaching and research, the College has made major advances in upgrading both student and staff facilities. These include the refurbishment of the Junior and the Senior Common Rooms at South Kensington and the completion of the Seminar and Learning Centre on the fifth floor of the Sherfield Building in October 2001. The refurbishment of the Beit Hall of Residence was completed in June 2001.

CATEGORIES OF FUNDING

4. The Plan focuses on the College’s mission to provide teaching and research at the highest level. The projects contained in it are divided into seven distinct categories. Each of these can be treated separately insofar as the criteria for investment differ between them. These seven categories are:

b. Residences.

c. Social, Sporting and Leisure Amenities.

d. Capital Investment Projects\(^{(1)}\).

e. Long-Term Maintenance Projects.

f. IT and Telecommunications.

g. Organisational Effectiveness\(^{(2)}\).

5. Detail about each is provided below.

**ACADEMIC PROJECTS**

**PRINCIPLES**

6. The College’s commitment to “... remain amongst the top tier of scientific, engineering and medical research and teaching institutions in the world,”\(^{(3)}\) continues to be the major driver affecting academic space. In its capital investment strategy the College will continue, wherever possible, to give the highest priority to projects designed to further its pursuit of academic and research excellence.

7. The view has been taken that the College does not require any additions to the total number of lecture room facilities. Hence there will be no net increase in space with the exception of the specialist lecture theatres being created in the Tanaka Business School. Naturally, the type, variety and configuration of available rooms may be reviewed. The main priority is to improve the specification of existing lecture theatres. Ideally the upgrading of teaching facilities will be funded by HEFCE grants.

8. The underlying plan for the College is based on the same financial criteria as in previous editions, so that, whilst the total value of capital projects in planning has risen substantially, the actual potential capital cost to the College remains constant on the assumption that there will be no cost over-runs.

9. Experience has shown that new and refurbished buildings are almost always far more expensive to run than those they replace because of the more extensive ventilation and other services installed in them. Particular care needs to be taken to ensure that these additional recurrent costs are factored into departmental budgets. In this regard, the new Faculty organisation will enable accountability and responsibility within the College to be more clearly defined and more effectively delegated. The College will be able to give better consideration to space efficiency, both in physical and financial terms, when assessing the validity of new projects and the strategic benefits can be weighed up against the specific requirements of a single project. In extreme circumstances it may prove more efficient to

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1. Namely those where the College may not have a need for a particular estate asset in the short-term but may wish to invest in it for long-term strategic reasons or in order to secure a revenue stream.

2. Through capital programmes which seek to improve the overall efficiency of the College.

3. Imperial College Strategic Intent (2001).
shut down or dispose of space rather than allow its continued use. For future editions of the Capital Investment Plan the Faculties will provide information in the Planning Round.

PROJECTS

10. The academic projects in the Plan, funded from the College reserves and external donations, are as follows:

a. **Tanaka Business School.** A key part of the College’s academic Strategy is the provision of a new Business School on the South Kensington Campus linked to the refurbishment of the Goldsmiths’ Building. The generous donation of £26.5M from Dr Gary Tanaka has enabled this Project to move forward and it will also create a new main entrance and frontage for the College on Exhibition Road. The Project will be completed at the end of 2003. The College will then be able to release for reinvestment the capital value of the properties in which the activities of the current Management School are housed.

b. **Tanaka Business School - Associated Works.** Whilst the Tanaka donation funds the primary Project, some expenditure on other parts of the College is also required in order to provide for decanting, relocating and other costs.

c. **Sherfield Academic Redevelopment.** Once the Imperial College Faculty Building has been completed (see Paragraph 33) several floors of the Sherfield Building, which currently house most of the College’s central administrative Divisions, will be vacated. Some of this space will then be available for the administrative departments which the College needs to relocate in order to release Northside and Southside. As part of this process, it is intended to concentrate on Level 3 of the Sherfield Building all of the most important administrative functions dealing direct with students (including the Registry, Cash Office, Careers Department, Student Accommodation Office and Private Housing Office). On Levels 4 and 5 there will also be considerable space to allow developments to house non-laboratory-based academic activities, such as humanities, mathematics or computing, as well as providing valuable decanting space.

d. **St Mary’s Research Building.** Continued investment in the St Mary’s Research Building is planned (see Paragraph 13h).

e. **Paddington Waterside.** This Project represents a strategically important area of development for the College, whereby the Royal Brompton Hospital and the College’s facilities on that Campus will relocate to Paddington. The NHS is leading the Project and thus will fund a large proportion of it. A key issue will be to optimise the sale receipt from the College’s property in Dovehouse Street.

f. **Royal School of Mines Buildings (RSM).** Previous editions of the Capital Investment Plan have addressed the options available for the refurbishment of the RSM. The total cost of this has been placed at £80-90M. Work is already underway to enhance the facilities available to the Materials Department and the Department of Earth Science and Engineering. However, to be affordable and to allow investment to be made elsewhere, the refurbishment programme is being phased over a number of years.
g. **Burlington Danes.** The College completed the strategic purchase of the Burlington Danes land adjacent to the Hammersmith Campus in co-operation with the Hammersmith Special Trustees. Development here forms part of the College’s strategy to provide modern laboratory and central biomedical services to support biomedical science on the Hammersmith Campus. In parallel the future strategy for replacement of the other facilities on the Hammersmith Campus is being developed.

**EXTERNAL FUNDING FOR ACADEMIC PROJECTS**

11. The Science Research Investment Fund (SRIF) has provided an additional source of funding towards capital projects. The College received an allocation of £46.1M to be invested in its research infrastructure. A requirement of this funding was that it must represent no more than 75% of the total cost of all projects to be undertaken as part of the SRIF initiative. In the event the College committed more than the required contribution of £15M. Therefore, the Capital Investment Plan devotes a total of £68M to SRIF projects.

12. Funding for SRIF began in March 2002 and HEFCE require all SRIF monies to be spent by March 2004. The College’s current projected SRIF Project Programme achieves this, but it is relatively constrained due to the volume of the capital works planned for completion during this period (which include the Tanaka Business School and the new Faculty Building). Potential limiting factors include the logistics associated with accommodating significant building projects on site, decanting and space issues resulting from the works, and the intensive project management which schemes of this scope necessitate. The College has formed the SRIF Co-ordination Group to manage and oversee all aspects of this process. This Group includes the Deputy Rector, Director of Planning and Information, Head of Projects and the Capital Estates Accountant. The timing of the Projects has been prioritised in terms of interdependency, namely those required to support previous JIF initiatives or those interfacing with the Tanaka Business School.

13. The academic projects which are partly funded by SRIF are:

a. **Biology and Biochemistry.** The Biochemistry Building on the South Kensington Campus, built in the 1960s, is no longer suited to modern research. A phased refurbishment of the Building will provide the services infrastructure needed for modern science. Funding is being provided by the Joint Infrastructure Fund (JIF) and the SRIF, and additional funds of £1M have been received from the Wolfson Foundation. A proportion of this work has begun, alongside the ongoing JIF funded works to the lower floors of the building and the anticipated full start date is August 2002.

b. **Engineering Research Workshop and Hydraulics Laboratory.** The Project involves the development of the existing hydraulics laboratory in Civil Engineering, and the installation of some hydraulics equipment in Aeronautics. In addition, a new Faculty of Engineering Research Workshop will be formed to consolidate the separate workshops at present run by several Engineering Departments. A more efficient use of machinery and an increase in the range of services provided by the Workshop will result. Work is due to be completed in time for the start of the 2002 Autumn Term.

4. If a project involves collaboration with another Higher Education Institution, the SRIF funds may make up the total amount spent.
c. **Materials Processing and Characterisation.** This element of the ongoing efforts to bring all parts of the Materials Department together in a single contiguous space should be completed by September 2003.

d. **Chemistry Building Refurbishment.** Laboratories on three floors of the Chemistry Building will be refurbished and reconfigured to enhance internal and external collaborative work within the Faculty of Physical Sciences. The anticipated start date for the construction stage is May 2003.

e. **Chemical Engineering.** Redundant nuclear chemical engineering space will be refurbished and adapted to improve research in bio-chemical engineering and biotechnology. Work on site should begin in September 2002.

f. **Physics.** Refurbishment works will upgrade Physics laboratories in the Blackett Laboratory and the Huxley Building, in addition to the upgrade of two laboratory areas in the Chemistry Building. The refurbishments will aid research in areas such as astrophysics and the development of electronic devices and materials. The Project is due for completion in December 2003.

g. **London e-Science Centre.** This Project will provide a well-founded laboratory for the development of e-Science activities across a wide range of application areas. There will be a significant enhancement of the computing infrastructure of the College. Networking will be upgraded, and high-performance computing and distributed visualisation facilities will be installed. The total cost of the Project is just under £3M and it is due for completion in September 2003.

h. **St Mary’s.** A focussed strategy for the academic development of the St Mary’s Campus was developed in 1999. Two new research institutes were established in the former St Mary’s Medical School Building: the Wright-Fleming Institute for Infection and Immunity and the Geoffrey Rose Initiative for Epidemiology and Biostatistics. Both Institutes have attracted very substantial grant incomes. All members of both Institutes will relocate to the refurbished Medical School Building. Substantial funding has been provided by SRIF as well as other sponsors and work is expected to be completed by mid-2003.

i. **Electrical Power Supply at South Kensington.** Increased intensity of the use of facilities and an increasingly sophisticated research environment has created a situation whereby the demand for electrical power is in danger of exceeding supply at South Kensington. If the College is to continue to grow on this Campus, sufficient capacity has to be guaranteed. A new power supply will be introduced and will be funded partly by the SRIF. The first phase of this Project needs to be completed in time to support the Tanaka Business School and the Faculty Building. The Project includes the phased replacement of the ageing high voltage distribution network on the South Kensington Campus.

14. The College has a substantial liability in terms of backlog maintenance and compliance with legislation such as the Disabilities Discrimination Act (DDA) and safety glazing. Given that the provision of modern teaching and research facilities is critical to the future of the College, this needs to be factored into priorities for funding, and for the future development of the Capital Investment Plan.
STUDENT RESIDENCES

PRINCIPLES

15. There are two main principles underlying the College’s capital investment in student residences. The College intends to remain a residential university and as such its policy of guaranteeing accommodation in halls of residence for first-year undergraduates and full-time exchange students (and of according priority to certain other groups) will continue. In accordance with HEFCE Guidelines, the residential estate will continue to be run as a separate, ring-fenced, cost-centre.

16. In previous years any surplus made by Student Residences and a proportion of that made by the Conference Office from vacation lettings have been reinvested in maintaining the fabric of the Residential Estate. The aim is to prevent the condition of the residential estate from deteriorating further. However this does not provide any scope for catching up on the backlog and it does not add to the bed stock of the College.

PROJECTS

17. In October 2001, the conversion and refurbishment works to the Beit Quadrangle were formally opened by Lady Beit. This Project has provided quality student residential accommodation, which is also suitable for letting to conference visitors during the Easter and Summer vacations. Although this standard of accommodation has not previously been available in the College, research has identified a market potential which supports this provision. The refurbishment of Willis Jackson Hall is now in progress and should be completed in time for use by October 2002 to be followed by a similar project on Bernard Sunley Hall in 2002/03. At present, Fisher Hall is due for renovation in 2005/06 if funds allow.

18. There are insufficient funds in the Residences budget at present to refurbish Southside. This, with the refurbishment of Weeks and Linstead Halls, is essential to the College’s continued existence as a residential University. It has proved impossible to produce a positive business plan for Southside based on the revenue from the Hall alone, and thus it must be accepted that the College will have to realise value from other assets if the Project is to proceed. The College is faced with a situation where a “Do Nothing” option is not possible for Southside. The undergraduate bed spaces provided by the Hall are central to Imperial’s residential ambitions, yet the parlous state of the building’s services requires that work will have to be undertaken in the near future. Given the constraints on funding and the opportunities to release value from other parts of the Estate, this is a Project that may have to be considered in partnership with the private sector.

19. The number of bed spaces available against the anticipated demand is shown at Annex B. The number of first year undergraduates and full-time exchange students requiring accommodation under the guarantee had not historically risen above an 88% of admissions until 2000-01, when it rose to a high of 95%. Therefore, to err on the side of caution and to ensure that bed spaces are available for every first year undergraduate and full-time exchange student, anticipated demand is set at 95% of these students being admitted to the College.
20. The College must also look for opportunities outside of its own residential estate if it wishes to increase the number of bed spaces available for its student body. It relies heavily on the accommodation in the Inter-Collegiate Halls managed centrally by the University of London, and has nomination rights to a number of postgraduate places through its relationship with the Du Cane Housing Association. It is a part of the Residences Plan, therefore, to investigate options for obtaining access to additional student accommodation through housing associations and other reliable sources of low cost housing. It is the intention that there will be no overall significant net decrease in the number of College bed spaces. Sales of major blocks of student residential accommodation, for example Clayponds, will therefore be balanced by the acquisition of an equivalent number of bed spaces. However, each proposal has to be judged on its own merits and it would be imprudent to make any assumptions on availability in the near future. The College itself has a site in Prince’s Gardens, which may be developed in a Public Private Partnership, given the pressures on capital. The strategy for Prince’s Gardens will form part of the review of Property which the new Director of Estates has recently commenced. This Strategy will be presented to the Council in December 2002.

SOCIAL, LEISURE AND SPORTING AMENITIES

PRINCIPLES

21. It remains imperative that the Capital Investment Plan gives due consideration to improving the general environment of the College, including the development of non-academic facilities. The College is committed to maintaining the momentum for developing student and staff facilities begun in the first edition of the Plan.

PROJECTS

22. The following, in priority order, are the Projects being prepared to achieve this goal:

a. **Sports Centre.** The College’s Strategic Plan stresses the need to correct the paucity of indoor sports facilities at South Kensington. A new Sports Centre will be constructed in Prince’s Gardens. The new sports hall will be constructed on top of the existing swimming pool and on the line of the existing terraced houses to fill in the ‘gap’ left in the original terrace demolished in the 1960s. The Project must be started by November 2004 when the planning consent lapses. However, it cannot be brought to fruition until capital is raised through the rationalisation of the College’s sports grounds. Extensive discussions have been held with Westminster Council Planning Officers, English Heritage and the Knightsbridge Association, all of whom are generally supportive. Funding will come from four major sources: a grant from the Harlington Trust as agreed with the Trustees, the anticipated income stream from the new Centre as validated by a business plan, the money achieved through the rationalisation of the College’s sports grounds as indicated in last year’s approved edition of the Plan and through the flats to be built on the upper floors, which on present plans should be funded through a Public Private Partnership (see also Paragraph 24c below).

b. **Quality of the Environment.** The poor quality of the College environment at South Kensington, and on other campuses, means that current and potential staff, students and sponsors may be deterred. This year is seeing the timely refurbishment of
the entrance to the Electrical Engineering Building, providing a more attractive entrance to members of the Department, and to visitors - including potential students. The Tanaka Business School will result in a substantial improvement to the main Exhibition Road entrance, and in future years the entrance of the Mechanical Engineering Building should be refurbished in parallel with this. The possibility of the Upper Dalby Court becoming a ‘piazza’ extended to link across to the Faculty Building is planned. In cases such as the JCR and SCR refurbishments, it has been possible to link these requirements for improved quality with other parts of the Capital Investment Plan, but this must not cause the College to lose sight of other possibilities.

**CAPITAL INVESTMENT INITIATIVES**

**PRINCIPLES**

23. The College is continuing to progress its investment projects and the majority are either in progress or awaiting planning permission.

**PROJECTS**

24. Projects in priority order are:

   a. **Mews Houses.** The plans for building new Mews houses, which will operate as both investment properties and as a buffer between College halls and the local residents, were given planning permission on 11 February 1999. The priority status of this Project remains, although its programming and funding is tied in with the overall Prince’s Gardens Strategy and the resulting development of Southside.

   b. **Sports Centre Flats.** An important element of the business plan for the Sports Centre at Prince’s Gardens is the inclusion of residential flats above it. Because of planning restrictions on their commercial use, these flats could be used to house academic staff, whom the College categorises as ‘key workers’.

**LONG-TERM MAINTENANCE PROJECTS**

**PRINCIPLES**

25. The College’s long-term maintenance backlog stands at some £167M together with liabilities under the Disabilities Discrimination Act (DDA) and glazing safety legislation. A summary is at Annex E.

26. Most of the funding allocated to long-term maintenance is prioritised on the basis of, first, the need to comply with health and safety legislation and, second, condition surveys.

   a. **Health and Safety Ranking.** The health and safety categories used are, in decreasing order of priority:
1. Life-threatening conditions will exist if work is not carried out.
2. Life-threatening conditions if risk event occurs.
3. Illegal conditions – does not comply with current regulations.
4. Necessary Health and Safety work.
5. Non-Health and Safety work.

b. **Building Condition Ranking.** The Building condition rankings are:

D. Inoperable or serious risk of failure/breakdown.
C. Operational but major repair or replacement needed soon.
B. Sound operationally safe but exhibits minor deterioration.
A. As new.

c. Assessments for funding are made on both of these categories at the same time such that, for example a 4D will be more highly graded for funding than a 4C.

27. The College’s actual annual spend on backlog long-term maintenance should be some £16M. Based on what the College can reasonably afford, the sum allocated to long-term maintenance for the year 2002/03 will be £3.5M, of which the allocations are:

<table>
<thead>
<tr>
<th>Category</th>
<th>Allocation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health and Safety</td>
<td>£2.5M</td>
</tr>
<tr>
<td>New Legislation</td>
<td>£0.5M</td>
</tr>
<tr>
<td>Plant Replacement</td>
<td>£0.5M</td>
</tr>
</tbody>
</table>

28. The College’s specialist advisers, such as the Safety Director and the Fire Officer, play an essential role in ensuring the correct prioritisation of projects for the long-term maintenance programme.

29. The College has a grant from HEFCE of £472K with which to respond to the Disabilities Discrimination Act. This compares with the £5.8M identified by external consultants as required to complete the work categorised as essential (namely priority one (5)). The HEFCE funding has been allocated according to a set of priorities identified by the College’s Disabilities Officer. The expenditure required on safety grounds for the replacement of glazing continues to be reviewed by specialist advisers including safety and fire. Further legislation, in the form of new boiler regulations, roof access requirements and special waste regulations, is also likely to impact on the College’s activities.

**IT AND TELECOMMUNICATIONS**

**PRINCIPLES**

30. The cost and project based nature of construction work dictates that the College’s building works dominate the Capital Investment Plan, but it is important that other capital projects, such as those in the information technology and telecommunications areas, are not overlooked. The College considers its physical IT infrastructure to be an integral part of building services, and all current and future capital projects therefore have a strategy for installing or upgrading this infrastructure, much as electricity, heating and water services are

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5. Defined as total inaccessibility, severe limitation or non-provision. The overall cost to the College to comply with the DDA including other priorities is estimated at £9.73M.
provided. This enables the College to ensure that it does not fall any further behind in providing a robust and reliable IT service, but it does not account for areas of the College which are not due for refurbishment in the near future. The main areas which require individual attention are the links to and around the College’s Campuses.

PROJECTS

31. The College is currently involved in two major projects in the IT field:

   a. **ICIS Upgrade to R11i.** In August 1999, the College implemented a suite of Oracle-based Financial, HR and Payroll applications, known as ICIS. During the intervening period, while a number of minor improvements have been made to the system, there have not been any major changes to the features that it offers. In Summer 2000 Oracle informed the College that support for Version 10.7 of Oracle Financials, the version of the software then being used by the College, would be withdrawn. A pre-requisite for the installation of the Oracle Student System (see below) is also that the software has to be upgraded to the latest release (R11i) of the Oracle Applications suite. This, together with the ‘de-support’ notification from Oracle, persuaded the College to make the move to upgrade to R11i. Work on implementation and testing of the upgraded software began in mid-2001 and the upgraded system became operational in May 2002. Work is now in progress to extend its functionality still further.

   b. **SAMS Project.** In Summer 2000 the College agreed to replace the existing REGIC software with the Oracle Student System. The Project to implement a Student Administrative and Management System (SAMS) is due to be completed in Spring 2003.

ORGANISATIONAL EFFECTIVENESS

PRINCIPLES

32. A new Faculty-based organisational structure was announced in May 2001 and this will be operational from August 2002. Investment in the physical infrastructure is necessary to support this activity.

PROJECTS

33. **Development of a College Faculty Building.** The Executive Committee have agreed that a new Headquarters Building should be created to bring together the Faculty headquarters staffs and the main central administrative functions. This will facilitate the day-to-day interactions necessary for the achievement of challenging strategic and operational goals. The creation of a new building will also unlock space on the South Kensington Campus and enable the essential decanting for refurbishment projects (see Paragraph 10c above). A formal Project has been initiated for a building to house approximately 300 people in Dalby Court.
34. **Business Gateway Move to 12th Floor, Electrical Engineering** This Project consolidates parts of Research Support together with IC Innovations and HERObac on the 12th floor of the Electrical Engineering Building, thereby greatly improving liaison between these inter-related groups. The Project is due for completion in September 2002.

**PROJECTS BEING EVALUATED**

35. Listed below are a number of projects being evaluated by the Estates Division. These are expected to appear in future editions of the Plan:

   a. Integrated facilities for the Department of Bioengineering.

   b. Improvements to the infrastructure of the Mechanical Engineering Building following completion of the Tanaka Business School.

   c. Accommodation for the e-Science Centre.

   d. Reduction of electrical demand through the introduction of absorption cooling, using excess energy from the Combined Heat and Power Plant.

**THE OVERALL INVESTMENT PLAN**

36. The overall Plan has again been prepared by interlacing the various components in an interactive fashion that has balanced costs, priorities and timings and is consistent with the College’s Strategic Plan. The result is shown by the charts at Annex C which, together, detail the programme of investment. There is no unique solution to the problem of interleaving the various types of projects; however, it is suggested that what is proposed is realistic, affordable and consistent with the Strategic Plan.

**FINANCE STRATEGY AND THE CAPITAL INVESTMENT PLAN**

37. The issue of affordability has to be seen in the context of the College’s financial position overall. One of the key measures of financial health is the annual surplus in the published College accounts. Under the resource allocation process there is the perennial question of balancing the recurrent demands of the academic departments and the associated support activities with the College’s longer-term needs. Spending on assets, which are capitalised in the accounts, does not fully impact the annual surplus and so an alternate benchmark of affordability is required.

38. The Plan has therefore been prepared by phasing the capital investment in a manner which matches the expenditure to the increase in the College General Reserves, *i.e.* the annual surplus earned adjusted for movements to and from Specific Reserves. This has been done for all projects which do not provide a direct financial return. The financial consequences of the Capital Investment Plan outlined here on the overall College cash/investment position as a function of time are summarised in Annex D.
39. The financial calculations within the Capital Investment Plan are based on the costs that need to be met by the College centrally. Therefore externally funded elements, such as 100% of the Tanaka Business School and 75% of the SRIF programme are outside the calculation. This, of course, assumes that there will be no cost over-runs on these projects. If the budgets for these projects are overspent however, it must be remembered that 100% of the additional costs will have to be met from the General Reserves.

* Annexes not included with these Minutes.
A Note by the Director of Finance

INTRODUCTION

1. As in previous years, the process for preparing the 2002/03 College Budget has involved a detailed planning round exercise involving all academic, academic support and administrative functions. The outcome, after some iteration, was presented to and endorsed by the Executive Committee at its meeting on 28 June.

2. Whilst the process has been substantially unchanged (except that the academic plans have been organised by Faculty), the method of presentation has been entirely altered in order to bring focus to each area of executive responsibility.

3. A shortened version of this presentation is annexed and a high-level summary given below. The figures for 2001/02 are based on estimates provided in the course of the Planning Round with some subsequent amendments.

SUMMARY

<table>
<thead>
<tr>
<th></th>
<th>2001/02 Forecast £M</th>
<th>2002/03 Budget £M</th>
<th>Change %</th>
</tr>
</thead>
<tbody>
<tr>
<td>Income</td>
<td>361.8</td>
<td>382.2</td>
<td>5.6</td>
</tr>
<tr>
<td>Expenditure</td>
<td>363.6</td>
<td>385.4</td>
<td>6.0</td>
</tr>
<tr>
<td>Operating deficit</td>
<td>(1.8)</td>
<td>(3.2)</td>
<td></td>
</tr>
<tr>
<td>Exceptional income - sale of IPR and properties</td>
<td>9.4</td>
<td>14.5</td>
<td>54.2</td>
</tr>
<tr>
<td>Net surplus for the year</td>
<td>7.6</td>
<td>11.3</td>
<td>48.7</td>
</tr>
</tbody>
</table>

4. A slightly larger increase in expenditure than income has resulted in a significant increase in the operating deficit for the year. As in the current year, the net surplus is dependent on exceptional income from the profit on disposal of intellectual property rights and surplus property assets.

INCOME AND EXPENDITURE OVERALL

5. Income from HEFCE is forecast at £118.7M, which, although representing a 6.5% increase on the current year, does not fully reflect the excellent results achieved by the
College in the 2001 RAE due to the methodology adopted by HEFCE (and the limit to the total amount available to all institutions).

6. The research budget is £163.8M which represents an 8.1% increase over the current year forecast. The contribution to overheads within this figure is £26.4M, a fairly demanding 11.4% increase on the current year forecast. If it becomes apparent during the course of the year that this level is unlikely to be attained, general expenditure will need to be reduced if the required net operating result is to be achieved.

7. Total expenditure within Faculties is forecast to grow by 6.4%. Expenditure within support functions and administration is forecast to grow by 5.0%; analyses of these costs are given in the Annex.

**FACULTY SURPLUSES/DEFICITS**

8. The net operating results of the academic planning round are summarised as follows:

<table>
<thead>
<tr>
<th>Faculty</th>
<th>2001/2 Budget</th>
<th>2001/2 Forecast</th>
<th>2002/03 Budget</th>
<th>Reserve 31/7/03</th>
</tr>
</thead>
<tbody>
<tr>
<td>Engineering</td>
<td>0.0</td>
<td>0.4</td>
<td>0.4</td>
<td>0.8</td>
</tr>
<tr>
<td>Life Sciences</td>
<td>(1.2)</td>
<td>(1.0)</td>
<td>(1.0)</td>
<td>(2.0)</td>
</tr>
<tr>
<td>Medicine</td>
<td>(1.3)</td>
<td>(0.6)</td>
<td>(1.8)</td>
<td>0.0</td>
</tr>
<tr>
<td>Physical Sciences</td>
<td>(0.3)</td>
<td>0.9</td>
<td>0.2</td>
<td>1.2</td>
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<tr>
<td>Management School</td>
<td>0.5</td>
<td>0.4</td>
<td>0.0</td>
<td>(1.4)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>(2.4)</td>
<td>0.2</td>
<td>(2.2)</td>
<td>(1.4)</td>
</tr>
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</table>

9. Of particular note are the following:

- The Faculties of Engineering and Physical Sciences both expect to produce a result for the current year better than budget and to produce a surplus next year.

- The Faculty of Life Sciences is undergoing a restructuring and the above figures assume this is completed within a certain timescale. Even so, it is not expected to break even until 2005/06.

- The Faculty of Medicine has a planned deficit for 2002/03 but only to the extent of its forecast reserves at 31 July 2002.

- The Management School is expecting to only break even in 2002/03 as its cost base is facing significant pressures.
SUPPORT SERVICES AND ADMINISTRATION

10. The current year forecast for the support services and administrative functions is £68.1M against a budget of £63.3M for reasons which were largely explained at the April Council meeting and consist of under-budgeted Estates and Finance costs. The main items were extra utility expenses of £1.4M, an over-spend on maintenance of £0.7M, extra interest costs of £0.7M and additional provisions of £0.4M.

11. The budget for 2002/03 for these costs at £69.0M represents an increase of only £0.9M over the current year forecast (1.3%) as the current-year figures include a number of non-recurrent costs.

NON-FACULTY COSTS

12. The current year forecast for non-Faculty costs is £14.4M against a budget of £13.6M due mainly to an increase in depreciation. The budget for 2002/03 for these costs at £16.8M represents an increase on the current year forecast of £2.4M due to extra depreciation on College-funded assets and extra support to IC Innovations.

EXCEPTIONAL INCOME

13. The forecast for property disposals in the current year has been achieved. At the time the Budget was prepared for the Executive Committee it was forecast that the sale of the 30% interest in the IC Innovations portfolio would be achieved before year-end, but this now seem more likely to fall into next year. The forecast for 2002/03 assumes property sales of £9.5M and sales of equities of £5M. The property disposals are subject to review by the new Director of Estates. The sales of equities assume a significant increase in value from current levels.

RESERVES AND THE CAPITAL INVESTMENT PLAN

14. General reserves are forecast to be reduced from £35.3M at the beginning of the current year to £8.2M by the end of next year. This is due to the large element of College-funded capital expenditure - £56.4M - over the two year period, only partly offset by income from asset disposals.

15. Asset disposal policy is subject to a separate review.

A.S.D. Cannon
PAPER H

FUNDING POLICY

A Note from the Director of Finance

1. As can be seen from the Capital Investment Plan, and assuming it is approved, there will be a substantial borrowing requirement for the College over the next few years.

2. The College policy governing expenditure on core academic and administrative construction projects has in the main been to fund such spending solely from general reserves. This means that the College has not undertaken major capital expenditure for such projects until the money required has already been earned. Therefore, when cumulative surpluses made by the College have been insufficient to cover major projects, the policy has been to dispose of existing non-core assets to generate the necessary funds.

3. The main weakness in this approach is that it may require non-core assets to be sold early rather than after an attempt to secure a higher value from holding and possibly developing them. The Council is asked to note that at the next Council meeting a paper will be presented addressing the continued advisability of such a policy and alternative ways forward, including the interrelationship between the College’s borrowing policy and the establishment of an Endowment Fund.

ASDC
4 July 2002
REVISED FINANCIAL REPORTING FORMAT

1. At its Meeting on 1 July 2002 the Finance Committee was informed that a new format will be in place for financial reporting at the Executive, Finance Committee and Council levels in the new financial year. The format will be designed to follow the budget and align performance against clear responsibilities. It was further confirmed that the ‘building block’ approach outlined in the previous Finance Committee Report would be followed as closely as possible. The Director of Finance undertook to provide the Finance Committee with a template for the new reports before the new format is formally introduced in the new financial year.

COLLEGE DEBTORS SUMMARY AS AT MAY 2002

2. The Committee received a note from the Receivables Manager setting out the latest position regarding the College’s debtors. Performance continues to show an improvement against the previous year, especially for the long-term debt. The importance of identifying where the long-term debt position has improved through collection rather than write off was stressed, and the Director of Finance agreed to provide this breakdown at the next meeting of the Committee.

CAPITAL INVESTMENT PLAN

3. The Committee received the latest version of the Capital Investment Plan (CIP). It was noted that this remains a ‘living’ document detailing the College’s rolling five year plan for capital works. It was stressed that the purpose of the CIP was to inform the Committee, the Council and the wider College of the projects that are in progress, in planning and under evaluation and, as such, approval of the CIP should not be viewed as being synonymous with the approval of the specific projects detailed within it. It was noted that the main expenditure over the next two years relates to the SRIF programme, the Tanaka Business School and the Faculty Building, and that the planned expenditure in later years reflects the current vision, but allows for some flexibility. It was noted that the disposal strategy contained within the Plan is currently under review and the Director of Estates confirmed that he is intending to deliver an interim strategy to the College in September 2002 (and see Paragraph 8 below). On this basis, the Committee agreed to recommend the CIP for approval by the Council.

APPROVED CAPITAL PROJECTS REPORT

4. The Committee received an updated report on the College’s approved capital projects. A summary of this is at Annex A. The Committee noted that in its current form the Report does not provide the original approved value for each project. The Director of Estates advised
the Committee that he intends to review the reporting format, and it was agreed that (other than where there are major amendments from the approved programme) the summary details for each project would suffice. No substantive issues were reported concerning the current projects, although a small (£0.1M) increase in the budget for the Faculty Building was noted.

**CAPITAL PROJECT APPROVALS**

5. The Committee received a request to approve the Bernard Sunley Hall Refurbishment Project at a value of £3.75M. It was noted that this figure, which represents a significant increase on the amount accounted for in the CIP, still did not have the level of cost certainty necessary to provide comfort that the project value is at the right level. It was agreed, therefore, that the Committee should recommend the Project for approval in principle, but that the Director of Estates would report to the Finance Committee as soon as a firm project value had been ascertained for specific approval. Start on site is expected in September 2002 with a forecast completion date of 14 April 2003.

**TANAKA BUSINESS SCHOOL**

6. The Committee received an oral update on the funding of the Tanaka Business School. It was noted that Dr Tanaka had requested a revised method and schedule of payments and that these would be presented to the Rector in the next few days. The Committee agreed that the revision to the funding mechanism had no bearing on the existing approval level and confirmed that the Project should proceed as planned.

**INTELLECTUAL PROPERTY VALUATION REPORT**

7. The Committee received a summary of the current valuations for the College’s spin-out companies. These were based on the Companies’ quoted share values or, where they are unlisted, in accordance with the guidelines of the British Venture Capitalist Association (BVCA). The Committee noted that the overall value of the portfolio had reduced from £39.3M to £36M between 31 January 2002 and 31 May 2002. However, this was primarily due to the reduction in the value of Turbo Genset, whereas the valuation of the unquoted shares in the College’s portfolio had increased from £27.5M to £31.7M over the same period. The validity of this valuation is supported by the value of the recent sale of a percentage holding in a selection of the unquoted companies to Flemings.

**BORROWING POLICY**

8. The Committee received a tabled paper regarding the College’s borrowing policy. The Committee noted that the College had a significant borrowing capacity, but that this remained virtually unused due the policy of not borrowing for major academic projects. This approach had resulted in a ‘hand-to-mouth’ approach to funding major capital investment, whereby the money to pay for the projects had to be raised through matching asset sales before the new projects could go ahead. In the view of the Committee this is a short-sighted policy, which results in the risk that the College fails to achieve the optimum value from its asset stock. It was agreed that the Pro Rector (Public & Corporate Affairs) would develop a
proposal for consideration at the next meeting of the Committee to encompass the College’s borrowing and property development strategies and the creation and build up of an ‘Endowment Fund’.

M.P.K.
<table>
<thead>
<tr>
<th>Ser.</th>
<th>Project</th>
<th>Project Cost (£m)</th>
<th>Construction Programme</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
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<td></td>
<td></td>
<td>Approved</td>
<td>Paid</td>
<td>Forecast</td>
</tr>
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<td>Flowers Building</td>
<td>21.22</td>
<td>18.4</td>
<td>21.22</td>
</tr>
<tr>
<td>2</td>
<td>Beit Residences</td>
<td>17.9</td>
<td>17.19</td>
<td>17.9</td>
</tr>
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<td>3</td>
<td>Biochemistry Levels 0 and 1 (JIF)</td>
<td>6.27</td>
<td>3.82</td>
<td>6.27</td>
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<td>5.03</td>
<td>4.30</td>
<td>5.03</td>
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<td>St Mary’s Building Strategy</td>
<td>23.26</td>
<td>2.54</td>
<td>23.26</td>
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<tr>
<td>6</td>
<td>Willis Jackson</td>
<td>3.7</td>
<td>2.05</td>
<td>3.7</td>
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<td>3.00</td>
<td>0.02</td>
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<td>Biochemistry Infrastructure (SRIF)</td>
<td>13.35</td>
<td>0.26</td>
<td>13.35</td>
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<td>Ser.</td>
<td>Project</td>
<td>Project Cost (£m)</td>
<td>Construction Programme</td>
<td>Notes</td>
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<td></td>
<td>Approved</td>
<td>Paid</td>
<td>Forecast</td>
</tr>
<tr>
<td>14</td>
<td>Refurbishment of Central College Library</td>
<td>1.6</td>
<td>0.04</td>
<td>1.6</td>
</tr>
<tr>
<td>15</td>
<td>Tanaka Business School</td>
<td>26.50</td>
<td>2.95</td>
<td>26.50</td>
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<td>16</td>
<td>L5, 6 &amp; 8 Chemistry (SRIF)</td>
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<td>0.02</td>
<td>4.98</td>
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<td>17</td>
<td>Innovative Chemical Manufacturing (SRIF)</td>
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<td>0.09</td>
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<td>18</td>
<td>IC Faculty Building</td>
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<td>0.88</td>
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<td>Materials Processing (SRIF)</td>
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<td>Geoscience and Engineering (Refurbishment of Aston Webb)</td>
<td>8.48</td>
<td>0.06</td>
<td>8.48</td>
</tr>
</tbody>
</table>
FINANCE MANAGEMENT REPORT

A Note by the Director of Finance

REVISED FINANCIAL FORECAST 2001/02

1. The full year Forecast has been updated to reflect the outcome of this year’s academic planning round exercise (having already incorporated the results of the non-academic planning round). It is therefore aligned with the information in Paper G on the College Budget 2002/03.

2. The last forecast for the year, reviewed by Council on 17 May, showed an operating deficit before asset disposals of £1.5M and a surplus from asset disposals of £8.0M, making a net surplus of £6.5M. The revised forecast now submitted shows an operating deficit for the year of £1.8M and a surplus from disposal of IPR and properties of £9.4M, giving a net surplus of £7.6M for the year. Although the overall operating deficit forecast has changed little since the last Report, significant adverse and favourable variances have now been identified in the constituent areas. The adverse variances include a £2.0M reduction in Other Operating Income (against which expenses have reduced by a similar amount), a £1.1M overspend in Premises (under-recovery of electricity) and a £0.6M increase in Depreciation for College-funded assets. These are fully offset by a £1.4M increase in Research income, and £3.7M savings in Academic areas. The £1.9M reduction in income from Residences and Catering Operations is due to the profit on sale of residences being reclassified as Exceptional Income.

3. Exceptional income still includes the assumed receipt of £7.5M from the sale by IC Innovations of the portfolio to Flemings, as it is still assumed that this will be completed by year-end. This is now, however, becoming doubtful.

WORKING CAPITAL

4. Net cash balances remain similar to last month’s level at £3.3M. At the time of writing the cash position is a net borrowing of approximately £7M, which is moving closer to the forecast. The positive effect of the accelerated student fee billings is now almost over.

5. Debtors and prepayments totalled £108.3M at 31st May, some £2.8M higher than last month. Invoiced debtors at £57.3M are £0.9M higher than last month but £11.1M lower than 31st May 2001. Research work in progress has risen by £0.8M since last month to £29.8M and capital work in progress, i.e. expenditure incurred but not yet reimbursed by sponsors, has increased by £1.0M to £12.5M. Certain debtor figures are understated due to systems problems which it is hoped will be rectified soon.

ACADEMIC COST CENTRES
6. Overall expenditure, net of income, totalled £64.0M for the ten months to date, some £2.0M lower than the phased budget. Some of the underspend relates to timing differences and will reverse. Overall, the Academic areas are forecasting a net surplus of £0.2M for the full year.

**ACADEMIC SUPPORT SERVICES & ADMINISTRATION AND BUSINESS ACTIVITIES**

7. Recurring expenditure, net of income, totalled £49.4M for the ten months to date, close to the phased budget of £49.6M. The main item worthy of note is Utilities where actual spend of £3.9M for ten months is at odds with the full year forecast of £3.6M. An initial examination of the electricity costs and cross-charges indicates an optimistic, but unrealised, assumption in the budget for the cross-charging of £1.2M internal costs to users. Much work has yet to be done with regard to aligning the cross-charging to meter readings to ensure transparency and acceptance. The position is also worsened due to inadequate provision for unpaid invoices to College from electricity suppliers and NHS Trusts for the prior years.

8. Residences, Catering and Conferences together show a favourable variance of £0.2M. IC Innovations’ expenditure for the nine months totalled £1.3M compared with the full year forecast of £1.4M. The forecast assumes that the sale of royalty rights to Paul Capital will be completed before the year-end.

**PRO RECTOR'S RESERVE AND CAPITAL EXPENDITURE FUNDS**

9. The Pro Rector's Reserve continues to have an unallocated balance of £1.8M as at 31st May of which £1.2M relates to Faculties and £0.6M to support areas.

10. Year-to-date expenditure on externally funded capital projects increased by £1.0M from £9.8M last month to £10.8M at 31st May.

A.S.D. Cannon
FINANCE DIVISION OBJECTIVES

A Note by the Director of Finance

INTRODUCTION

1. The Finance Division’s objectives set over a year ago included the need to make improvements in both management reporting and in staffing in the Finance Division. These are commented on below.

MANAGEMENT REPORTING

2. Progress on improvements in management reporting, such as has been made, was discussed at the Finance Committee meeting held on 1 July, and the outcome minuted. The Report from that Committee is being provided to the Council as a separate agenda item (Paper I).

3. Part of reporting is concerned with monitoring actual cash flow against projections and adjusting projections in the light of changed circumstances. It is intended that this be achieved by organising reporting into the five key “building blocks” discussed with Council at an earlier meeting, these being:

- Operating surplus/deficit, depreciation, working capital changes
- Progress being made towards realising IPR objectives
- Property asset disposals
- Property grants received and receivable
- Property expenditure.

4. Whilst the practicalities of certain elements of the above have not yet been fully addressed, it is intended that reports in the new financial year will include information along these lines. It is clearly important to do so in the light of the very substantial Capital Investment Plan.

STAFFING IMPROVEMENTS

5. An organogram of the top-level managers in the Division is attached. Since early 2001 there has been considerable change within this group, with some staff being replaced and others being appointed to new positions - principally the three new Faculty Finance Officers. Of the staff shown in the diagram, half have been appointed in the last 15 months.

6. In addition, at the next level (not shown) two key appointments have been made, these being an experienced VAT manager and an experienced senior credit controller.

A.S.D. Cannon
INTRODUCTION

1. Effective risk management is an essential element of good corporate governance in all organisations, not least in higher education institutions (HEIs). Although the College has, for some time, been assessing and managing risk successfully at the Departmental level, in common with all HEIs it is now facing increasing external demands to systematise its approach. In particular, before the end of this financial year on 31 July 2002, we are required by the HEFCE to move to full implementation of the Turnbull and Combined Code Recommendations on Corporate Governance. These suggest that institutions should regularly assess their risks, implement appropriate controls in the light of these assessments and monitor their effectiveness.

2. The HEFCE has been engaged with the Higher Education Sector’s representative bodies (CUC, AHUA, BUFDG, etc.) in drawing up guidance specifically for higher education. Formally, the HEFCE’s Accounts Direction requires HEIs to include a statement in their annual financial statements, covering the financial year 2002-03 at the latest, to confirm that ‘the effectiveness of the internal control system has been reviewed’. A formal Risk Management Policy and Register will help Imperial College to meet that obligation.

THE COLLEGE’S RESPONSE

3. In November 2001, the College’s Executive Committee, with guidance from PricewaterhouseCoopers (PwC), undertook a risk management workshop with the aim of identifying and recording the key risks facing the College as a whole. Based on the results of this exercise, a Risk Register and Action Plan has been approved by the Executive Committee. The scattergraph, which shows the priority assigned to the individual risks, is attached at Annex B.

4. The exercise conducted with PwC in November 2001 initially identified and agreed 53 separate risks. As a result of the process of producing a Risk Register and Action Plan some clear instances of duplication were identified and the risks have now been reduced to 46.

5. To accompany the Register, a Risk Management Policy has also been drafted using advice from the HEFCE, which formalises well-entrenched practices of managing risks when making decisions. The draft Policy is attached at Annex A.

6. The introduction of a formalised risk management process will:
a. Help the College to mitigate, and in some cases eliminate, major risks confronting it, with potentially very significant financial benefits.

b. Support and inform the College’s strategic and business planning and as a result the efficient use of resources.

c. Help the early identification of new opportunities.

d. Comply with the HEFCE’s requirement.

e. Reassure the College’s other ‘stakeholders’ that the College is conforming to good business practice.

f. Enhance communication between the College Centre, Faculties and Departments/Divisions.

g. Help to focus the Internal Audit programme.

7. The Audit Committee at its Meeting on 12 June reviewed the Risk Management Policy and received copies of the Risk Register & Action Plan so that it could satisfy itself that the College’s Risk Management processes were operational. Subject to some minor amendments, which have now been incorporated, the Committee agreed to commend the Risk Management Policy to the Council for approval.

8. The Council is therefore asked to consider, and if it sees fit, approve the College’s Risk Management Policy.

K.A.M.
INTRODUCTION

1. The Higher Education Funding Council for England defines risk as “the threat or possibility than an action or event will adversely or beneficially affect an organisation’s ability to achieve its objectives.”

2. Risk Management may be defined as the planned and systematic approach to the identification, evaluation and control of risk. It is concerned with evaluating the measures an organisation has in place already to manage identified risks, and then recommending the action that the organisation needs to take to control these risks more efficiently. By managing risk it is possible to reduce the likelihood of a risk occurring or to limit its consequences by implementing control mechanisms.

POLICY

3. The objective of this Risk Management policy is ensure that the College has in place the necessary structures and procedures to protect itself from unacceptable exposure to risk.

4. The Policy forms part of the College’s internal control and corporate governance arrangements.

5. The concept of managing risk is not new; indeed, every person who makes a conscious decision instinctively considers the risks involved to a greater or lesser extent. The Policy should not, therefore, be seen as adding an extra layer to the College’s administrative procedures, but rather as serving to formalise what is already fully entrenched, if largely unrecognised, within the College’s decision-making.

ROLES AND RESPONSIBILITIES

6. Council. The Council, as “the governing and executive body of the College” holds overall responsibility for overseeing risk management within the College. Its role is to:

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2. Imperial College Royal Charter, Article 8.
a. Determine and approve the College’s Risk Management Policy.

b. Gain the commitment of the Rector to implementing the principles of risk management as a measure of good business practice.

c. Determine the level of risk that the College will carry in relation to specific cases and when aggregated across the institution as a whole.

d. Provide a strategic focus to the management of risk, ensuring that the identification or risk is integrated and aligned to key strategic objectives.

e. Approve major decisions affecting the College’s risk profile or exposure.

f. Satisfy itself that the less significant risks are being actively managed, with the appropriate controls in place and working effectively.

g. Annually review the effectiveness of the College’s approach to risk management and approve changes or improvements to its processes and procedures.

7. **Audit Committee.** The Audit Committee is charged by the Council with keeping the effectiveness of the College’s risk management under review and reporting on this annually.

8. **Rector.** The Council has delegated responsibility for implementing the Risk Management Policy to the Rector, whose roles are to:

a. Implement the policies on risk management and internal control.

b. Identify, evaluate and control risks within the Institution, including emerging risks, and allocate responsibility for the control mechanisms.

c. Ensure that the procedures are embedded within the every day management of the College.

d. Ensure that there is ownership of risk management and internal controls throughout the College.

f. Ensure that there is adequate training and resources to ensure that the policy can be implemented.

g. Report to the Council on significant risks and emerging risks during the year.

h. Ensure that the process of day-to-day risk management is adequately documented, including disaster recovery plans.

i. Oversee an annual review of the College’s approach to risk management and its effectiveness.
9. **Executive Committee.** The Executive Committee supports the Rector in discharging his responsibility for the implementation of the Policy.

   a. The Executive Committee will institute and review regularly suitable procedures to meet the objectives and reporting requirements of the Policy.

   b. Each member of the Executive Committee will provide adequate and timely information on the status and controls of risks in their respective areas to the Executive Committee, Audit Committee and the Council.

10. **Faculties and Those Academic and Administrative Departments/ Divisions Not in Faculties.** The Principal of each Faculty and the Head of each independent Department/ Division is responsible for identifying and managing the risks specific to their areas.

**IMPLEMENTATION**

11. Risk must be managed in every aspect of the College’s activities. The nature of each risk will determine the procedures to be adopted, but in all cases, a multi-stage approach should be adopted:

   a. **Identification.** The potential risks which each activity poses to the assets, reputation or earning capacity of the College must be determined.

   b. **Measurement.**

      (1) Each risk must be evaluated in terms of:

      (a) The severity of the potential impact of the risk.

      (b) The likelihood of the risk occurring.

      (2) This allows the risk to be evaluated and the relative importance of each risk to be ascertained. Decisions can then be made on priorities for risk management.

   c. **Loss Reduction.**

      (1) Once each risk has been identified and measured, an action plan must be devised to eliminate or mitigate it. Wherever possible, risk should be removed before it occurs by taking measures to negate it or to reduce the possibility of it occurring. Where this is not possible, risk management must concentrate on control and damage limitation.
(2) Risk management controls and early warning mechanisms must be identified, documented and monitored, with responsibility for each risk being allocated to a named member of Senior Management.

d. **Non-Insurance Risk Transfer.** Risks may be mitigated by transferring them contractually to third parties where this is cost-effective and where occurrence of the risk after transfer will not hinder the College’s business continuity.

e. **Residual Risk.** It is never possible to remove all risks entirely. The College will therefore have to make judgements as to which risks it is prepared to bear, balanced against the costs of mitigating or transferring them.

12. An organisation of the size and complexity of Imperial College can never centrally manage all risks facing it. Therefore, at College level it identifies and prioritises only the major strategic risks facing it, while it delegates to Faculties and to Departments/Divisions the responsibility for identifying and managing their local risks.

13. At College level all identified and prioritised risks are contained within the College’s Risk Register (Annex A). Each risk is allocated within one of nine categories:

- Strategic Business
- Teaching
- Research
- Financial
- Organisational/Personnel
- Operational
- Compliance
- Business Continuity
- Reputational

14. The College Risk Register is a “living document” which is reviewed and updated regularly. It is available on the College Intranet, *Intrinsic*, so that it can be accessed readily by those with responsibilities for implementing it.

15. Changes and additions to the Risk Register will be reported, by exception, to the Executive Committee. The mechanism for doing so will be the monthly reports to the Executive Committee.

16. Risk identification and control are to be major considerations in planning and budgeting processes at all levels in the College. They must be considered and documented as part of the justification for all new schemes, investments and projects. Each proposal to the Executive Committee and Council should, where appropriate, contain a section addressing any risk issues, and all new project proposals are to address fully any potential risks. Each Planning Round proposal must contain an analysis of the risks involved in any new initiatives.
17. The HR Division is to support the Policy through awareness training and skills development. Individual risk responsibilities are to be considered as part of the setting of objectives in annual staff appraisals.

**ANNUAL REVIEW OF EFFECTIVENESS**

18. The Council, advised by the Audit Committee and the External Auditors, must be satisfied that all material risks have been identified so that the appropriate statement can be made in the College’s Annual Accounts in December each year. In addition, any funds required to implement control measures must be allocated as part of the annual budget process starting in January each year. In order to meet these deadlines, the Executive Committee will schedule its annual review of the Risk Register and Action Plan for its formal meeting in July of each year. The Executive Committee’s recommendations will then be passed to Audit Committee in September of each year which, in turn, will make its report to the Council at the latter’s October meeting.

19. The annual review of the Risk Register and Action Plan will consider the management of all College level risks during the previous year, and report by exception on:

   a. Any controls that either failed or were particularly successful during the year and why.

   b. Unforeseen risks, why they occurred and why they were not foreseen.

   c. Changes to the external environment that will change the risk profile.

   d. Changes to the internal environment that will change the risk profile.

   e. Risks expected to emerge during the following year

20. The annual review will then recommend:

   a. New controls and processes that should be put in place, especially for those unforeseen risks identified in Paragraph 19b above.

   b. Changes or improvements to existing risk management processes and controls recommended for next year.
Annex B

RISK SCATTERGRAPH

Comparative Positions

Risks with the Highest Impact and Likelihood
## PRIORITISED RISKS

<table>
<thead>
<tr>
<th>Priority</th>
<th>Risk Element &amp; Definition</th>
<th>(Original risk categories in parentheses)</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a)</td>
<td>(b)</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>The College may be unable to recruit and / or retain the calibre of staff it needs.</td>
<td>(Organisational / Human Resources)</td>
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<td>2</td>
<td>The College may fail to reach its fundraising targets.</td>
<td>(Financial)</td>
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<td>3</td>
<td>The College may fail to maintain its Estate.</td>
<td>(Operational)</td>
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<td>4</td>
<td>External Policies may adversely affect the College, particularly in terms of teaching,</td>
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<td></td>
<td>research and general funding</td>
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<td>5</td>
<td>The College may manage major projects ineffectually and without a full understanding of the</td>
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<td></td>
<td>likely costs.</td>
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<td>6</td>
<td>The College may fail to address poor performance adequately.</td>
<td>(Organisational / Human Resources)</td>
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<td>7</td>
<td>Lack of commitment to the Corporate Strategy could lead to a lack of direction and missed</td>
<td>(Strategic)</td>
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<td></td>
<td>opportunities.</td>
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<td>8</td>
<td>The College may fail to recognise and plan for future liabilities.</td>
<td>(Financial)</td>
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<td>9</td>
<td>The limitations of the London Estate could inhibit the College’s future development.</td>
<td>(Strategic)</td>
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<td>10</td>
<td>Failure to maximise research funding because we do not have a clear research strategy.</td>
<td>(Research)</td>
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<td>11</td>
<td>The College may fail to exploit fully the value of its IPR.</td>
<td>(Research)</td>
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<tr>
<td>12</td>
<td>The College may fail to maintain the quality of its research.</td>
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<tr>
<td>13</td>
<td>The College’s IT systems may fail to keep abreast of its needs.</td>
<td>(Operational)</td>
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<tr>
<td>14</td>
<td>The College may fail to meet student number targets while maintaining quality.</td>
<td>(Teaching)</td>
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<td>15</td>
<td>The College’s internal controls and financial systems may not be sufficiently robust.</td>
<td>(Operational)</td>
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<td>16</td>
<td>The College may continue to rely on disposals as a source of funds to finance recurrent</td>
<td>(Financial)</td>
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<td></td>
<td>expenditure / programmes.</td>
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<td>17</td>
<td>The College may suffer by not having an up-to-date Disaster Recovery Plan, including the</td>
<td>(Business Continuity)</td>
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<td></td>
<td>recovery of a catastrophic IT failure.</td>
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<td>18</td>
<td>The College may fail to maximise the potential of its staff.</td>
<td>(Organisational / Human Resources)</td>
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<tr>
<td>19</td>
<td>The College may fail to respond to “good practice” elsewhere by focussing internally.</td>
<td>(Strategic)</td>
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<tr>
<td>20</td>
<td>The College may fail to respond to changes in its customer base.</td>
<td>(Strategic)</td>
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<tr>
<td>21</td>
<td>There is a risk that the College Administration may fail to deliver the service required by</td>
<td>(Operational)</td>
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<td></td>
<td>the academic community.</td>
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<tr>
<td>22</td>
<td>The College may fail to maximise its commercial opportunities.</td>
<td>(Financial)</td>
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<tr>
<td>Priority</td>
<td>Risk Element &amp; Definition (Original risk categories in parentheses)</td>
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<tr>
<td>23</td>
<td>The College may fail to collect its debts. (Financial)</td>
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<td>24</td>
<td>The College may fail to “use its muscle” to influence public policy. (Strategic)</td>
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<tr>
<td>25</td>
<td>The College may suffer from inadequate succession planning. (Organisational / Human Resources)</td>
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<td>26</td>
<td>The needs of the College’s management may conflict with “academic freedom.” (Compliance)</td>
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<td>27</td>
<td>The College may fail to optimise its processes by focussing on incremental change only. (Operational)</td>
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<td>28</td>
<td>The College may fail to understand the cost and benefit of any merger opportunity. (Strategic)</td>
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<td>29</td>
<td>The College may fail to define and successfully communicate its policies and procedures. (Strategic)</td>
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<tr>
<td>30</td>
<td>The College might be under-insured. (Financial)</td>
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<tr>
<td>31</td>
<td>There is no transparent strategy for the academic community. (Strategic)</td>
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<tr>
<td>32</td>
<td>There is a risk that the quality of the College’s courses could decline. (Teaching)</td>
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<tr>
<td>33</td>
<td>The College may fail to prevent or detect a serious scientific fraud. (Reputational)</td>
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<tr>
<td>34</td>
<td>The College may fail to consider changing demands for taught courses (in the context of the mission of the College). (Teaching)</td>
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<tr>
<td>35</td>
<td>The College may fail to respond adequately to changing legislation. (Compliance)</td>
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<tr>
<td>36</td>
<td>External service providers may fail to meet the College’s needs. (Operational)</td>
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<tr>
<td>37</td>
<td>The College may suffer financial fraud. (Financial)</td>
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<td>38</td>
<td>The roles and responsibilities in the College’s Committee structures may not be clearly defined and mutually exclusive. (Operational)</td>
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<tr>
<td>39</td>
<td>A publicised failure of management could affect the College adversely. (Reputational)</td>
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<tr>
<td>40</td>
<td>The currently good Employee / Trade Union relations may deteriorate and create difficulties. (Organisational / Human Resources)</td>
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<tr>
<td>41</td>
<td>The College may fail to understand the real risks and benefits of expanding its CPD provision. (Teaching)</td>
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<td>42</td>
<td>24/7 working and loss of “summer” shut down inhibits the efficient working of the College. (Business Continuity)</td>
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<td>43</td>
<td>The public perception of the College may be adversely affected by continual building work, especially at South Kensington. (Reputational)</td>
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<td>44</td>
<td>The College may suffer as a result of increased public antipathy to emotive work in science and technology and consequently negative media coverage. (Reputational)</td>
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<tr>
<td>Priority</td>
<td>Risk Element &amp; Definition</td>
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<td><em>(Original risk categories in parentheses)</em></td>
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<td>(a)</td>
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<tr>
<td>45</td>
<td>The College may enter into partnerships which may be detrimental to its best interests.</td>
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<td></td>
<td>(Reputational)</td>
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<tr>
<td>46</td>
<td>The College's international reputation may decline in comparison with its competitors,</td>
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<td></td>
<td>e.g. MIT, ETH</td>
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<tr>
<td></td>
<td>(Reputational)</td>
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</table>
1. The Minutes of the meetings of the Senate held on 13 February 2002, 1 May 2002 and 12 June 2002 are attached. The following points are drawn to the attention of the Council.

**MINUTES 402 AND 422 - TEACHING EVALUATION**

2. The Senate noted that a fully electronic version of the Lecturer Evaluation Questionnaire (LEQ) had operated College-wide for the first time in the Autumn Term. Unfortunately, problems had been revealed in the commercial software underpinning the questionnaire which had caused the Spring Term exercise to be cancelled. The problems were being investigated and it was intended that a web-based LEQ would operate in the new academic year.

**MINUTE 403 - GRADUATE SCHOOL OF ENGINEERING AND PHYSICAL SCIENCES**

3. The Senate approved the establishment of a Graduate School of Engineering and Physical Sciences, to be operative by October 2002.

**MINUTES 407 AND 456 - STUDENT RECRUITMENT AND ADMISSIONS**

4. The Senate noted that undergraduate applicants who had rejected an offer of a place at the College had been surveyed as to their sources of information about Imperial and their reasons for declining an offer. The survey had revealed valuable information which would aid the College in its aim to recruit more good students.

5. The Senate approved the establishment of two new Senate committees to oversee recruitment and admissions activity and to oversee international matters, following a report to the Rector by the Pro Rector (Admissions) on student admissions.

**MINUTES 421 AND 445 - QUALITY ASSURANCE AGENCY EXTERNAL REVIEW PROCESS FOR HIGHER EDUCATION IN ENGLAND**

6. The Senate noted the new model for external review of higher education to be implemented from the academic year 2002-2003. The new model was intended to bring a ‘lighter touch’ to external review, focussing on periodic institutional review rather than intensive individual subject reviews.
MINUTES 421 AND 443 DEGREE AWARDING POWERS

7. The Senate noted that a Scrutiny Panel appointed by the Quality Assurance Agency Advisory Committee on Degree Awarding Powers would be visiting the College on 23 July to meet the Rector and senior members of the College to discuss matters relating to the College’s application to be granted degree awarding powers.

MINUTE 446 - REVIEW OF UNDERGRADUATE TEACHING IN THE DEPARTMENT OF CIVIL AND ENVIRONMENTAL ENGINEERING

8. The Senate approved a report by the Undergraduate Studies Committee and noted that the reviewers had commented very positively on the teaching provided by the Department of Civil and Environmental Engineering.

R.B.S.
PAPER N

ANNUAL OPERATING STATEMENT

A Paper by the Director of Planning and Information

ISSUE

1. This Paper invites the Council to discuss, and if it sees fit, approve the College’s Annual Operating Statement which is due to be submitted to the Higher Education Funding Council for England (HEFCE) by Friday, 26 July 2002.

BACKGROUND

2. The HEFCE require that higher education institutions submit operating statements and financial forecasts annually. The Operating Statement reports on the College’s use of funds during the academic year 2001/02 towards activities for which we have received specific ring-fenced funding from HEFCE. In addition we are required to provide an outline of activities and targets in these areas for 2002/03. For the first time this year, HEFCE are requesting reports only on the special initiatives. In previous years we have also been required to provide a report on other College activities. The College has however provided a general overview of College activities that have taken place over the past year and this accompanies this Paper.

3. The draft Statement, which may be subject to further editorial changes, is attached to this Paper. The Financial Forecasts are in the process of being prepared by the Finance Division and the Student Number Forecasts are being prepared by the Planning and Information Division. The finalised Annual Operating Statement will be provided at the first Council meeting of the Autumn Term.

4. The Council is invited to note that the section relating to the HEROBAC activities is under review. The College has underspent in this area, mainly because the full staff team has not been appointed. A revised strategy for HEROBAC activity is being formulated and will be presented to HEFCE in due course.

RECOMMENDATION

5. The Council is invited to discuss and, if it sees fit, approve the College’s Annual Operating Statement which is due to be submitted to HEFCE by 26 July 2002.

R.F.Eastwood
ANNUAL OPERATING STATEMENT TO HEFCE (JULY 2002)

The College understands that, in its Annual Operating Statement, it is now required to report on progress with the activities for which we received specific ring-fenced funding only. However the College felt that it might be useful to provide a brief overview of the general College activities that have taken place in 2001/02 to set the College in context.

BACKGROUND

During 2001 a major emphasis was placed on ensuring that the College continues to remain amongst the leading universities in its chosen disciplines. This led to the formulation of an initial Strategic Plan which is being updated prior to submission to HEFCE by the end of 2002.

As part of the Strategic Plan, the College identified eleven strategic goals to guide its development in the foreseeable future. Senior members of College staff have been assigned responsibility for driving these goals forward. These eleven goals, in no particular order of importance, encompass:

1. Teaching and Learning at Imperial: Attraction, Teaching and Support of Students.
3. Staff Attraction, Development and Retention.
4. Strengthening the Brand globally.
5. Increasing Financial Independence.
7. Rationalising our Estate.
8. Improving Access to, and Use of, Information.
9. Improving the Effectiveness of the Organisation.
11. Influencing Key Opinion-formers.

The College’s major activities under each of the goals in 2001/02 were:

1. **Attraction, Teaching and Support of Students.**
   - The College has developed its new learning and teaching strategy and will submit this to HEFCE in July. Further information is provided within the main Operating Statement (see the Learning and Teaching section).
   - Discussions are taking place about the development of an e-learning strategy for the College. A working party, chaired by a Dean, has been established.
   - The College’s Widening Participation Strategy was submitted to HEFCE in October 2001. Further information is provided within the main section of the College’s Annual Operating Statement (see the Widening Access and Participation Section).
   - The College is looking into the possibility of developing scholarship schemes to facilitate the recruitment of high quality, mainly research, students.
• A graduate school in Engineering and Physical Sciences has been established and this is expected to become fully operational by October 2002. The new school complements the Graduate School of Life Sciences and Medicine which was established in 1999.
• The process for the College to attain its independent degree awarding powers has continued and a team of assessors visited the College in January 2002.

2. **Research Strategy.**

• A Research Committee, under the Chairmanship of the Deputy Rector, has been established. The Faculty Principals are amongst its members.
• Each Faculty is in the process of formulating research strategies; in particular, these will seek to harness the College’s interdisciplinary strengths.
• The College will concentrate on creating large critical mass in a number of themes in which it already has an international presence in the component parts, *e.g.* bio-engineering and renewable energy sources.
• The College is keen to charge the full economic costs of its research and strategies to achieve this are being formulated. It will concentrate resources on bidding for a relatively small number of large projects rather than a large number of small ones.
• The College will consolidate and improve further its performance in the 2001 RAE. Mechanisms to collect data and monitor research performance will be put in place.
• A new Institute of Mathematical Sciences in being planned. This would bring together expertise from many departments within the College with international mathematicians, scientists and engineers visiting from outside.

3. **Staff Attraction, Development and Retention.**

• The College submitted its full HR strategy to HEFCE in June 2002. (See the Rewarding and Developing Staff Section of the main Operating Statement submission).
• A new Director of Human Resources, Mr Chris Gosling, took up post in September 2001.

4. **Strengthening the Brand Globally.**

• A review of the College’s brand image and the effectiveness of its internal and external communications has taken place. The Division of Press, Publications and Public Relations has been renamed as Communications and will form part of the Directorate of Strategy Development and Communications.

5. **Increasing Financial Independence.**

• A Director of Development and Alumni Relations, Mr Roderick Rhys Jones, took up post on 1 January 2002.
• A strategy for fundraising activity is being formulated. The focus for fundraising will be centred on the establishment of three new funds: scholarships, capital development and student welfare. Targets for the income by fund over the next four year period will be set.
• New models for financial management have been developed across the faculties. Faculty Finance Officers have been appointed who report directly to the Director of Finance with ‘dotted’ reporting responsibilities to the Faculty Principal.
• The College is about to commence a review of its resource allocation process; the main aim is to ensure that the distribution remains fair and equitable and that the methodology provides appropriate incentives to faculties to support the objectives of the College.
• Initial discussions have taken place about the creation of a business plan for the Reactor.

6. **Partnering Strategy.**

• Joint academic programmes with LSE have been developed and the College is collaborating with LSE and UCL on the Partnerships for Progression Initiative.
• A new Pro Rectorial position of Pro Rector for International and External Academic Affairs has been established. The post has responsibility for activities in the external arena and will be integral in developing a strategy for partnering in other parts of the World. Emphasis will focus in particular on developing and expanding links with the Far East and the USA.

7. **Rationalising our Estate.**

• A new Director of Estates, Mr David Brooks-Wilson, took up post on 15 April 2002.
• A Property Strategy is being developed. This has the aim of developing a clear strategic plan for unlocking the value from the Estate and will be presented to the College Council in late 2002.
• Work has progressed on the project for a new building to house the Business School on the South Kensington Campus. This is being funded by a donation of £26.5M from an alumnus, Dr Gary Tanaka. The project will also create a new main entrance and frontage for the College on Exhibition Road. The Project will be completed at the end of 2003.
• The NHS is re-locating the Royal Brompton Hospital to Paddington waterside. Because of this, the adjacent NHLI buildings will need to move and plans are being developed to construct a new building on the Paddington campus, principally funded by the NHS.

8. **Improving Access to, and Use of, Information.**

• Following the Information Technology Strategy Review which took place in 2001, a Division of Information and Communication Technologies has been formed. The Division provides an integrated IT service supporting academic and administrative functions across the College. The first Director of ICT, Heather Allan, took up post on 1 January 2002.
• In August 1999, the College implemented the Oracle Financial, HR and Payroll applications, known as ICIS. An upgraded version (version 11i) was installed in May 2002. Work is now in progress to extend its functionality further.
In Summer 2000, the College agreed to replace the existing REGIC software with the Oracle Student System. Work on this project is due to be completed in Spring 2003.

9. **Improving the Effectiveness of the Organisation.**

- The College’s Faculty structure based around the four Faculties of Medicine, Life Sciences, Physical Sciences and Engineering was established in August 2001. The College’s revised organisation structure is now largely implemented with support services in place and it is on target to be declared fully operational on 1 August 2002.
- Plans for a new headquarters building have been developed. This building will bring together the Faculty headquarters staffs and the main central administrative functions and will facilitate the day-to-day interactions necessary for the development and implementation of challenging strategic and operational goals. It is hoped that the project will be completed in late 2003.
- A medium term plan for the Management School is being developed by the College.
- Reviews of the organisation and structure of the Library, Registry and Research Accounts and Administration are taking place. Recent mergers and the creation of the faculty structure have led to these reviews; their intention being to ensure the ability to deliver consistent and coherent services across the whole College.
- The former TH Huxley School has been restructured into two academic departments; the Department of Environmental Sciences which forms part of the Faculty of Life Sciences and the Department of Earth Science and Engineering, part of the Faculty of Engineering.
- A Centre for Bioinformatics has been established to bring together bioinformatics research in the faculties of Life Sciences, Medicine and Engineering.

10. **Exploitation of Intellectual Assets and Skills.**

- A new division under the directorship of the Pro Rector for Public and Corporate Affairs, Dr Tidu Maini, has been established. This will integrate the exploitation of intellectual property and the College’s academic reputation.
- The College will realise the value of part of its equity holdings in a portfolio of its spin-out companies by sale to Fleming Family and Partners for £7.5M. An agreement with Nikko will double the College’s University Challenge seed fund to £4M and in addition give access to a total of £20M to college spin-outs.
- Efforts are being made to develop an awareness of business planning and IP management amongst staff through seminars and masterclasses.

11. **Influencing the Development of Higher Education.**

- As a contribution to addressing the shortage of scientists and engineers, the College, with GlaxoSmithKline and the Technology Colleges Trust, has developed INSPIRE, the post-doc in schools scheme which will be piloted in September 2002. Post-docs will spend 50% of their time based in partner schools providing assistance with the delivery of the science curriculum and studying towards a
postgraduate teacher qualification. The remainder of their time will be spent at the College researching their subject area.

- The College has been in regular contact with HEFCE, DfES, the Wellcome Trust, OST, Treasury and the Prime Minister’s office over a number of issues relating to university funding.
HEFCE Annual Operating Statement

Contact details

<table>
<thead>
<tr>
<th>Name of institution</th>
<th>Imperial College of Science, Technology and Medicine</th>
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</thead>
<tbody>
<tr>
<td>Institutional contact name</td>
<td>Dr Rodney Eastwood</td>
</tr>
<tr>
<td>Position in institution</td>
<td>Director of Planning and Information</td>
</tr>
<tr>
<td>Date</td>
<td>1 July 2002</td>
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</tbody>
</table>

Please state the institution’s mission statement

Imperial College 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 internally and collaborate widely externally.

Please outline the institution's key strategic objectives

Our strategic intent is:

- To remain amongst the top tier of scientific, engineering and medical research and teaching institutions in the world.
- To develop our range of academic activities to meet the changing needs of society, industry and healthcare.
- To continue to attract and develop the most able students and staff worldwide.
- To establish our Business School as one of the leading institutions in the world.
- To communicate widely the significance of science in general, and the purpose and ultimate benefits of our activities in particular.

Widening access and participation: please include, in this box, an overview of the key objectives of your strategy to set the activities in context

Imperial College’s approach to widening access and participation should be viewed in the context of our mission. Imperial College is an international research university providing rigorous and intensive degree courses in science, engineering and medicine for able and gifted students. The College’s courses are designed to benefit students of high ability whatever their background or gender.

Our entrance requirements are high; the average A level points score for our academic departments is 28, and a majority of our courses require A-level passes in physics, physical sciences and at least one mathematics subject. In view of this, the College places a high priority on work to ensure that it continues to recruit high calibre students and maintain admissions standards. The key focus of our strategy to support widening participation therefore is on raising aspirations and awareness of higher education in general. We recognise that we are constrained by the decreasing supply of pupils taking mathematics and physics at A level. We do not assume that our activities in the area of widening participation will benefit us directly in terms of our own recruitment although we hope that they will raise entry to higher education in general.

The College’s Widening Participation Strategy also encompasses the key objectives of continuing to develop ways in which it supports applicants and students with
disabilities, and its general support arrangements.

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<tr>
<th>Activity</th>
<th>2001-02 activities and targets</th>
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<tr>
<td>Postcode premium</td>
<td>This funding was directed towards the development of the METRIC project, which had the following aims in 2001/02. To mount a full-scale METRIC course in the Physics Department, and an enlarged pilot in Civil Engineering. In partnership with IC departments, to develop a medium-term in-house implementation strategy. To extend the content of the Project materials upwards into the mainstream First Year course (complex numbers, partial differentiation, linear algebra) and downwards into A-level (functions, quadratics, trigonometry).</td>
<td>The mounting of a full-scale course and enlarged pilot was deferred in order to allow more time to respond to the evaluation of the pilot schemes run in 2000-01. The focus during 2001-02, therefore, has been to complete a substantial technical upgrade in response to the evaluation and to develop the materials upwards into mainstream first-year courses and downwards into A-level. This has largely been completed. Furthermore, a designer has been employed to work on the look and the feel of materials to enhance accessibility and to harmonise with existing IC web resources.</td>
<td>To continue to refine the materials in response to user evaluation. To review how the materials will be best utilised within the College in the light of its strategies for Widening Participation, Learning and Teaching and e-learning. Subject to the outcome of the review, to hold a College-wide launch of the materials in Spring 2003.</td>
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<tr>
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| Aspiration funding          | To increase the portfolio of activities designed to raise aspirations in state-educated students in science, technology, engineering, maths and medicine.                                                                                                                                                                                                 | A broad portfolio of activities designed to raise aspirations in state-educated students in science, technology, engineering, maths and medicine has taken place. The programme of ‘raising aspirations’ activities as outlined in the College’s Widening Participation Statement has been achieved. Annex A provides details about these. In addition, this programme has been augmented by the following activities with the number of participants shown in brackets:  
  • Residential Summer School for FE students (100)  
  • Advanced Extension Award Masterclasses for Year 13 Students (150)  
  • Masterclass in Biological Sciences for Year 5 students (30)  
  • Music, Science and Technology Workshops in conjunction with Sinfonia21 (100)  
  • Year 12 Curriculum Review Day (80)  
  • Residential Summer School for Year 10 students from the North East  
  • 32 Demonstration lectures for BBC TV Tomorrow’s World Roadshow.  
  
Existing annual programmes including Open Days for years 11 and 12, BAYSDAYs for Years 5-13 and University of London Summer Schools have been expanded.  
These activities have taken place in partnership with Excellence in Cities and Excellence Challenge Co-ordinator institutions, industry and other organisations. | To continue to increase the portfolio of activities designed to raise aspirations in state-educated students in science, technology, engineering, maths and medicine. See Annex A for the specific programmes and the target student numbers in 2002/03.                                                                                                                                                                                                 |
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| **Aspiration funding** | To appoint, by April 2002, a dedicated Widening Participation Officer and a clerical support post to strengthen the College’s ability to take this programme of raising aspirations forward and to deliver the wider strategy across the College. | For this year, the role of Widening Participation Officer has been filled by seconding the existing Schools Liaison Officer on a part-time basis with additional support from temporary clerical staff and personnel from Excitec with whom the College collaborates on most of its school programmes. A Widening Participation Officer has been appointed and she will start in September 2002. This will coincide with the completion of the office refurbishment to accommodate the Widening Participation team. | The Widening Participation Officer will appoint a clerical assistant and the Widening Participation team will work to:  
- Consolidate and market the activities programme in schools.  
- Expand the Student Tutoring Programme in collaboration with the Community Action Manager.  
- Co-ordinate Widening Participation Activity across the College.  
- Implement a programme of schools and FE College visits initially in London. |
<p>| <strong>Mainstream disability premium</strong> | <strong>Support for students and applicants with disabilities.</strong> To continue and develop existing activities which are designed to improve access to courses, facilities and the estate for students with disabilities. | The College’s Disabilities Officer has been active in providing support, guidance and advice to students and prospective students with disabilities and their families. She has continued to assist with the preparation of applications for the Disabled Students Allowance. She has worked closely with the College’s Student Support Officer to provide advice on the College’s Access and Hardship Funds. Assistance with the preparation of these applications is provided where necessary. | To continue to provide a full range of support and guidance to students or applicants with disabilities. |</p>
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<tr>
<td>Mainstream disability premium</td>
<td><strong>Liaison and dissemination.</strong> To liaise with external agencies, including Social Services and keep abreast of legislative developments.</td>
<td>Collaborations with local providers have developed with the College providing residential accommodation for one blind student registered at the Royal College of Music. Two departments have nominated departmental disabilities representatives. The Colleges has kept abreast of legislative changes.</td>
<td>To work with other HEIs in the College vicinity to provide support for students with disabilities. To develop a network of disabilities representatives within the academic departments for co-ordination by the Disabilities Officer. To commence the review of the College’s Disability Statement with a view to updating this in light of internal, external and legislative changes.</td>
</tr>
<tr>
<td>Mainstream disability premium</td>
<td><strong>Raising awareness.</strong> To develop a number of training programmes in conjunction with the Imperial College Centre for Education Development. These will have the aim of raising awareness amongst staff of disability related issues and ensure that good practice is disseminated. To work with the Imperial College Centre for Education Development and the Students Union to develop other training sessions for staff to develop their knowledge about working with students who are deaf, have Asperger Syndrome or who are blind. To produce a wide range of publicity material.</td>
<td>An initiative to raise awareness of disability issues amongst staff has taken place. The Disabilities Officer, in conjunction with ICCED, the Students Union and the Staff Development Unit has organised a range of courses to understand disability issues. Sophie Corlett of SKILL recently held a session about the implications of part four of the new DDA for the College. All staff were invited to attend this session. A video was made which will be available to all staff via the College intranet. Hard copies will be available in all College libraries. A wide range of publicity material, including fliers has been produced.</td>
<td>To review the College’s Learning to Learn Booklet with a view to making it more accessible to students and applicants with disabilities. This will focus in particular on those with dyslexia, since this is the main form of disability amongst the College population.</td>
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<tr>
<td>Mainstream disability premium</td>
<td>Adapting the estate. To continue with the on-going programme to ensure that the College Estate meets the requirements of the Disability Discrimination Act and that adequate provision is available for students with disabilities. To continue with the audit of access within academic departments.</td>
<td>The Access Audit has now been completed and the priorities for the College have been identified. The Disabilities Officer has played a key role in identifying priorities for funding and in ensuring that the various College campuses are included.</td>
<td>To modify and refurbish the estate in light of the requirements identified in the Access Audit and to ensure that disabilities issues are taken into account in refurbishments.</td>
</tr>
<tr>
<td>Administration costs: student support and access funds</td>
<td>To create a new post of Student Support Officer to ensure the effective provision of student support activities including the provision of advice to applicants regarding student loans and various funds and bequests.</td>
<td>The Student Support Officer took up post in October 2001. The post is funded partly from the administrative costs of the hardship fund. Since appointment the Student Support Officer has been active in establishing mechanisms and procedures for the administration of funds for student support.</td>
<td>To continue to develop the role of the Student Support Officer and to provide a range of advice and support to students and applicants regarding various funds and bequests.</td>
</tr>
<tr>
<td>Administration costs: student support and access funds</td>
<td>To offer c. 30 Opportunity Bursaries for the 2001-02 academic year and write to every applicant who has accepted an offer. To develop, and send to every applicant, information packs which will cover the whole range of support available.</td>
<td>33 Opportunity Bursaries were awarded in total during the academic year 2001-02. In addition a further £18,000 was awarded from the Hardship Funds, prior to study, to those applicants who had narrowly missed out on being awarded Opportunity Bursary funding. A leaflet which provides information of the various sources of funding available along with a list of key contacts has been developed and was sent to every applicant. This is also available on the recruitment website.</td>
<td>To offer 33 Opportunity Bursaries for the 2002-03 academic year. To continue to provide Study Support Bursaries to those students who narrowly missed out on opportunity bursaries and possibly for postgraduate students with dependent children. To continue to send information to every applicant about the whole range of financial support that is available.</td>
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<tr>
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<tr>
<td>Administration costs: student support and access funds</td>
<td>To launch a new Undergraduate website with a specific section dedicated to student finance.</td>
<td>The website has been launched and it includes a specific section dedicated to student finance. This section provides information about the various forms of student financial support that are available along with details of key contacts. This can be viewed at: <a href="http://www.options.ic.ac.uk/admissions_2.htm">http://www.options.ic.ac.uk/admissions_2.htm</a></td>
<td>To maintain the website and make sure it updated to provide the most recent and relevant information about student support.</td>
</tr>
<tr>
<td>Administration costs: student support and access funds</td>
<td>To monitor the take up of opportunity bursaries and the subsequent progress of students.</td>
<td>Details about the award of student bursaries, including the assessment procedures, demand and the background of those who are awarded bursaries is reported to the Admissions Policy Committee. The progress of those students in receipt of opportunity bursaries will be reviewed at the end of the academic year and will be reported to the Admissions Policy Committee in November of this year.</td>
<td>To continue to monitor the take up of opportunity bursaries, suggest modifications to the system and monitor the subsequent progress of students.</td>
</tr>
<tr>
<td>Administration costs: student support and access funds</td>
<td>To develop the student support aspect to outreach work so that students with potential who are identified through the raising aspirations work will provided with the advice on the financial support which may be available to them.</td>
<td>This activity will be developed in partnership with the new Widening Participation Officer who has been appointed with effect from September 2002. See section [ ] above. The responsibilities of the UG Admissions Officer have also been redefined to include responsibilities in this area.</td>
<td>To ensure that the new Widening Participation Officer, the Undergraduate Admissions Officer and the Student Support Officer work together so that students with potential who are identified through the raising aspirations work are provided with advice on the financial support that may be available to them.</td>
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<tr>
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<tr>
<td>Administration costs: student support and access funds</td>
<td>To review the administration of the Hardship Funds and to conclude the review of student support arrangements.</td>
<td>The review led to the formulation of a policy document about the organisation of student support arrangements. The College’s Welfare Committee was responsible for discussing and approving the policy.</td>
<td>To review the arrangements and procedures for issuing emergency loans to students.</td>
</tr>
<tr>
<td>Administration costs: student support and access funds</td>
<td>To continue to improve co-ordination between those administering the hardship fund, the student union and the Disabilities Office.</td>
<td>The Student Support Officer has been active in improving co-ordination between the Students Union and the Disabilities Office. All now work closely together to ensure that students are referred to the correct person and that they are aware of finances and support mechanisms available. In particular efforts have focussed on retention with, for example, students with financial difficulties being referred to the Student Adviser within the Student Union.</td>
<td>To ensure that the Student Support Officer, the Students Union and the Disabilities Office offer co-ordinated advice to potential and existing students; the latter being directed, in particular, at assisting retention.</td>
</tr>
<tr>
<td>Administration costs: student support and access funds</td>
<td>To introduce a new reporting structure so that student support forms part of the remit of the College’s Welfare Committee.</td>
<td>Student support now forms part of the remit of the College’s Welfare Committee. On-going reports are provided to this group, whilst a formal year-end report, which sets out the usage of funds in this area is submitted to the committee.</td>
<td>To provide regular progress reports about student support to the College’s Welfare Committee.</td>
</tr>
<tr>
<td>Administration costs: student support and access funds</td>
<td>To continue the initiative introduced in 2000-01 which provided targeted advice to mature students on the Hardship Fund.</td>
<td>Advice is provided to current and potential mature students on the Hardship Fund.</td>
<td>To undertake a review to identify whether there are groups, e.g. students with children, who may benefit from targeted advice about student financial support.</td>
</tr>
</tbody>
</table>
The main thrusts of the College’s Learning and Teaching Strategy can be summarised as:

- to support learning and teaching in line with the mission of the College;
- to adopt and disseminate best practice in learning and teaching throughout the College;
- to enhance the effectiveness and efficiency of teaching, including by provision of appropriate training opportunities for staff and the availability of funds to support other routes to enhancement;
- to raise awareness of the needs of the full diversity of students within the College.

The strategy sought to further these goals through using TQEF funds to enhance and support departmental/divisional developments and to strengthen central support, including through the creation of a Centre for Educational Development.

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<tr>
<td>Imperial College Centre for Educational</td>
<td>To continue to support the Imperial College Centre for Educational Development through the</td>
<td>Due to continued support the Centre (ICCED) has been able to further consolidate and enhance its activities. New workshops have been introduced and feedback is positive. ICCED provides support for several of the activities that feature in the table below.</td>
<td>Targets in this area are provided in the College’s Learning and Teaching Strategy.</td>
</tr>
<tr>
<td>Development</td>
<td>activities described below.</td>
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<tr>
<td>Educational Development Co-ordinator Scheme</td>
<td>To continue support by departments of the Educational Development Co-ordinator (EDC) scheme, to ensure that the scheme continues to prosper and offers postholders and departments worthwhile outcomes. To hold regular meetings and workshops for both LINKED and Educational Development Co-ordinators.</td>
<td>The EDCs meet regularly and also participated as a group in the QAA visit concerning degree awarding powers. Contributing to cultural change and raising interdepartmental awareness are strong motivators for EDCs, all of whom wish to continue with the role. 2001-2 saw the LINKED membership grow to 160. During the year there were five meetings, including 3 held jointly with Kingston University.</td>
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<tr>
<td>Support for ILT Membership</td>
<td>To provide support for staff wishing to join the ILT by the various routes that will be available.</td>
<td>The College has been very successful in supporting ILT membership this year with 15 new fast track members so far, and many more in the pipeline, including some applying through the accredited route.</td>
<td>These will be outlined in each institution’s response to the TQEF report, which is to be published during April 2002. There is no need to restate these here</td>
</tr>
<tr>
<td>Educational conferences</td>
<td>To continue to encourage attendance by academic staff at educational conferences, symposia and courses within the 2001/02 academic year.</td>
<td>The College has provided funds to 14 staff so far this year, totaling £9000. Take-up has been encouraged through the ICCED web site (see <a href="http://www.ad.ic.ac.uk/icced/">http://www.ad.ic.ac.uk/icced/</a>) and fliers sent to departmental administrators.</td>
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<tr>
<td>Awards for Excellence in Teaching</td>
<td>To make up to 20 awards for Excellence in Teaching including three Fellowships which carry a financial award of £1,500 each, one for Innovation, during the current session.</td>
<td>The Adjudicating Panel reviewed 29 nominations and made 20 awards, including three Fellows. Teaching Fellows will receive their award at one of the Commemoration Day degree ceremonies at the Royal Albert Hall.</td>
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<tr>
<td>Lecturer Evaluation system</td>
<td>To continue support for the new software for the Lecturer Evaluation system and to enhance this activity.</td>
<td>The College’s Division of Information and Communication Technologies is reviewing the software underpinning the electronic LEQ and will have a revised product ready for testing and implementation in the Autumn Term. A working party, which includes members of the College’s Centre for Educational Development, is reviewing the format of the questions and will complete its tasks by July 2002.</td>
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<tr>
<td>Training of students and teaching assistants</td>
<td>To ensure that departments continue to have trained staff to take responsibility for training graduate teaching assistants/postgraduate students to teach. To revise materials in light of feedback and changing needs.</td>
<td>Departments and divisions continue with this responsibility and to avail themselves of the opportunities to train new trainers as needed. The materials will undergo further substantial revision once the new faculty and graduate schools structures are in place.</td>
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<tr>
<td>Funding for Teaching innovations</td>
<td>To ensure that enthusiastic experience staff have funding to implement ambitious teaching innovations. A minimum of two and a maximum of four projects would be funded in the first year and one or two projects may be funded over two years (£40,000 maximum in total).</td>
<td>The enhanced Teaching Development Grant scheme continues to be popular. Three larger grants were awarded this year, in the areas of developing use of technology in teaching mining engineering; facilitating entrepreneurship through a multi-media experience and training staff to teach on communication skills workshops for research students.</td>
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<tr>
<td>Funding for Educational Research</td>
<td>To fund staff and students to carry out educational research specific to the context of Imperial College. A Teaching Research Grant could be used to fund a student to carry out a research project as part of the Undergraduate Research Opportunities scheme; to fund a staff member to undertake training in educational research methods; to fund (including ‘buying out’) a staff member, or employ a research assistant, to carry out a small research project etc. The scheme would be run on parallel lines to the successful TDG scheme. The number of grants awarded per annum would depend upon the quality and costs of submissions.</td>
<td>Seven applications for Teaching Research Grants were received, of which four were successful. Grant holders came from the Management School (2), Chemical Engineering and Imperial College Centre for Educational Development. Work started in the new year. A fifth grant (awarded the previous year to run over two years) is also in operation. Grant holders meet termly to discuss progress and share expertise. Earlier projects have already resulted in conference talks.</td>
<td>These will be outlined in each institution’s response to the TQEF report, which is to be published during April 2002. There is no need to restate these here</td>
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<tr>
<td>Learning Materials</td>
<td>To enhance the teaching and learning collection in the Central Library. To produce course documentation for students and provide key text. To expand the workshops and tutorials within the certificate.</td>
<td>The Library collection in educational development has been steadily and substantially enhanced with an early and supplementary list of titles being purchased this year. Approximately 100 books and 2 periodical subscriptions have been purchased this year. The College Certificate of Advanced Studies in Learning and Teaching (CASLAT) increased its enrollment to 14 staff members. Some new workshops were introduced. CASLAT was accredited by the Institute for Learning and Teaching.</td>
<td>These will be outlined in each institution’s response to the TQEF report, which is to be published during April 2002. There is no need to restate these here</td>
</tr>
<tr>
<td>Residential courses</td>
<td>To hold an overnight away course for 85% of academic representatives to prepare them better for their role. To update and produce further copies of Portfolio.</td>
<td>Due to time restrictions it was necessary to hold only a single training day. The 85% attendance target was exceeded. Restructuring meant that Portfolio was not updated.</td>
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<tr>
<td>Employability of College graduates</td>
<td>To provide continued support of the administrator to promote the employability of College graduates. To document transferable skills gained in a range of non-academic contexts, including through being officers of College clubs and societies.</td>
<td>After a delayed start (see last year) an appointment was made. The impact of the Student Activities Co-ordinator is being felt across the Union. It is anticipated that the post-holder will achieve a great deal in this area. Ongoing work is taking place to document transferable skills gained in a range of non-academic contexts.</td>
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<tr>
<td>Support for students with disabilities</td>
<td>To train ICCED staff and others to be able to deliver better training for other staff members in supporting students with disabilities, including dyslexia. To run workshops for staff e.g. for Registry and Admissions Officers and a workshop for student offices and course representatives.</td>
<td>A number of training and development activities run by external experts have taken place. Most have been involved with raising awareness. Events have included teaching ICCED staff more about dyslexia, raising awareness of disability among student officers and a session involving staff from most parts of the College to reinforce the requirements of SENDA.</td>
<td>These will be outlined in each institution’s response to the TQE3 report, which is to be published during April 2002. There is no need to restate these here.</td>
</tr>
<tr>
<td>Publications</td>
<td>To publish an internal booklet ‘Learning and Teaching Innovations at Imperial College’ to highlight the success stories from the Teaching Development Grant scheme. This will also profile the achievements of many of the grant holders in developing innovative learning and teaching and will be distributed to all academic staff.</td>
<td>This target has been amended. Print is no longer the most appropriate medium to use. ‘Learning and Teaching Innovations at Imperial College’ will be published on the ICCED web with attention drawn to it through other means. Success stories, benefits and lessons learnt are currently being collected and work to put these on the web will go on over the summer. The Teaching Research Grant scheme forms a section in this.</td>
<td></td>
</tr>
</tbody>
</table>
To promote knowledge and technology transfer to industry and the community, to maximise the value to the College and the UK of commercial exploitation of R&D carried out at Imperial College, and to provide opportunities for wider interaction between the College and industry and the community.

<table>
<thead>
<tr>
<th>Activity</th>
<th>2001-02 activities and targets</th>
<th>Progress against activities and targets</th>
<th>2002-03 targets and activities.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Higher Education Reach-out to Business and the Community (including business fellowships)</td>
<td>To reach the full complement of 4 team members and 1 administrator.</td>
<td>The full complement of staff indicated in last year's report has not been reached because the Division has been subject to review and reorganisation. However related activities carried out within relevant College service providers would approximate to the effort of this full complement.</td>
<td>To reach the full complement of 4 team members and 1 administrator.</td>
</tr>
<tr>
<td>Higher Education Reach-out to Business and the Community (including business fellowships)</td>
<td>To develop working relationships with relevant College service providers - Research Contracts Office, IC Innovations, IC Consultants, Careers Advisory Service, Centre for Continuing Education, in order to broaden the scope of interaction with industry.</td>
<td>Good working relationships have been established with the relevant College Service providers shown. Joint meetings have been held with visiting companies interested in a broad range of services. Lists of contact companies have been exchanged. Company queries have been passed on as appropriate. Business Gateway promotes the whole College and its services to all company contacts.</td>
<td>To continue to develop working relationships with relevant College service providers - Research Contracts Office, IC Innovations, IC Consultants, Careers Advisory Service, Centre for Continuing Education, in order to broaden the scope of interaction with industry.</td>
</tr>
<tr>
<td>Higher Education Reach-out to Business and the Community (including business fellowships)</td>
<td>To maintain contact with key College research leaders and learn of new research initiatives.</td>
<td>Contact has been maintained with key College research leaders to learn of new research initiatives and interests. Appropriate scientific and networking meetings have been attended.</td>
<td>To continue to maintain contact with key College research leaders and learn of new research initiatives.</td>
</tr>
<tr>
<td>Higher Education Reach-out to Business and the Community (including business fellowships)</td>
<td>To continue identifying and researching potential target companies. To continue to monitor and analyse the College’s interactions with industrial</td>
<td>Potential target companies are being continually assessed for their research and technology transfer interests and the most appropriate form of interaction with the College. Monitoring and analysis of the</td>
<td>To continue identifying and researching potential target companies. To continue to monitor and analyse the College’s interactions with industrial companies.</td>
</tr>
<tr>
<td>Activity</td>
<td>2001-02 activities and targets</td>
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<tr>
<td>Higher Education Reach-out to Business and the Community (including business fellowships)</td>
<td>To continue efforts in initiating new Strategic Alliances and Research Alliances with industrial companies of all sizes.</td>
<td>College’s interaction with industrial companies has continued and trends are being assessed and discussed. Effort has continued to initiate new Strategic and Research Alliances. An increasing number of companies have visited the College for introductory presentations and discussions and also for specific research and technology reviews. Follow-up meetings on specific areas of interest have been held and there are ongoing company discussions with the academics involved. Several of these have already resulted in new research contracts. Companies dealt with have included multinationals, SMEs, IC Spin-outs and other UK companies. New companies have been introduced to the College and old relationships have been revitalised. Collaborative projects involving multinationals, UK companies, IC Spin-outs and SMEs have been proposed for several MOD Towers of Excellence and Defence Technology Centres.</td>
<td>To continue efforts in initiating new Strategic Alliances and Research Alliances with industrial companies of all sizes.</td>
</tr>
<tr>
<td>Higher Education Reach-out to Business and the Community (including business fellowships)</td>
<td>To develop a website and publicity material by the end of 2002.</td>
<td>This has been delayed due to significant reorganisation of the Corporate and Public Affairs Dept, of which Business Gateway is part.</td>
<td>To develop a website and publicity material by the end of 2002.</td>
</tr>
<tr>
<td>Higher Education Reach-out to Business and the Community (including business fellowships)</td>
<td>To facilitate and organise company specific careers events, recruitment drives, industrial placements, CPD and training programmes, working with relevant College departments.</td>
<td>Specific careers events have been organised for several companies on request. A number of CPD and training programmes have been initiated with relevant College Departments.</td>
<td>To continue to facilitate and organise company specific careers events, recruitment drives, industrial placements, CPD and training programmes, working with relevant College departments.</td>
</tr>
<tr>
<td>Activity</td>
<td>2001-02 activities and targets</td>
<td>Progress against activities and targets</td>
<td>2002-03 targets and activities. Please read and then overwrite the comments below</td>
</tr>
<tr>
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</tr>
<tr>
<td>Higher Education Reach-out to Business and the Community (including business fellowships)</td>
<td>To initiate and coordinate any appropriate Faraday, Foresight and other LINK schemes involving industrial companies.</td>
<td>Participation in the DTI Manufacturing Molecules Initiative was initiated.</td>
<td>To continue to initiate and co-ordinate any appropriate Faraday, Foresight and other LINK schemes involving industrial companies.</td>
</tr>
<tr>
<td>Higher Education Innovation Fund</td>
<td></td>
<td>The College did not receive funding for this initiative.</td>
<td></td>
</tr>
<tr>
<td>Higher Education Active Community Fund</td>
<td>To establish a Community Action Centre in conjunction with IC Union, including the appointment of a Community Action Manager in order to generate new volunteering opportunities.</td>
<td>The Community Action Centre has been established in the IC Union and the Community Action Manager position will be advertised in July 2002. A member of staff has been appointed over the summer for eight weeks to establish a volunteer management programme. The programme will focus on the recruitment of volunteers, the training and support provided to them and rewards and accreditation for their efforts. Work has commenced in conjunction with SETPOINT London Central to identify staff and student volunteers who will be Science and Engineering Ambassadors (SEAs) as part of the Government initiative. The Volunteering in the Community Scheme was launched in June 2002. Its purpose is to inform potential volunteers, particularly in relation to the range of volunteering opportunities that are available. The Union is developing an online resource for the Community Action Centre to provide information and advice to students and staff wishing to volunteer</td>
<td>As per HEFCE Circular 02/19, targets in this area do not need to be provided.</td>
</tr>
<tr>
<td>Activity</td>
<td>2001-02 activities and targets</td>
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</tr>
<tr>
<td>Higher Education Active Community Fund</td>
<td>To support the expansion and enhancement of the Pimlico Connection Scheme for student tutoring in schools.</td>
<td>Work is in progress to expand the student tutoring scheme both within Imperial College and in partnership with other London HEIs (particularly the LSE). A student tutoring manual has been developed and launched at a Tutoring Conference at Imperial College.</td>
<td>As per HEFCE Circular 02/19, targets in this area do not need to be provided.</td>
</tr>
<tr>
<td>Higher Education Active Community Fund</td>
<td>To support a pilot eMasterclass in schools.</td>
<td>A pilot e-Masterclass in Science and Medicine will be run in July 2002 and will involve year 9 and 10 students from five schools.</td>
<td>As per HEFCE Circular 02/19, targets in this area do not need to be provided.</td>
</tr>
</tbody>
</table>
**Rewarding and developing staff in HR: please include, in this box, an overview of the key objectives of your HR strategy to set the activities in context**

The College recognises that the quality of its staff and their contribution represent its most significant asset in fulfilling its Mission. The College’s Strategic HR objectives are:
- To attract and retain key people of talent.
- To develop the potential of all staff.
- To make Imperial a ‘great place to work’.
- To manage employment related risk.
- To support the HR strategy through high-quality HR capability.

The College submitted its full Human Resource Strategy to HEFCE in June 2002. This identified seven broad themes for the establishment of Goals and Action Plans to support these Strategic HR Objectives. These address the priority areas identified by HEFCE in Circular 01/16. These seven broad themes, in no particular order of importance, are:
- Reward
- Performance and Recognition
- Development
- Culture and Communication
- Equality and Diversity
- Risk Management
- Resource and Planning

<table>
<thead>
<tr>
<th>Activity</th>
<th>2001-02 activities and targets</th>
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<tbody>
<tr>
<td>Reward</td>
<td>To offer, or re-offer, access to a pension scheme to all eligible staff not currently in the occupational schemes.</td>
<td>Activity in this area is ongoing. The College is in the process of reviewing the potential cost of offering the scheme to those not currently in occupational pension schemes. This will then be compared against other initiatives which may have the same or better effect.</td>
<td>For institutions which had full strategies approved in 2001. Those with emerging strategies should include here a cross-reference to the pages containing their 2002-03 activities and targets in their new plans.</td>
</tr>
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<tr>
<td>Reward</td>
<td>To compare jobs across the College using an appropriate role evaluation tool.</td>
<td>At the time of the emerging strategy, it was considered that HERA would be the most appropriate role evaluation tool. Following some intensive development work at the end of last year, the College agreed to base a new time and cost-effective approach around the Hay Job Evaluation methodology which establishes job families and role profiles. The College is working with a consortium of institutions on this.</td>
<td>See Goal A1, page 11.</td>
</tr>
<tr>
<td>Reward</td>
<td>To design an affordable pay structure in which reward reflects job, market and performance.</td>
<td>The College has purchased the LINK Pay Modeller technology to support the development of an affordable pay structure. A Compensation and Benefits Consultant has been engaged to provide advice about a move away from a time-served, incremental based pay system. Improvements in Academic Staff Pay have been initiated. With effect from 1 October 2001, the lower two-thirds of the lecturers’ scale was abolished and the professorial minimum raised to £42,500 (excluding London Allowance). With effect from 1 October 2002, the professorial minimum is to be raised to £45,000 whilst the lowest points for Senior Lecturers and Readers will be abolished and a new discretionary point has been added to the top of this scale.</td>
<td>See Goal A2, page 11.</td>
</tr>
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See also Page 9 and goals A3 and A5,
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<td></td>
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</tr>
<tr>
<td>Performance and Recognition</td>
<td>To collaborate with other pre-1992 universities in the initiative to agree a revised Model Statute with DfES and the Privy Council, and to revise disciplinary and capability procedures for academic staff accordingly by December 2001.</td>
<td>Revisions to the ‘Model Statute’ have been discussed; their aim being to reduce constraints on dealing with poor performance whilst at the same time safeguarding academic freedom. This will now progress through the Privy Council. For other categories of staff, the College has consulted with faculties and trade unions and implemented revised disciplinary and capability procedures.</td>
<td>See Goal B1, Page 14.</td>
</tr>
<tr>
<td>Performance and Recognition</td>
<td>To plan, for all staff groups, a performance system linking individual competencies and objectives to College objectives.</td>
<td>The College now has performance management systems in place for the Senior Management Team and Heads of Departments and Divisions and Clinical Academic staff. Consultation has taken place with the Trade Unions about new schemes to be introduced for clerical, technical, manual and NHS-related staff during 2002. Current schemes for non-clinical and academic-related staff have been reviewed.</td>
<td>See Goal B2, Page 14.</td>
</tr>
<tr>
<td>Performance and Recognition</td>
<td>To begin to extend annual appraisal and performance review to cover all staff groups based on the revised performance system and linked to the new pay structure.</td>
<td>Appraisal schemes have been redesigned to promote more effective analysis and assessment of performance and development. In essence, appraisals will now include the setting of measurable objectives and be linked to personal staff development plans. The schemes vary amongst the different categories of staff, although common approaches to identifying staff development needs and</td>
<td>See Goal B3, Page 14</td>
</tr>
<tr>
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</tr>
<tr>
<td>Performance and Recognition</td>
<td></td>
<td>assessing performance have been used.</td>
<td>See also page 12-13.</td>
</tr>
<tr>
<td>Development</td>
<td>To formulate leadership and management competencies for senior staff and to devise and support personal development plans based on these.</td>
<td>Work has continued in this area and management development remains as a key priority. The College’s Sponsored Study Policy has been re-prioritised towards management qualifications. An initiative has been launched with a focus on management development for new Heads of academic department. This will provide programmes designed exclusively to meet their individual development needs.</td>
<td>See Goal C1, page 17.</td>
</tr>
<tr>
<td>Development</td>
<td>To facilitate and support the introduction of personal development plans and career development frameworks for all staff with the first priority in 2001/02 being contract research staff and managers at all levels.</td>
<td>The reviews of appraisal and development systems detailed above which were undertaken in 2001/02 will provide the framework upon which the goal of personal development plans for all staff will be met.</td>
<td>See Goal C2, page 17.</td>
</tr>
<tr>
<td>Development</td>
<td>To increase consultancy programmes which specifically support the College HR Strategy.</td>
<td>The focus has shifted from “introducing” or “piloting” initiatives to rolling them out across the College with quantitative targets.</td>
<td>See Goal C3, page 17.</td>
</tr>
<tr>
<td>Development</td>
<td>To introduce and organise a mentoring scheme for academic and post-doctoral staff.</td>
<td>This has been introduced within the Faculty of Life Sciences and will be rolled out to the rest of the College at the end of 2002.</td>
<td>See Goal C4, page 18.</td>
</tr>
<tr>
<td>Development</td>
<td>To pilot a staff development course based on e-learning.</td>
<td>An expanded programme of activity relating to new technologies is underway. An e-learning group has been established,</td>
<td>See Goal C5, page 18.</td>
</tr>
<tr>
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<td>Development</td>
<td>For institutions which had full strategies approved in 2001. Those with emerging strategies should include here a cross-reference to the pages containing their 2002-03 activities and targets in their new plans.</td>
<td>led by a Dean, to determine strategic initiatives that will assist faculties in developing staff expertise in using new technology in teaching.</td>
<td></td>
</tr>
<tr>
<td>Culture and Communication</td>
<td>To manage the implementation of the new Faculty structure, realignment of support services and the consequent change process.</td>
<td>The College’s revised organisation structure is now largely implemented with support services in place and is on target to be declared fully operational on 1 August 2002. The dissemination of information to staff is now much improved.</td>
<td></td>
</tr>
<tr>
<td>Culture and Communication</td>
<td>To implement an annual staff survey.</td>
<td>Following a review, the College agreed that a staff survey would be commissioned at an appropriate time when the current diversity and stress audits have taken place and following two full years of the new faculty structure. Exit interviews and questionnaires have been introduced - the rate of return is around the national average but strategies to improve the return rate are being devised.</td>
<td>See Goal D2, page 22.</td>
</tr>
<tr>
<td>Culture and Communication</td>
<td>To undertake a full equality audit to identify key requirements for change and make recommendations and to initiate an action plan based on these findings.</td>
<td>An equality and diversity audit has been underpinned by individual staff interviews, focus groups and a pilot questionnaire using a cross-section of staff prior to the full audit. A College-wide group has been formed to contribute</td>
<td>See Goal E1, page 26.</td>
</tr>
</tbody>
</table>

See also page 20, and goals D3 and D4, page 22.
<table>
<thead>
<tr>
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<tbody>
<tr>
<td>Equality and Diversity</td>
<td>To ensure that existing staff involved in selection interviewing have undertaken recruitment and selection training and that equality and diversity issues are included as an integral part of management development programmes.</td>
<td>While there has been progress, this remains a clear aim and the findings of the comprehensive qualitative and quantitative audit of staff will feed into this.</td>
<td>See Goal E3, page 26.</td>
</tr>
<tr>
<td>Equality and Diversity</td>
<td>To consolidate the monitoring of application and appointment statistics with respect to ethnic group, gender and disability.</td>
<td>From the beginning of 2002, all recruitment activity has been subject to full diversity monitoring. Data collection, particularly in recruitment and training, has been improved.</td>
<td>See goal E4, page 27.</td>
</tr>
<tr>
<td>Equality and Diversity</td>
<td></td>
<td></td>
<td>See also pages 23-24 and goals E2, E5, E6 and E7, pages 26-27.</td>
</tr>
<tr>
<td>Risk Management</td>
<td>To continue to develop an HR agreement with associated NHS Trusts so that a Memorandum of Understanding between the College and the Trusts is in place by August 2002.</td>
<td>Discussions are taking place with HR colleagues at the relevant NHS Trusts. Progress is on target to develop the Memorandum of Understanding in respect of staff who are College employees but who report to Trust management for their day-to-day operational activities by December 2002.</td>
<td>See Goal F1, page 30.</td>
</tr>
<tr>
<td>Risk Management</td>
<td>To review existing staff support and consider the establishment of an Employee Support Programme.</td>
<td>The College has reviewed the level of staff support provision and has instituted an employee support programme. The College is participating in the</td>
<td>See goals F3 and F4, page 30.</td>
</tr>
<tr>
<td>Activity</td>
<td>2001-02 activities and targets</td>
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<td>Risk Management</td>
<td></td>
<td></td>
<td>For institutions which had full strategies approved in 2001. Those with emerging strategies should include here a cross-reference to the pages containing their 2002-03 activities and targets in their new plans</td>
</tr>
<tr>
<td>Resource and Planning</td>
<td>To make progress towards the consolidation of ICIS (HR), implement the planned upgrade to version 11i and to incorporate the use of workflow and devolved access into HR processes by December 2002.</td>
<td>Work on implementation and testing of the upgraded software began in mid-2001 and the upgraded system was ready for use in May 2002. Work is now in progress to refine its use still further to improve functionality. It is hoped that a ‘self-service’ element will be introduced and training and support for users will be increased.</td>
<td>See also page 29 and goal F2, page 30.</td>
</tr>
<tr>
<td>Resource and Planning</td>
<td>A radical restructuring of the HR Division took place following the appointment of the new Director of Human Resources, Mr Chris Gosling, in September 2001. The chief outcome has been to separate the operational activities and administrative support services carried out by the Division from the centralised College-wide initiatives and longer-term strategic thinking. This has enabled the Division to respond to the emerging Faculty Structure by the appointment of specific HR Managers and to enable the Deputy HR Director to focus on important strategic goals. These changes have been supported by the creation of a number of additional posts within the HR Division.</td>
<td>This formed part of the review of the</td>
<td>See goal G2, page 32.</td>
</tr>
<tr>
<td>Resource and Planning</td>
<td>To review HR capability</td>
<td></td>
<td>See goal G3, page 32.</td>
</tr>
<tr>
<td>Activity</td>
<td>2001-02 activities and targets</td>
<td>Progress against activities and targets</td>
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<td></td>
<td>requirements and structure and implement any required changes.</td>
<td>organisation of the HR Division detailed above. The College has consulted with the HR Customer Focus Group and identified the following areas for priority review and measurement of performance: advertising, recruitment and selection, issue of contracts of employment, management information, payroll charging amendments, recording of College activity in respect of employment tribunals as well as guidance on employment law and college policy.</td>
<td>For institutions which had full strategies approved in 2001. Those with emerging strategies should include here a cross-reference to the pages containing their 2002-03 activities and targets in their new plans.</td>
</tr>
<tr>
<td>Resource and Planning</td>
<td></td>
<td></td>
<td>See also page 31.</td>
</tr>
</tbody>
</table>
# Programme of “Raising Aspirations” Widening Participation Activities for 2001-2002

<table>
<thead>
<tr>
<th>Activity</th>
<th>Target Age Group</th>
<th>Target Number of Students/Teachers from EIC or EAZ areas in 2001-2002</th>
<th>Progress Against Targets</th>
<th>Target Number of Students/Teachers from EIC or EAZ areas in 2002-2003</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Year 6/7/ Gifted and Talented Summer School (7 days)</td>
<td>Years 6/7</td>
<td>60</td>
<td>Recruitment on target event commences 19/8/02</td>
</tr>
<tr>
<td>2</td>
<td>‘Technogames’ Robotics Workshop (1 day) 20 September 2001</td>
<td>Years 5-13</td>
<td>300</td>
<td>300 recruited, 180 participated due to aftermath of September 11th. Target ultimately achieved through robotics workshops in Lewisham</td>
</tr>
<tr>
<td>3</td>
<td>Year 8/9 Gifted &amp; Talented Summer School (5 days)</td>
<td>Years 8/9</td>
<td>60</td>
<td>Recruitment on target, event commences 15/7/02</td>
</tr>
<tr>
<td>4</td>
<td>GETSET (Girls Entering Tomorrow’s Science, Engineering &amp; Technology)- (1 day) 19 April 2002</td>
<td>Year 9</td>
<td>200</td>
<td>175 participants, target will be reached by additional event in summer</td>
</tr>
<tr>
<td>5</td>
<td>BETSET (Boys Entering Tomorrow’s Science Engineering &amp; Technology)- (1 day) 19 April 2002</td>
<td>Year 9</td>
<td>200</td>
<td>175 participants as above</td>
</tr>
<tr>
<td>6</td>
<td>Year 11 Summer School (Residential) - 1 week</td>
<td>Year 11</td>
<td>80</td>
<td>Recruitment on target, event commences 8/7/02</td>
</tr>
<tr>
<td>Activity</td>
<td>Target Age Group</td>
<td>Target Number of Students/Teachers from EIC or EAZ areas in 2001-2002</td>
<td>Progress Against Targets</td>
<td>Target Number of Students/Teachers from EIC or EAZ areas in 2002-2003</td>
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</tr>
<tr>
<td>7</td>
<td>Masterclasses in Science &amp; Engineering (Residential) - 2 weeks</td>
<td>Year 12 80</td>
<td>Recruitment on target, event commences 30/6/02</td>
<td>100</td>
</tr>
<tr>
<td>8</td>
<td>WISE (Women into Science &amp; Engineering) Residential - (2 days)</td>
<td>Year 12 175</td>
<td>Recruitment on target, event commences 2/7/02</td>
<td>200</td>
</tr>
<tr>
<td>9</td>
<td>Pimlico Connection Student Tutoring Scheme</td>
<td>Years 5-12 25,300</td>
<td>Important note. This figure refers to contact days not student numbers. Student numbers target was 2500. Actual numbers were 3000</td>
<td>3500 students</td>
</tr>
<tr>
<td>10</td>
<td>Demonstration Lectures</td>
<td>Years 5-12 25,000</td>
<td>On target</td>
<td>30,000</td>
</tr>
<tr>
<td>11</td>
<td>Science and IT for Teachers course</td>
<td>Teachers 10</td>
<td>This course was not run due to low take up numbers. However alternative took place.</td>
<td>This course will run provided there is sufficient interest</td>
</tr>
<tr>
<td>12</td>
<td>Masterclasses in Demonstration Lectures for Teachers 30 May 2002</td>
<td>Teachers 20</td>
<td>30 Teachers have been trained in the use of demos during an INSET day</td>
<td>30</td>
</tr>
<tr>
<td>13</td>
<td>Residential Summer School for FE students (100) in conjunction with the IC METRIC programme and the Sutton Trust</td>
<td>FE Students</td>
<td></td>
<td>100</td>
</tr>
<tr>
<td>14</td>
<td>Advanced Extension Award Masterclasses for Year 13 Students</td>
<td>Year 13</td>
<td></td>
<td>150</td>
</tr>
<tr>
<td>Activity</td>
<td>Target Age Group</td>
<td>Target Number of Students/Teachers from EIC or EAZ areas in 2001-2002</td>
<td>Progress Against Targets</td>
<td>Target Number of Students/Teachers from EIC or EAZ areas in 2002-2003</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>------------------</td>
<td>------------------------------------------------------------------------</td>
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<td>-----------------------------------------------------------------------</td>
</tr>
<tr>
<td>Masterclass for Year 5 students</td>
<td>Year 5</td>
<td></td>
<td></td>
<td>30</td>
</tr>
<tr>
<td>Music, Science and Technology workshops for different year groups in conjunction with Sinfonia21</td>
<td>All</td>
<td></td>
<td></td>
<td>100</td>
</tr>
<tr>
<td>Year 12 Curriculum Review Day in conjunction with the Science Museum</td>
<td>Year 12</td>
<td></td>
<td></td>
<td>80</td>
</tr>
<tr>
<td>Residential Summer School for Year 10 students from the North-East</td>
<td>Year 10</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
1. During the course of this year, it has become clear that the terms of reference and membership of the Athletics Committee, the Estates Committee and the Governance Committee were in need of review.

ATHLETICS COMMITTEE

2. For some time there has been a concern that the Athletics Committee has been overly involved with the minutiae of the management of the College’s sports facilities. As a Committee of the Council it should be taking a more strategic overview of these facilities and should, for example, be taking a lead in developing the College’s strategy for the rationalisation of its sports grounds. As presently constituted the Athletics Committee also includes a higher proportion of student and staff members than lay members of the Court and/or Council. It is felt that this imbalance in its membership contributes to its concentration on management issues and would potentially inhibit it if it was to fulfil this more strategic role.

3. It is therefore proposed to reduce the membership of the Committee and to emphasise its strategic role in its terms of reference. In order to ensure that the management of the College’s sports facilities are still monitored by their staff and student users, it is also proposed to establish a new Rector’s Committee entitled the Central Sport and Leisure Advisory Group. It is intended that this Group will provide regular reports to the Athletics Committee.

ESTATES COMMITTEE

4. Although the Estates Committee, under the Chairmanship of Sir Stuart Lipton, has provided the College with much useful advice about its building programme, its former role in the approval of capital works projects has now largely been taken over by the new Finance Committee. Since Sir Stuart’s last term of office as a member of the Council and as the Chairman of the Estates Committee ended on 1 July 2002, it seemed an appropriate time to consider whether the Estates Committee should continue in its present form.

5. It is now proposed that the Estates Committee should be disbanded and its remaining responsibilities for monitoring capital projects transferred to the Finance Committee. At the same time, it is proposed to establish a new advisory committee to the Rector, the Property Advisory Committee, to be chaired by Sir Alastair Morton.
GOVERNANCE COMMITTEE

6. When the Governance Committee was first established, it was hoped that it would seldom have to meet. In the event, the Governance Committee has had to meet frequently and, since its creation, it has conducted a review of the effectiveness of the Council, proposed new and revised regulations and prepared the introduction of a new Finance Committee. Furthermore, with the increasing demands made on governance through the introduction of, for example, the need to comply with the Turnbull and Combined Code recommendations on Corporate Governance, it is likely that the Committee will have to continue to meet regularly in order to consider issues referred to it by the Chairman.

7. It is therefore proposed to retitle the Governance Committee as the Chairman’s Committee and to widen both its terms of reference and its membership. It is also proposed that the Committee should have the option to co-opt additional members to assist it in considering specific issues.

8. The proposed revisions to the Terms of Reference of the Council Committees are attached at Annex A to this Paper with new wording in italics and deletions struck out. These amendments have been endorsed by the Governance Committee and the Council is invited to consider, and if it sees fit, approve them.

KAM.
ATHLETICS COMMITTEE

Terms of Reference:

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

(ii) To keep under review the College provision and operation of facilities for recreation and sport. The facilities deemed to fall within the Committee’s remit shall be as agreed by the Council from time to time.

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

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

Constitution:

Three lay members of the Court appointed by the Council, one of whom shall be Chairman
One of the Principals of the Faculties, to be appointed by the Council
A Chairman to be appointed by the Council
Up to five members appointed by the Council from among the lay members of the Court or from the College staff
A representative of the School of Medicine
Four members to be appointed by the Imperial College Union Athletic Clubs Committee and drawn from student athletic clubs, of whom at least one should be a woman and one a representative of the School of Medicine.
The Imperial College Union (ICU) President
The ICU Deputy President (Clubs and Societies)

Ex officio:
The Rector
The Pro Rector (Educational Quality)
The Chairman of the sports users advisory groups
The Chairman of the Boathouse Management Committee
The President of Imperial College Union
The Chairman of the Imperial College Union Athletic Clubs Committee
The Senior Treasurer of the Imperial College Union Athletic Clubs Committee

In attendance:
The College Secretary
The Director of Estates
The Sport and Leisure Manager

Secretary:
The Sport and Leisure Manager
The Assistant to the Head of Central Secretariat
Present Membership:

Dr M P Knight (Chairman)
Mr David Elleray
Mr M C Black
ICU President
ICU Deputy President (Clubs and Societies)
The Rector
Professor R D Rawlings

Professor P S Sever (ICSM)
Dr D J Galley (Chairman, Boathouse Management Committee)
Professor R D Rawlings, (Chairman, Outdoor Users Advisory Group)
Dr D Chadwick, Advisory Group, (Chairman, Indoor Users Advisory Group).
One vacancy

Meetings and Reporting:

The Committee shall normally meet at least once a term and shall report annually to the Council at the Council's Meeting in May.

Quorum:

The quorum shall be the Chairman or Deputy Chairman and four other members including the Chairman and one other lay member.

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 receive any relevant reports from the National Audit Office, the HEFCE and other organisations.

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

(ix) 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.

(x) 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:**

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

Three members with appropriate expertise to be appointed by the Council from among the lay 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
Ms D Griffiths

**Meetings and Reporting:**

The Committee shall meet not less than three times a year 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 other members.

**ESTATES COMMITTEE**

**Terms of Reference:**

(i) To keep under review and advise the Council on all matters related to planning for the maintenance and development of the College estate and on the provision and use of buildings and plant.

(ii) To advise the Council on the implications for the College’s Estates of proposals for the acquisition and disposal of property and land.

(iii) To review the College’s Estates Development Plan and monitor progress in its implementation taking such professional advice as may be necessary.

(iv) To monitor the setting and maintenance of appropriate standards for the Estate as a whole.

(v) To monitor the execution of any major capital or minor works project.

(vi) To be available for consultation by College officers conducting negotiations with local and statutory authorities and other interested parties in connection with the physical development of the College.

(vii) To exercise such other monitoring and advisory duties in connection with the College’s estate as may be delegated to the Committee by the Council from time to time.

**Constitution:**

Five lay members of the Court appointed by the Council, one of whom shall be Chairman and one the Deputy Chairman of the Committee
A Dean nominated by the Rector
A Head of Department nominated by the Rector
The Committee shall have the power to co-opt up to three additional members

*Ex officio*

The Rector or Deputy Rector
The Pro-Rector (Resources)
The President of Imperial College Union.

*In attendance:*

The Pro Rector (Projects)
The Director of Estates
The Estates Manager
The Assistant Director of Estates (Medicine)

*Secretary:*
Head of Central Secretariat and Assistant Clerk to the Court and Council
Present Membership:

Sir Stuart Lipton (Chairman)
Mr D R Hattersley
Mr S R Ward
Mr S de Grey
Mr D Trench
The Rector
Professor D Norburn
Professor J Buckingham
President ICU

Meetings and Reporting:

The Committee shall meet at least once a term and shall report annually to the Council at the Council’s Meeting in June.

Quorum:

The quorum shall be the Chairman or Deputy Chairman and three other members of the Committee.

FELLOWSHIPS COMMITTEE

Terms of Reference:

To receive nominations and to make recommendations to the Council in respect of the elections to the Fellowship and Associateship of Imperial College and for the conferment of honorary degrees.

Constitution:

The Rector (Chairman)
Four lay members of the Court nominated by the Council

Ex officio:
The Deputy Rector
The Deans of the Constituent Colleges
The Deans of the Imperial College School of Medicine
The Principal of the Imperial College School of Medicine
The Staff Orator.

Secretary:
The Clerk to the Council

Present Lay Membership:

Mr G Able
Dr E Buttle
Dame Rosemary Spencer (succeeding the Hon Mrs Sara Morrison)
Dr C L Vaughan
Meetings and Reporting:

The Committee shall meet at least annually and shall report to the Council at the Council’s Meeting in November.

Quorum:

The quorum shall be seven members, of whom no fewer than two are lay members.

FINANCE COMMITTEE

Terms of Reference:

(i) To advise the Council on the College’s Strategic Plan and its implications for the College’s financial wellbeing, with particular reference to the maintenance and enhancement of the College’s financial viability and the financial implications of major College capital investment projects.

(ii) To review the financial, physical and human resources available to the College each year and to recommend the Annual Budget to the Council.

(iii) To have general oversight of the finances of the College, to ensure that expenditure incurred has been properly authorised, and to make recommendations to Council on any related matters.

(iv) To review the College’s Annual Financial Statements prior to their submission to the Audit Committee and then to the Council for approval.

(v) On the basis of advice from the Estates Committee, to consider proposals for major capital projects estimated to cost in excess of an agreed amount (currently £1M) and to make recommendations to Council.

(vi) To monitor the execution of major capital projects and to make recommendations to the Council on variations in capital project budgets.

(vii) To make recommendations to the Council on the acquisition and disposal of property.

(viii) To receive regular reports on the allocation of borrowing to specific projects and to recommend to Council any variance in the terms of the borrowing arrangements or in the total value of the borrowing.

Constitution:

The Honorary Treasurer (Chairman)
Three lay members of the Council, appointed by the Council.
One of the elected academic staff members of the Council

Ex-officio
The Rector
The Deputy Rector

In attendance
College Secretary
Director of Finance
Director of Estates

Secretary
Appointed by the Director of Finance

Membership:
Dr M P Knight (Chairman)
Dr Eileen Buttle (succeeding the Hon Mrs Sara Morrison)
Mr R J Margetts
Dr B G Smith
Professor J S Higgins
The Rector
The Deputy Rector

Meetings and Reporting:
The Committee shall meet not less than three times a year and shall report to the Council after each of its meetings.

Quorum:
The Quorum shall be the Chairman and two other members.

GOVERNANCE CHAIRMAN’S COMMITTEE

Terms of Reference:
(i) From time to time to consider recommendations and guidance on good practice in Governance, in particular that published by bodies external to the College, and to make recommendations on their implementation within the College.

(ii) To make recommendations on the periodic review of the effectiveness of the Governing Body.

(iii) To review and report on such matters as directed by the Chairman from time to time

(iv) To keep under review the independence of the Clerk to the Court and Council and to advise the Council accordingly.

Constitution:
A Chairman to be appointed by the Council from among the lay members of the Council
One lay member of the Court nominated appointed by the Council
One of the Senior Staff members of the Council nominated by the Council
One of the elected academic staff members of the Council
The ICU President
The Committee shall have the power to co-opt up to three additional members

In attendance:
The Assistant Clerk to the Court and Council

Secretary:
The Clerk to the Court and Council

Present Membership:

Dr Eileen Buttle (Chairman) (succeeding the Hon Mrs Sara Morrison)
Mr H B Lowe
ICU President
Professor P Bearman
Two vacancies

Meetings and Reporting:
The Committee shall meet as and when required:

Quorum:
The quorum shall be the Chairman and one other member.

HEALTH & SAFETY AUDIT COMMITTEE

Terms of Reference:

(i) To keep under review the College’s compliance with health and safety legislation.
(ii) To keep under review the effectiveness of, and compliance with, the College's Health and Safety Policy and associated procedures.

Constitution:

Six lay members of the Court appointed by the Council at least one of whom shall be a member of the Council.
A Chairman and Deputy Chairman will be appointed by the Council from among the members.

In attendance:
The Rector
Chairman, Health and Safety Council or nominee
Safety Director
Director of Occupational Health Services

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

Eur Ing A D Roche (Chairman)
Dr J D G Groom
Ms C L Chothia
Dr D Giachardi
Professor R Himsworth
Professor D Jeffries

Meetings and Reporting:

The Committee shall meet not less than three times a year and shall provide a report to the Council after each of its meetings.

Quorum:

The quorum shall be the Chairman or Deputy Chairman and two other lay member.

HOUSE COMMITTEE

Terms of Reference:

(i) To advise the Council on, and monitor the implementation of, College policy for the provision and use of social, residential, catering and other self-financing non-academic facilities of the College, other than those monitored by the Athletics Committee, and to receive the appropriate reports. The facilities deemed to fall within the Committee’s remit shall be as agreed by the Council from time to time.

(ii) To receive all proposed applications for new liquor licences, renewal of existing licences and changes of licensees of College-managed bars and, if thought fit, to permit their submission to the Authorities.

Constitution:

Four lay members of the Court appointed by the Council, of whom two shall be Chairman and Deputy Chairman
A Hall Warden representative, elected by Fellow Wardens
Two representatives of the Imperial College Union.

Ex officio:
The Rector
Pro-Rector (Educational Quality)
The Chairman, Catering and Conferences Management Board
The Chairman, Rector’s Committee on Student Residences
The Chairman, Advisory Group on Catering and Bars
The Chairman, Holland Club
The Chairman, Academic Staff Assembly

In attendance:
The College Secretary
The Director of Estates
The Head of Catering and Conference Services
The Business Accountant
The Manager of the Imperial College Union
The Residences Manager
By invitation, such other officers and officials as required by the business of the Committee

Secretary:
The Assistant to the Head of Central Secretariat

Present Lay Membership:
Cllr J Corbet-Singleton (Chairman)
Mr M C Black
Dr D Britton
Cllr A Mallinson
Dr C Vaughan

Meetings and Reporting:
The Committee shall meet not less than once a term and shall report annually to the Council at the Council’s Meeting in February.

Quorum:
The quorum shall be the Chairman or Deputy Chairman and five other members.

INVESTMENTS COMMITTEE

Terms of Reference:

(i) To determine College policy on investments in respect of general and specific funds and other funds of which the Council acts as Trustee, within such powers as are granted by Charter or Statute or otherwise.

(ii) To appoint investment advisers or investment managers and to fix annually the total return targets for College funds.

(iii) To review the progress and performance of all invested College funds (except for those invested in College subsidiary or related companies), fixed interest stocks and money-market deposits, by reference to appropriate market indicators.

Constitution:
Chairman: a lay member of the Court appointed by the Council
Three other lay members appointed by the Council, normally to be members of the Court.

Ex officio:
The Rector.

In attendance:
The Director of Finance
Secretary:
Group Accountant, Finance Division

Present Membership:
Dr M P Knight  (Chairman)
Mr S Leathes
Mr W A Manson
Mr I E Linaker

Meetings and Reporting:
The Committee shall meet not less than twice a year and shall report annually to the Council at the Council’s Meeting in November.

Quorum:
The quorum shall be two lay members.

NOMINATIONS COMMITTEE

Terms of Reference:
(i) To recommend to the Council the appointment of persons nominated for membership of the Court by the Appointing Bodies.
(ii) To recommend to the Council persons for nomination by those Appointing Bodies requesting nominations to be made for them.
(iii) To recommend to the Council persons for co-option to the Court.
(iv) To recommend to the Council external members for co-option to the Council.
(v) 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.
(vi) To review annually the procedures for the election of Elected Members to the Court, the Council and the Senate.
(vii) To keep under review the membership of the Court, the Council and the Senate.

Constitution:
Chairman of the Council
Three Lay Members of the Council
A Dean nominated by the Rector
An Elected Member of the Academic Staff
Ex officio
The Rector

Secretary:
The Clerk to the Council

Present Membership:

Lord Vincent (Chairman)
Dr C L Vaughan
Miss Judith Mayhew (succeeding the Hon Mrs Sara Morrison)
Professor C L Hankin
Professor S P F Hughes

Meetings and Reporting:
The Committee shall meet not less than once annually and shall report to the Council at the Council’s Meeting in March.

Quorum:
The quorum shall be the Chairman or Rector and three members.

REMUNERATION 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 Executive Committee concerning the salaries and other emoluments of professorial and such other senior staff as may, from time to time, be agreed.”

Constitution:
The Chairman of the Council (Chairman)
Three lay members of the Court (one of whom shall be the Honorary Treasurer), appointed by the Council

In attendance:
The Rector (except for his own position).

Secretary:
The Director of Personnel

Present Lay Membership:

Lord Vincent (Chairman)
Dr M P Knight
Sir Alastair Morton (succeeding the Hon Mrs Sara Morrison)
Mr A R F Buxton

Meetings and Reporting:

The Committee shall meet not less than once annually and shall report to the Council at the Council’s Meeting in October.

Quorum:

The quorum shall be the Chairman and the Honorary Treasurer.
1. The Financial Regulations require revision in order to reflect the recent changes to the College’s organisational structure, and in particular the introduction of Faculties. The opportunity has also been taken to incorporate other minor amendments, mostly resulting from recent internal audit reviews.

2. Proposed changes are marked in the text at Annex A. The Audit Committee has considered these in detail and has recommended that they be approved.

3. The principal changes are concerned with the delegation of powers and responsibilities. When published, the new Regulations will be accompanied by an organisational chart for the entire College, which will show the way in which budgetary and managerial authority passes down from the Rector through different routes, according to type of activity. The published text will also incorporate pointers to other relevant internal rules and procedures.

4. The Council is invited to consider, and if thinks fit, approve the revisions to the Financial Regulations.

A.S.D. Cannon
Regulation B1: Financial Regulations

Regulations made by the Council of the College pursuant to Statute 4(5)(e)

PREAMBLE

1. These Financial Regulations set out responsibilities for finance within the College. It is the duty of all those who deal with financial matters on the College’s behalf to observe them.

2. These Regulations apply to all assets belonging to the College and to all monies vested in College banking accounts unless explicit agreement to the contrary has been reached with the Director of Finance.

3. More detailed instructions and procedure notes relating to specific areas of financial administration may be issued from time to time by the Director of Finance or, on matters within their areas of responsibility, by other College Officers. Such instructions and procedures supplement these Regulations, and in the event of conflict these Financial Regulations shall prevail.

4. Breach of these Financial Regulations may result in disciplinary action being taken against the person concerned under the terms of their employment contract with the College, or, in the case of students, under the College Disciplinary Procedure.

5. Under Agreements reached with certain hospitals, research councils and other associated bodies, employees of those organisations are given powers and responsibilities for monies belonging to the College. Such people are granted honorary status at Imperial College and are bound by these Regulations exactly as if they were staff of the College. Their main employers have undertaken to invoke their own disciplinary procedures, at the College’s request, in the event that these Regulations are breached by their employees. (see footnote 1) [a reference to a list of such bodies will appear here]

6. These Financial Regulations may be amended only on the authority of the Council.

7. It is the responsibility of Heads of Department to ensure that their staff are made aware of the existence and content of these Financial Regulations and that an adequate number of copies are available for reference. [text moved from old Regulation 8(2)]

DEFINITIONS

(7) In these Regulations, unless the context requires otherwise, references to "Department" and "Departments" shall also include "Division" and "Divisions".
8. **Words defined in the College’s Royal Charter or Statutes** shall, unless the context requires otherwise, bear the same meaning in these Regulations.

9. **In these Regulations, the expression “Department”** shall, wherever the context admits, encompass faculties, divisions, departments, centres, units and other subordinate organisational units within the College, by whatever name they are known.

10. **Words signifying the masculine gender** shall include the feminine.

11. **The expression “Director of Finance”** refers to the College’s Director of Finance, reporting directly to the Rector and referred to in Regulation 39, as opposed to any Departmental officers with a similar designation.

12. **HEFCE means the Higher Education Funding Council for England.**

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**LEGAL NAME AND ADDRESS: USE OF COLLEGE NAME, CREST AND LETTER HEADINGS**

13. **The full and correct legal name of the College is the “Imperial College of Science, Technology and Medicine.”** The constituent colleges, academic departments, centres and units have no independent existence as legal entities, though it is perfectly acceptable to use their names on letter headings etc., providing that the College’s full legal name appears somewhere on any document which seeks to establish a contractual relationship with an outside party.

14. **The words "Imperial College" and “Imperial College of Science, Technology and Medicine” are a registered trade marks, and its The College crest is granted by the College of Heralds and is also a registered trade mark.** They can only be used only with the College’s prior written consent. The name and/or crest may be used routinely and without formality in connection with the academic work of College Departments. The College’s prior written consent to the use of the words must be obtained whenever it is proposed to use the words "Imperial College" (either alone or as part of a longer name), and/or the crest, for any commercial purpose where the income does not accrue to the College, or for any social purpose. Applications should be addressed to the College Secretary.

15. **By virtue of Section 10 of the Imperial College Act 1997, and Section 10 of the Imperial College Act 1999, the following names may not be used without the College’s prior written consent:**
   
   a. National Heart and Lung Institute.
   b. Charing Cross and Westminster Medical School.
   c. Royal Postgraduate Medical School.
   d. Wye College
   e. The College of St. Gregory and St. Martin at Wye

16. **Members of the College, staff and persons with honorary status must ensure that nothing contained in correspondence using College headed notepaper has the effect of accidentally creating a contractual commitment in advance of the issue of an official College**
order (or similar document). See also Appendix A to these Financial Regulations, concerning limits of authority, and Regulations 124-129, concerning private work.

17. The College has no registered office as such. The address for the delivery of legal documents is:

   Sherfield Building  
   Exhibition Road  
   South Kensington  
   London SW7 2AZ  

18. Such documents should be marked for the attention of the College Secretary or the Director of Finance.

19. All subsidiary companies shall have the Sherfield Building as their registered office, except where otherwise agreed by the College Audit Committee.

20. The College’s address must not be used for the conduct of private business or as an office for social organisations, except with the College’s written consent. It must not be used as the Registered Office for limited companies, or as the registration address for VAT or income tax matters, without the written consent of the Director of Finance.

**CHARITABLE STATUS**

21. The College is an exempt charity (not a registered charity) by virtue of the Exempt Charities Order 1962, and the Second Schedule to the Charities Act 1993. This means that the College enjoys all the privileges of charitable status (including exemption from income and corporation tax on its activities to the extent that they are in support of its primary purposes) without the obligation to register with, or submit accounts and annual returns to, the Charity Commissioners.

22. As an Exempt Charity, the College has no charity registration number.

**SUBSIDIARY COMPANIES**

23. Amongst the powers conferred by the Royal Charter and by the Imperial College Act 1997 is that of investing in stocks and shares in limited companies. The College has established several subsidiary companies as vehicles for carrying out commercial activities.

24. These Financial Regulations shall apply to the financial affairs of the subsidiary companies, except in so far that their Memoranda and Articles of Association require otherwise, or where special arrangements have been agreed by the College’s Audit Committee.

25. Directors of subsidiary companies shall be appointed by (and may be removed by) the Rector, and shall act for such periods as the Rector may determine. Where the College has the right to nominate a director to the board of any company, such director shall be appointed by the Rector.
26. The College’s representative at shareholder meetings shall be appointed by the Rector, and shall exercise voting powers in accordance with directions given by the Rector.

27. Auditors of subsidiary companies shall be nominated by the College’s Audit Committee.

28. The financial year-end of subsidiaries shall coincide with that of the College unless otherwise agreed by the College Audit Committee.

29. Subsidiary companies must provide the College’s Director of Finance with such budgetary and other financial information concerning the conduct of their business as he may from time to time require.

**COLLEGE ACTING AS AN AGENT**

30. Any work undertaken by the College acting as agent on behalf of others is also subject to these Financial Regulations. Where an outside body wishes to impose requirements which would lead to a contravention of these Regulations the approval of the Director of Finance must be obtained before any contract is signed or undertaking given. The Director of Finance shall, if he considers it necessary, require the proposal to be reported to the Audit Committee or to the Council before it is put into effect.

**THE STUDENTS’ UNION**

31. Under the Education Act 1994, the Students’ Union is responsible to the Council for the proper expenditure of funds allocated to it. Its accounts must be presented annually to the Audit Committee. Its budgets are reviewed and monitored on behalf of the Council by the Honorary Senior Treasurer, whose appointment is subject to approval by the Rector.

32. These Financial Regulations do not apply to the Students’ Union, except insofar as they may have been incorporated in their own constitution and financial regulations, which are themselves subject to approval by the Council.

**THE RECTOR**

33. The Rector is responsible for the proper management of the College, including its organisation and administration, and for financial matters. He is the Principal Accounting Officer for the purposes of the Memorandum of Understanding with the HEFCE.

**ORGANISATION OF THE COLLEGE**

34. The academic and administrative organisation of the College into faculties, divisions, departments, centres and units is determined by the Rector. Changes to the organisational structure are announced by College Notice. (1)

1. The current organisational structure is viewable on Intrinsic at...
7. The Director of Finance

(1) The Director of Finance is responsible directly to the Rector for the organisation and control of the central Finance Division, for day-to-day operational management of the College’s financial activities and resources, and for provision of financial information for management and planning purposes. [Moved to Regulation 39]

8. Heads of Department

(1) Heads of Department are responsible to the Rector for financial management in their areas and must act in accordance with their Memorandum of Understanding (MoU). A listing of staff who have this responsibility will be presented to the Audit Committee annually.

(2) It is the responsibility of Heads of Department to ensure that their staff are made aware of the existence and content of these Financial Regulations and that an adequate number of copies are available for reference. [Moved to Regulation 7]

BUDGET HOLDERS

35. Budget Holders are responsible, under powers devolved directly or indirectly from the Rector, for discrete areas of College income and expenditure. Unless prevented by the terms of their delegated authority, or by restrictions imposed from outside College (e.g. by HEFCE or sponsors), they may transfer funds freely within the area of their budgetary responsibility, provided that the overall integrity of their financial control is maintained. The meaning of the expression “Budget Holder” depends upon the person’s role in the College. For example, the Principal of a Faculty is Budget Holder for every account within that Faculty. A Head of Department is Budget Holder for all accounts within his Department, and the Principal Investigator for a Research Project is responsible for budgets relating to that project. In every case, the Budget Holder is answerable to his line manager, Head of Department, for financial control of his budgets, in accordance with directions given from time to time by their Head of Department, unless they are themselves Heads of Department, in which case they are answerable directly to the Rector. If any Budget Holder is uncertain of his line of accountability, he must inform the Director of Finance at once.

36. The Finance Director shall maintain records of all Budget Holders and the limits of their delegated authority. It is the responsibility of all Budget Holders to notify the Director of Finance of any changes required to budgetary authorities within their control.

10. Limits of Authority (see footnote 2)

(1) Legal documents shall be signed (and where necessary have the College’s corporate seal applied) only in accordance with delegated authority conferred by the Council. [Duplicates Regulation 86]
Contractual commitments in the College’s name shall be entered into only in accordance with delegated authority conferred by the Council. [See new Regulation 37].

Cheques and other instruments drawn on College bank accounts shall be signed only in accordance with the mandate approved by the Council. [Moved to Regulation 55]

DELEGATION OF POWERS AND RESPONSIBILITIES

37. The following principles apply to all delegated authorities within the College:

a. In a few instances, which are clearly indicated in these Financial Regulations, the person designated to fulfil a particular function is required to fulfil the responsibility personally. In such cases, further delegation is not permitted. Where he is unavailable, authority must pass up the line rather than down it.

b. In all other cases, authority may be freely delegated downwards, but on the understanding that adequate controls are put in place by the delegator to ensure that the delegatee fully understands his obligations. The main elements of the matters delegated must be recorded in writing, for the avoidance of doubt between delegator and delegatee. The delegator continues to bear managerial responsibility if things go wrong.

c. Authority which is given to officers of the central College administration or to central College committees is intended to apply to all matters of the indicated type, wherever they arise within the College. Authority given to Heads of Department and Budget Holders applies only to matters involving their own particular Department.

d. Nothing which is said here is intended to authorise anyone to enter into contractual commitments which would cause budgets approved by the Council to become overspent.

THE FINANCE COMMITTEE

38. The Finance Committee is responsible for advising the Council on the College’s Strategic Plan and its implications for the College’s financial well-being.

THE DIRECTOR OF FINANCE

39. The Director of Finance is responsible directly to the Rector for the organisation and control of the central Finance Division, for day-to-day operational management of the College’s financial activities and resources, and for provision of financial information for management and planning purposes.

ACCOUNTING RECORDS AND INFORMATION

2. The Finance Committee’s full terms of reference are published on Intrinsic at ...
40. The Director of Finance is required to provide, as soon as practicable after the end of the College’s financial year, accounts for that year.

41. The Director of Finance is required to provide to the Council such management accounts, trading accounts and such other information relating to the financial affairs of the College as it may from time to time require.

42. After review by the Audit Committee, the College’s annual accounts are to be presented annually to the Council and the Court.

43. All accounting systems and records within the College (including subsidiary companies) shall be in accordance with the requirements of the Director of Finance, and shall be maintained in accordance with the best auditing practice.

BUDGETS AND ALLOCATION OF RESOURCES

44. The Council is responsible for long and short-term planning and allocation of resources to all parts of the College. It acts on the advice of, and in many cases delegates details of the allocation process to, the Rector, who in turn delegates details, within agreed allocations, to Principals of Faculties, Heads of Department and College Officers.

45. The Council shall determine the Budget for the College as a whole once a year, before the commencement of the financial year. It is the duty of the Rector to report to the Council any material variations to the expected outcome which come to his notice during the course of the year, and if necessary seek sanction for any additional expenditure.

EXPENDITURE CONTROLS

46. The Director of Finance is required to ensure that proper procedures exist for the control of expenditure against approved budgets.

47. Budget Holders must ensure that expenditure incurred within their budgets complies with these procedures. Budget Holders may, subject to these Financial Regulations, delegate authority to incur expenditure within their budgets, but retain ultimate responsibility for the control of such expenditure. Responsibility for expenditure on research grant and contract accounts will commonly be delegated to the principal investigator, though the relevant Head of Department retains ultimate responsibility for transactions on such accounts.

48. Where Budget Holders intend to delegate powers to non-employees of the College, care must be taken to ensure that the delegate is bound by these Financial Regulations. (see footnote 3)

49. Budget Holders are required to make themselves aware of, and abide by, any budgetary constraints imposed on particular accounts by the College, HEFCE, research sponsors or other agencies. The Director of Finance will from time to time issue directions concerning usage and nature of the various types of account.

CAPITAL EXPENDITURE
50. Capital expenditure on land and buildings, furniture and equipment (including associated software and telecommunications media) shall only be undertaken in accordance with instructions issued from time to time by the Director of Finance.

**BANKING ARRANGEMENTS**

51. The College’s banking arrangements shall be decided from time to time by the Council. Banking arrangements for subsidiary companies shall be determined by their boards of directors, in accordance with their Memoranda and Articles of Association, but shall always be subject to approval by the College’s Audit Committee.

52. The Director of Finance, or in his absence the College Secretary, shall make all arrangements to open and operate banking accounts for all funds belonging to the College, and for the safe custody and issue of its cheques.

53. No other member of the College is empowered to operate bank accounts for sums belonging to the College and/or which bear the name of the College or any department, section or campus of the College.

54. No cheque or financial instrument made payable to the College (or any department or section of the College) shall be endorsed and credited to any other account except by express prior authority of the Director of Finance.

55. Cheques and other instruments drawn on College bank accounts shall be signed only in accordance with the mandate approved by the Council.

**BORROWING AND SECURITY FOR BORROWING**

56. Arrangements for exercising borrowing powers on behalf of the College shall be made only by the Director of Finance or in his absence by the College Secretary. Subsidiary companies are not permitted to borrow, except through group treasury management arrangements or otherwise with the approval of the Director of Finance.

57. Any borrowing not repayable within 3 months of draw-down shall be reported by the Director of Finance to the next available meeting of the Council. The Council’s sanction must be obtained, prior to draw-down, if any new borrowing facility is arranged which would cause the College’s total borrowing from all sources to exceed £5M.

58. The power to give guarantees and indemnities in the College’s name to bankers or other institutions shall be exercisable only by the Rector or the Director of Finance. Individual guarantees in excess of £100,000 or which bring the total outstanding to more than £1M shall be reported to the next available meeting of the Council. Prior sanction must be obtained for any proposed guarantee in excess of £1M.
INCOME AND CASH

59. The Director of Finance is responsible for ensuring that appropriate procedures exist to enable the College to receive all income to which it is entitled (including income belonging to subsidiary companies). Detailed instructions are issued by him from time to time, and Budget Holders must ensure that they are complied with.

60. Tuition fees are determined by the Council on the recommendation of the Rector, advised by the Management and Planning Group. Residence fees are determined by the Rector with advice from his Committee on Student Residences and following consultation with Residences management.

61. The Director of Finance and other officers will from time to time issue guidance and instructions on costing and pricing of goods and services supplied, including research contracts, short courses, work for outside bodies, bench fees, etc.

62. College sales invoices must be issued only by, or on the authority of, the Director of Finance. Departments must not issue their own invoices, unless they have his explicit authority to do so.

[A note will be inserted of those currently authorised, i.e. Research Accounting, Registry and Accommodation Office]

63. The Director of Finance is required to make arrangements for the prompt collection, security and banking of all funds received. Detailed instructions are issued by him covering, amongst other things, operation of cash tills, security and safe-holding limits, and coin-operated machines.

64. Monies Income received by in Departments must be recorded and then passed to the cashiers gross and in a timely fashion. Payments must not be disbursed out of receipts.

65. Cash must not be sent through the mail. Where cheques or other paper financial instruments are sent by post (whether internal or external) a separate record of the details must be retained, to aid recovery in the event of loss in transit.

66. Members of the College, staff and persons with honorary status must keep not mix up personal cash totally separate from with College cash money.

WRITE-OFF OF BAD DEBTS

67. Debts owing to the College shall be written off only if they are judged to be irrecoverable, and in accordance with the following table of authority:

- a. Over £10,000 - The Rector
- b. Up to £10,000 - Director of Finance
- c. Up to £1,000 - Finance Division Staff as determined by the Director of Finance

68. A summary of debts written off shall be presented annually to the Audit Committee.
PETTY CASH

69. The Director of Finance may make petty cash floats available to Departments to enable them to meet minor payments and reimbursements. Detailed procedures for the operation of petty cash floats are published by the Director of Finance.

Each float will be issued to a named employee, who is personally responsible for ensuring its safe custody, use and accountability in accordance with these Financial Regulations.

(2) Disbursements from petty cash must not exceed £100 for any one purchase. Petty cash must not be used for:
(a) personal expenditure, loans or advances to employees or students, or for cashing personal cheques;
(b) payment of wages or salaries (including overtime and one-off casual payments for work done, whether to normal employees or otherwise);
(c) payment of any bill or invoice in respect of which a College order has been issued;
(d) entertainment and hospitality expenses (except as authorised from time to time by the Director of Finance);
(e) reimbursement of travelling and subsistence expenses, except that fares up to £20 may be reimbursed from petty cash.

(3) If, exceptionally, it is necessary to obtain urgently-required goods for cash, costing more than £100, a properly authorised claim for a cash advance should be presented to the Finance Office, together with supporting invoices or other documentation.

INVESTMENTS

70. The Investments Committee is responsible to the Council for investment of funds of the College.

71. The Director of Finance is responsible for maintaining records of investment transactions, ensuring safe custody of documents and reporting investments performance regularly to the Investments Committee.

72. Management of short-term investments is delegated to the Director of Finance, subject to investment criteria and benchmarks laid down from time to time by the Investments Committee.

PURCHASE OF GOODS AND SERVICES

73. All College purchases must be effected in accordance with policy and procedures laid down by the Director of Finance, using official College stationery containing standardised terms and conditions, except where the Director of Finance has explicitly agreed otherwise. Suppliers’ own order forms must not be used, as they may contain terms and conditions which conflict with the College’s.
74. All employees involved in purchasing must ensure that value for money is obtained, which they may be called upon to demonstrate in particular contracts or transactions.

75. Budget Holders must ensure that goods have been delivered in good order and that commissioned services have been satisfactorily performed and that prices invoiced by suppliers are in accordance with the order or contract. The designated officer within the Finance Division must be notified immediately if this is not the case in order to stop payment of the invoice in question.

76. Competitive tenders must be obtained for high-value purchases, including, in particular, those subject to EC tendering requirements. The threshold for inviting competitive quotations and tenders can be found in the Purchasing Regulations located on the purchasing web site on Intrinsic.

77. Gifts, vouchers, hospitality or payments offered to or received personally by any member of the College from any external organisation which is engaged in contractual negotiations with the College suppliers or their agents as a result of a College purchase belong to the College rather than to the person placing the order, and must, if the value exceeds £100, be disclosed immediately to the Director of Finance who will maintain a register of such declarations.

78. Private purchases through College channels shall not be permitted, except with the explicit approval of the Director of Finance.

TRAVEL AND SUBSISTENCE

79. The Director of Finance is required to devise and promulgate appropriate allowances for College employees and others travelling on College business.

EXPENSES

80. No member of the College shall authorise payment of expense claims to himself or to a member of his family. All claims must be signed personally by the claimant and must be checked and approved by his immediate superior or, in his absence, by a higher authority before reimbursement is made.

(2) Heads of Departments’ expense claims must be signed by their Divisional Administrator or Departmental Finance Representative or, in his absence, by the Director of Finance.

OVERSEAS CONTRACTS

81. Any proposal for supply by the College (or by any department) of teaching, research or other services outside the UK must be referred to the Director of Finance before the contract is signed.

INSURANCE
82. The Director of Finance has exclusive responsibility for insurance matters, subject to overall control of the Council. Members of the College, staff and persons with honorary status must not make their own insurance arrangements for College or Departmental property or risks, or for travelling on College business, since this would duplicate cover already held by the College.

83. The Finance Division Director of Finance must be informed at once if any new activity is commenced which materially affects the College’s overall exposure to risk, or if substantial additional property is acquired, requiring to be insured.

84. Full details of College insurance arrangements will be promulgated from time to time by the Director of Finance.

85. Potential claims shall be submitted promptly to the designated officer within the Finance Division.

LEGAL DOCUMENTS AND INDEMNITIES

86. Arrangements for signing legal documents are set out in Appendix A.

87. Members of the College, staff and persons with honorary status must not sign any disclaimer, form of indemnity or other document having the effect of transferring legal liabilities to the College. Any such proposed arrangement must be referred to the Director of Finance (or to a designated officer nominated by him) for vetting.

MOTOR VEHICLES

88. All motor vehicles belonging to the College shall be registered in the name of the Director of Finance, who must ensure that adequate records of vehicle registrations, road tax, MOT inspections and insurance are maintained.

89. It is the responsibility of the relevant Head of Department (with advice as necessary from the Director of Finance) to ensure that motor vehicles are roadworthy at all times, and comply with statutory regulations concerning carriage of goods and passengers.

90. A report upon any road accident in which a College vehicle is involved - however minor - must be submitted promptly to the Director of Finance.

91. College vehicles may be hired or lent between Departments without formality, either free of charge or on such payment terms as may be negotiated between the parties, provided that details of any permanent transfer is notified to the Director of Finance.

92. College vehicles shall not be used for private purposes, or hired or lent out (whether for payment or otherwise) to any other person or organisation, without the explicit approval of the Director of Finance.

LAND AND BUILDINGS
93. The purchase or disposal of land or buildings (or of any interest therein), whether by the College or by any subsidiary company, shall be authorised by the Rector or arranged under guidance provided by him. Purchases or disposals exceeding £1m in value must have the prior approval of the Council.

94. Lettings of residential accommodation must be on standard terms agreed by the Director of Estates under policies determined by the Rector. Lettings to employees of the College or any subsidiary company must be granted only in accordance with policy guidelines laid down by the Remuneration Committee, the details being reported to them at the earliest opportunity.

95. Commercial leases must be let through the College’s subsidiary company, Imperial Activities Limited.

96. The Director of Estates is responsible for maintaining an inventory of all land and buildings owned or leased by the College.

ASSET REGISTERS

97. Heads of Department shall ensure that inventories of equipment, furniture and stores are compiled, maintained and periodically checked. All items over £1,000 must be recorded. The inventory must also record attractive and highly portable items, such as cameras and laptop computers, even if worth less than £1,000. For items over £20,000–£50,000, more detailed information must be recorded, in order to comply with capital equipment depreciation requirements. Detailed instructions are issued from time to time by the Director of Finance. Inventory listings must be available for inspection at any time.

98. Donations to the College of goods or equipment exceeding £20,000–£50,000 in value shall be reported promptly to the Director of Finance.

99. Wherever practicable, attractive and/or portable items of equipment should be permanently marked to identify them as College property.

100. All consumables and items of equipment purchased out of income arising from research or other work for outside bodies, or provided without charge by a sponsor belong to the College (and not to any individual employee), unless the terms of the contract or agreement specify that they remain the property of the sponsoring body, or otherwise.

CUSTODY, REMOVAL AND SALE OR DISPOSAL OF COLLEGE PROPERTY

101. Heads of Department and Budget Holders are responsible for the safe custody of property (including documents and official correspondence files) under their control. The security office will give advice as necessary. Losses of property must be notified immediately to the security office, and also to the Finance Division for possible insurance claim.

102. College property must not be removed from the premises without written authority of the Head of Department or Budget Holder, who must ensure that a written record of any such
removals is maintained (including a signed receipt by the borrower) and that the property is recovered in due course.

103. Arrangements for sales of obsolete or surplus College property are set out in procedure notes issued by the Director of Finance. A key point is that the price at which sales are made to employees or students must be agreed by their Head of Department or Budget Holder. *(See also Regulation 138) concerning conflicts of interest.*

**PERSONAL PROPERTY**

104. Members of the College, staff and persons with honorary status bringing valuable personal property to the College should ensure that they have made adequate private insurance arrangements. The College does not accept liability for loss or damage to such property.

**DONATIONS AND TRUST FUNDS**

105. The Council is responsible for ensuring that all of the College’s trust funds are operated in accordance with any relevant legislation, case law and the specific requirements for each trust.

106. The Director of Finance shall maintain accounting and other records appropriate to the requirements of each trust.

107. Where any new donation to the College is in contemplation, Departments must seek advice from the Finance Division at the earliest opportunity, to ensure that acceptance of the gift does not carry long-term and potentially onerous conditions.

**RESEARCH GRANTS AND CONTRACTS**

108. Research grants and contracts shall be accepted on behalf of the College by the Pro Rector *(Public and Corporate Affairs) (Research).*

109. Detailed instructions concerning costing, pre-contract negotiations, internal approval procedures and invoicing/claiming are issued by him.

110. Nothing contained in any research grant or contract shall conflict with these Financial Regulations, and, if it does, these Regulations shall prevail. The College shall be under no obligation to make any payment under the terms of a research grant or contract which would cause these Financial Regulations to be breached.

**PATENTS AND COPYRIGHT, ETC.**

111. The Council is responsible for determining policy and procedures to deal with ownership, protection and exploitation of intellectual property.
112. Additional guidance is issued by the Pro Rector (Public and Corporate Affairs) (Research). Exploitation may be conducted through the College’s subsidiary company Imperial Exploitation Limited Imperial College Innovations Limited.

113. No company or partnership shall be established to exploit intellectual property in which the College has an interest without the specific approval of the College Equity Committee and minuted as such. Shares shall not be issued by any company in exchange for the assignment of intellectual property without the written consent of the Pro Rector (Public & Corporate Affairs) on behalf of the College Equity Committee. No company or partnership shall be established to exploit intellectual property in which the College has an interest without specific approval of the Rector. Shares shall not be issued by any company in exchange for the assignment of intellectual property without the consent of the Pro Rector (Research).

114. Intellectual property rights in work done by employees of the College in the course of their normal duties belongs to the College, rather than to the employee personally. Inventions and discoveries must be reported to the Pro Rector (Public and Corporate Affairs) (Research) as soon as they are identified by the inventor or originator.

PERSONNEL MATTERS

115. Letters of appointment and variations to terms and conditions of service must be issued only by or under the authority of the Remuneration Committee, the Rector or Director of Personnel Human Resources. Eligibility to join an appropriate superannuation scheme will be set out in letters of appointment.

116. In order to comply with insurance requirements, references must be obtained for newly-appointed staff having significant responsibilities for financial matters. The Director of Finance can give guidance if necessary.

117. Loans to staff must not be made without the written permission of the Director of Personnel Human Resources. Arrangements for repayment of such loans must be put in place before the funds are advanced.

STUDENT FINANCE

118. The Academic Registrar is responsible for administering access fund bursaries and the Student Loan Scheme. He also controls a very limited fund for emergency loans or grants in cases of extreme financial hardship.

119. Details of scholarships and prizes available to members of College are set out in the College Calendar.

120. Bursary payments to students shall be made only in accordance with instructions issued from time to time by the Director of Finance.

121. Loans to students must not be made (whether from central or Departmental funds) without the written permission of the Academic Registrar. Arrangements for repayment of such loans must be put in place before the funds are advanced.
122. Staff are strongly advised not to make personal loans to students, and if any such loans are advanced it must be clearly explained to all parties that the loans do not have the College’s approval and the College will take no part in underwriting or recovery thereof.

RESIDENCE AMENITY FUNDS

123. Wardens are appointed by the Rector to provide supervision and pastoral care within College residences. As part of this function they are responsible for funds collected from students in connection with social amenities and facilities within their Residence. These funds must be administered in line with instructions issued by the Director of Finance. Full accounts must be presented annually to the Hall Committee and to the Rector.

PRIVATE WORK

124. Rules governing private work undertaken by College employees in their own time are set out in their conditions of service. Private work must not impair the performance of employees’ College duties nor conflict with the interests of the College.

125. Before accepting any new work or extending existing private work employees must secure the written consent of their Head of Department.

126. Details of external consultancies, directorships and membership of external committees must be entered onto a Register of Interests maintained by the College.

127. Before accepting appointment as a director of any limited liability company, the approval of the Rector and the Chairman must be obtained.

128. Under no circumstances shall stationery (printed or otherwise) bearing the College’s name, letter heading or crest be used in connection with private work. Companies and other business entities are permitted to trade from College premises only if written authority has been given by the Rector or Director of Finance.

129. College materials or resources (including use of office or laboratory space if significant) shall not be utilised for private work except with the prior written consent of the Head of Department and consumed in the course of private work shall be paid for at a fully commercial rate.

CONFIDENTIALITY, SECURITY AND ACCESS TO INFORMATION

130. The College publishes annual accounts which are freely available from the Director of Finance.

131. Apart from annual accounts, Otherwise the College’s financial information and records are confidential and must not be disclosed to third parties without the consent of the Director of Finance. Except as provided hereunder (see Regulations 133 to 137 on Audit), and by statutory enactment, access to the College’s financial records will be accorded only on
a "need to know" basis to persons approved by or under the authority of the Director of Finance.

132. Heads of Department and Budget Holders must ensure that financial records are held securely and that access to computer-stored information via terminals is controlled in accordance with procedures issued by the Director of Finance.

AUDIT

133. The College’s records and procedures are subject to audit at any time by the HEFCE and by the National Audit Office ("NAO"), external and internal auditors.

134. The Council appoints External Auditors who report formally to the Court via the Audit Committee.

135. The Head of Management Audit and Review Internal Audit Services carries out a continuous and independent appraisal of all the activities of the College including review of financial transactions and procedures. He normally reports to the Clerk to the Court and College Secretary but has the right of direct report to the Rector, or Chairman of the Audit Committee, and, if necessary, the Chairman of the Court and Council.

136. The HEFCE, NAO, external and internal auditors are authorised to visit all College premises and to gain access to any assets, minutes, books documents or any information kept by the College. Members of the College, staff and persons with honorary status are required to provide them with such information and explanations as they may require.

137. The College’s audit arrangements comply with the HEFCE Audit Code of Practice Code of Practice for University Internal and External Audit issued by HEFCE.

CONFLICT OF INTEREST

138. No member of the College, staff or person with honorary status shall authorise any payment or other form of benefit (goods or services) from College funds (including reimbursement of out-of-pocket expenses) to be made to himself or to a member of his family without prior ratification by a higher authority.

139. Any member of the College, staff or any person with honorary status having a personal interest in any transaction between the College and third parties (including partnerships and companies in which he or any member of his family has a material stake) shall immediately disclose the nature and extent of their interest in writing to all College personnel involved in conducting the negotiation, and thereafter must not take any part in determining the price or conditions associated with it. This duty of disclosure applies equally to any renewal or extension of such contract.

140. Persons with honorary status shall not participate in any contractual negotiations undertaken between the College and their main employer.

FRAUDULENT IRREGULARITIES
141. Any member of the College, staff or person of honorary status who has reason to believe that a fraudulent, or any other, irregularity with financial implications for the College has or is about to take place (including those involving cash, stores, equipment, facilities, information, staff time, physical or intellectual property, non-disclosure of any personal, financial or beneficial interest as required under the College Registers of Interests, etc.) is required to inform his Head of Department immediately. Matters concerning members of the Court or of the Council should in the first instance be referred to the College Secretary.

142. On being informed, the Head of Department must in turn notify the Head of Management Audit and Review, Internal Audit Services and the Director of Finance immediately. Internal Audit will then undertake such investigations as it considers appropriate, which may involve liaising with the College internal security or (with the approval of the College Secretary) the police where necessary.

143. More conventional security matters, such as vandalism, personal thefts (wallets, bicycles etc.) and intruders on College property should be reported directly to the Security Office.

[The following footnotes will be replaced by hypertext links located at appropriate points in the Regulations to the relevant lists and tables of authority as they appear on Intrinsic]

Footnotes:

1. A list of hospitals, research councils and other bodies with whom such agreements have been reached is shown at Appendix C.
2. A copy of the current schedule of authorisation is shown at Appendix A.
3. A list of hospitals and other bodies some of whose employees are persons with honorary status of the College and bound by agreements between the College and their main employer is given at Appendix C. In all other cases, the advice of the Controller of Financial Services should be sought before putting delegation to non-employees into effect.

Approved by the Council [date] 27 March 1998
LIMITATIONS ON SIGNING OF CONTRACTS AND ENTERING INTO LEGAL COMMITMENTS

1. The Financial Regulations set out limits of authority for signing most types of legal document, and the scope for those so authorised to delegate their powers.

2. Where the Financial Regulations make no explicit provision, legal documents shall be signed by the following:
   
a. If the subject matter of the document is primarily financial or administrative in nature:

   The Rector, Deputy Rector, Director of Finance or College Secretary, or those to whom they may have explicitly delegated their powers, and subject always to such conditions as they may from time to time have imposed.

b. If the subject matter of the document is primarily academic in nature:

   The Rector, Deputy Rector, Pro Rectors, Principals of the School of Medicine, or those to whom they may have explicitly delegated their powers, and subject always to such conditions as they may from time to time have imposed.

3. Special arrangements have been agreed by the Council for authorising legal documents which require the College Seal to be affixed. Further details are obtainable from the Assistant Clerk to the Council. [Link to Regulation A2]

CHEQUE SIGNATORIES

4. The College’s mandate to its bankers is determined by resolution of the Council (see Financial Regulation 55).

5. Full details of signing powers will be notified to those empowered to sign. In essence, all cheques and similar payment instruments must be signed:
   
a. If over £20,000 in value, by any two signatories from "List A" comprising the Chairman, Honorary Treasurer, Rector and about a dozen senior full-time executive officers from the College administration.

b. If over £5,000 in value, by any one signatory from "List A".

c. If up to (and including) £5,000 in value by any one signatory from "List A" or "List B" (mainly finance staff and a few selected individuals from out-stations needing facilities for emergency manual cheques)

6. The same rules apply to direct debit and standing order mandates to the bank, and to foreign currency payment instructions.
Appendix B

[This will be replaced by a reference to Regulation A8]

College Officers (as at [16 February 1998])
(Appointments to this list are made by the Council)

The Rector
Deputy Rector and Pro Rectors
Principal, Deputy Principal and Vice Principals of the School of Medicine
The College Secretary
The Directors of Estates, Finance, Personnel and Planning
The Academic Registrar

Heads of Department (as at [16 February 1998])

[This list will be replaced by a reference to the list published by the College Secretary on Intrinsic]
(Appointments to this list are made by the Rector, acting, in the case of those marked by an asterisk, on the advice of the Principal of the School of Medicine.)

Aeronautics Professor Peter Bearman
Biochemistry Professor Jim Barber
Biological and Medical Systems Professor Richard Kitney
Biology Professor Mike Hassell
Biomedical Sciences* Professor John Caldwell
History of Science and Technology* Dr David Egerton
Chemical Engineering and Chemical Technology Professor John Perkins
Chemistry Professor David Phillips
Civil Engineering Professor Tony Ridley
Composite Materials Mr Frank Matthews
Computing Professor Robert Kowalski
Electrical and Electronic Engineering Professor Robert Spence
IC Pac Professor Barry Richards
Investigative Sciences* Professor Stephen Bloom
IRC for Process Systems Engineering Professor John Perkins
IRC for Semiconductor Materials Professor Gareth Parry
The Management School Professor David Norburn
Materials Professor Malcolm MacLean
Mathematics Professor Adrian Smith
Mechanical Engineering Professor Gordon Williams
Medicine* Professor Mark Walport
National Heart and Lung Institute* Professor Philip Poole-Wilson
Neuroscience and Psychological Medicine* Professor Chris Kennard
Paediatrics, Obstetrics and Gynaecology* Professor Murdoch Elder
Physics Professor Brian Morgan
Primary Care and Population Health* Professor Brian Jarman
Surgery, Anaesthetics and Intensive Care* Professor Sean Hughes
Note: Some College Officers also act as Heads of Department in respect of budgetary matters delegated to them by the Rector.

Appendix C

[A reference to a list of bodies with whom the College has reached agreement in the terms of Regulation 5 will appear at the relevant point in the text]

Hospitals, research councils and other bodies with whom [it is intended that] the College [shall have] has reached agreement in the terms of Financial Regulation 1(5)

Hammersmith Hospitals NHS Trust
St Mary’s Hospital NHS Trust
Royal Brompton Hospital NHS Trust
Chelsea and Westminster Healthcare Trust
The Medical Research Council – Hammersmith campus
Hospital of St Mark and St John, Northwick Park
AMENDMENTS TO COLLEGE PROCEDURES AND REGULATIONS

A Note by the Academic Registrar

1. Revisions to the Procedures for dealing with student disciplinary offences of a non-academic nature and to the Procedure for dealing with complaints by students are approved by Council. Changes to the College Regulations for Students and the College Academic Regulations are also approved by Council on the recommendation of the Senate.

STUDENT DISCIPLINARY OFFENCES – PROCEDURES FOR DEALING WITH STUDENT DISCIPLINARY OFFENCES

2. A copy of the current Procedures, as agreed by IC Union and approved by Council, is attached at Annex A.

3. The establishment of Faculties has necessitated some changes to the wording of the Procedures. The opportunity has also been taken to review the arrangements for chairing disciplinary committees and to clarify the applicability of the Procedures.

4. **Recommendation 1.** It is proposed that references to the School of Medicine in the Procedures be replaced by the term “Faculty of Medicine”.

5. **Recommendation 2.** Under the current procedures the Chairman of the Disciplinary Committee is normally a Dean or a Vice-Principal of the School of Medicine. It is proposed, with the agreement of the Faculty of Medicine, that the responsibility for chairing disciplinary committees is transferred from the Vice-Principal to the Deans of the Faculty of Medicine, so that there is uniformity of procedure throughout the College. The first sentence of Paragraph 9 of the Procedures should therefore be amended to read as follows:

   “The College Discipline Committee shall consist of four members of whom two shall be students and two members of the academic staff together with a Chairman who shall normally be the Dean of a Faculty.”

6. **Recommendation 3.** It is proposed to add the following Note at the start of the Procedures, to clarify the position of members of the College staff who are also registered students:

   “Any case of misconduct on the part of a member of the College staff who is also a registered student of the College will be dealt with in accordance with the appropriate disciplinary procedures for College staff and not in accordance with these procedures for student disciplinary offences.”

7. Council is invited to consider and, if thought fit, approve the foregoing changes to the Procedures for dealing with student disciplinary offences.
STUDENT COMPLAINTS - PROCEDURE FOR DEALING WITH COMPLAINTS BY STUDENTS

8. A copy of the current Procedure, as approved by Council, is attached at Annex B.

9. **Recommendation 4.** Under the current procedure (Stage 2) the Vice Principal (Undergraduate Medicine) is designated as the responsible authority in respect of academic matters for undergraduate medicine students. The post of Vice Principal (Undergraduate Medicine) has been replaced by the post of Head of Undergraduate Medicine and it is proposed that the procedure be revised accordingly.

10. Council is invited to consider and, if thought fit, approve the foregoing amendment to the Procedure for dealing with complaints by students.

COLLEGE REGULATIONS FOR STUDENTS

11. **Recommendation 5.** Senate wishes to recommend to the Council the amendments to the College’s Regulations for Students detailed below. The proposed revisions to Regulations 6, 11 and 13 are essentially for the purpose of updating and concern no matters of principle. The current Regulations are attached at Annex C.

   a. **Regulation 6.** In the second sentence, the words “Higher Degree Registration” should be replaced by “Graduate School”.

   b. **Regulation 11.** The words “Conditions of Use of Computing Facilities, copies of which are available from Imperial College Centre for Computing Services” should be replaced by “Information Systems Security Policy and Codes of Practice and Guidelines”.

   c. **Regulation 13.** In the first sentence “1984” should be replaced by “1998”.

   d. **Regulation 14.** In 2000 the Council, on the advice of Senate, approved a revised regulation concerning the policy for dealing with student intellectual property rights. This Regulation has not proved to be workable and following a further revision to the Policy the Senate recommends that a simpler and clearer regulation is adopted as follows:

   “All students must familiarise themselves and comply with the College Policy on Student Derived Intellectual Property Rights.”

12. Council is invited to consider and, if thought fit, approve the foregoing amendments to the College’s Regulations for Students.
ACADEMIC REGULATIONS

13. **Recommendation 6.**

   a. Senate wishes to recommend to the Council a revision to the College Academic Regulations.

   b. The current wording of Academic Regulation 13.4 (attached at Annex D) allows students to withdraw from an examination without any good cause or extenuating circumstances, provided that they give seven days’ notice. Such candidates are recorded as not having made an entry to the examination.

   c. The Senate was advised that this practice was viewed by the Senate’s Studies Committees as inappropriate and ultimately of no advantage to the students concerned. The Senate has therefore agreed to recommend to the Council that Paragraph 13.4 be amended so that students would only be allowed to cancel their entry to an examination at the discretion of the Board of Examiners where there were adequate extenuating circumstances. The revised Regulation would read as follows:

   “A candidate who informs in writing the Academic Registrar of the withdrawal of his/her entry before the date for the commencement of the examinations as prescribed by the College on the grounds of illness or other adequate cause for which evidence must be provided may at the discretion of the Board of Examiners not be regarded as having made an entry or re-entry. All other candidates who withdraw from or do not attend an examination without providing evidence of satisfactory extenuating circumstances will be judged to have attempted the examination and failed.”

14. Council is invited to consider and, if thought fit, approve the foregoing change to the College Academic Regulations.
DISCIPLINE IN IMPERIAL COLLEGE

The Governing Body have approved the following procedures for dealing with student disciplinary offences of a non-academic nature:

NOTE: Students must note that conduct of a nature which would be inappropriate in a member of some professions could require additional disciplinary action. In particular students of the School of Medicine must note that conduct which would be improper in the case of a member of the medical profession could constitute a disciplinary offence and could require action by the Principal of the School in addition to the procedures described below.

A. JURISDICTION

I. For discipline purposes, there are six jurisdictional areas or activities:
   (i) Union premises and Union activities whether on or off College premises;
   (ii) the residences and residence activities whether on or off College premises;
   (iii) departmental buildings and departmental activities including field trips;
   (iv) other College areas;
   (v) misconduct of a nature which is likely to affect the good name and standing of the College;
   (vi) misuse of computer facilities or activities.

B. THE DISCIPLINARY STRUCTURE

Summary punishment

2. The power and responsibility for curtailing or containing the immediate effects of misconduct and imposing summary punishment where appropriate rests with the responsible authority. The responsible authority is as follows:

   (i) for Union premises and Union activities, including the area used to control entry to union activities, the President of Imperial College Union or his or her nominee;
   (ii) for the residences and residence activities, the Warden or Assistant Warden;
   (iii) for departmental buildings and departmental activities, the Head of Department or his or her nominee;
   (iv) in other College areas, a College Tutor, save that the responsible authority referred to in 2(i) to 2(iii) may also impose summary punishment where misconduct occurs in the vicinity of the area for which he or she is responsible;
   (v) in the case of misconduct arising outside the College, a College Tutor;
   (vi) in the case of misconduct involving several of the above areas, a College Tutor;
   (vii) in the case of computing offences, the Head of Department or his/her nominee;
(viii) for medical school buildings and activities, the Principal of the School of Medicine or his delegate.

In exceptional circumstances, the Rector may appoint another suitable person.

3. Where summary punishment is appropriate, it shall be imposed on the spot (or with the least possible delay) and shall be limited to one, two or three of the following:
   (i) a reprimand;
   (ii) expulsion, not exceeding seven days, from the use of the area where the misconduct occurred;*
   (iii) suspension, not exceeding seven days, from the use of a particular facility;
   (iv) a charge, up to a maximum to be determined, from time to time, by the College Tutors and the President of the Imperial College Union, to meet the cost in whole or part of replacing the damaged property or equipment;
   (v) a fine, up to a maximum to be determined, from time to time, by the College Tutors and the President of the Imperial College Union;
   (vi) 'College Service', i.e. work on College campuses of benefit to the College community.

4. The authority imposing summary punishment must inform the person being disciplined of his or her right of appeal.

**Cases where Summary Punishment is Inappropriate**

5. Misconduct which in the opinion of the responsible authority cannot be dealt with adequately by means of summary punishment shall be dealt with as follows:
   (i) where the responsible authority is a Warden or Assistant Warden then the matter shall be referred to the Residence Tribunal;
   (ii) where the responsible authority is the President of Imperial College Union, the matter shall be referred to the Union Disciplinary Committee, membership of which is defined in the ICU Disciplinary Policy. A Deputy President, Imperial College Union or his or her nominee shall act as Clerk to the Committee, and shall be a non-voting member when disciplinary cases are under consideration;
   (iii) in all other cases, the responsible authority shall refer the matter to the College Discipline Committee.

6. In cases involving misuse of College equipment or facilities, breaches of College safety regulations or instances of potential danger to students, staff or other persons and where the responsible authority refers the matter to the College Discipline Committee or the Residence Tribunal, suspension or expulsion* from the area or from the use of the facilities may be imposed, by the Responsible Authority, until such time as the Committee or Tribunal has reached a decision.

7. The Residence Tribunal shall have a Chairman and two Deputy Chairmen appointed by the Rector. The Chairman, or in his/her absence a College Tutor, may appoint one of the Deputy Chairmen to act as Chairman of the Tribunal for a particular meeting;

* Students may be summarily expelled from their halls of residence only if there is a perceived danger to other residents.
but otherwise Deputy Chairmen shall not attend meetings of the Tribunal. The other members shall be: a Warden or a former Warden and an academic staff member to be appointed by the Chairman of the Tribunal in consultation with the President of the Imperial College Union; and the President of the Union or his/her nominee. A Clerk to the Tribunal will be appointed by the Academic Registrar.

8. The Chairman of the Residence Tribunal may decide, after examining documentary evidence, that a case should be referred to the College Discipline Committee, instead of being heard by the Residence Tribunal.

9. The College Discipline Committee shall consist of four members of whom two shall be students and two members of the academic staff plus a Chairman who shall normally be the Dean of a constituent College or a Vice-Principal of the School of Medicine. The student members will be chosen from among the Union Council. The academic staff members shall be chosen from a Panel appointed by the Rector. Selection of the Chairman and the staff members by the Academic Registrar (or his/her nominee), and student members by the President of the Union shall in each instance be random, after exclusion of members concerned with the case to be heard (see 16 below). The Academic Registrar (or his/ her nominee) will appoint a Clerk to the Committee.

C. PROCEDURES

10. Students whose cases are referred to the Residence Tribunal, to the Imperial College Union Disciplinary Committee or to the College Disciplinary Committee shall be informed in writing of the charges against them, and of their right to be represented at the hearing by a person of their choice who is a member of the College, and to bring witnesses. If they wish to be represented, to call witnesses or present documents either bearing on the charge or in mitigation of any penalty which may be imposed, they shall notify the Clerk to the Tribunal or Committee accordingly with reasonable notice, in advance of the hearing, which will normally be held within ten College working days of the referral.

11. The responsible authority shall, through the Clerk to the Committee or Tribunal, notify the student, with reasonable notice in advance of the hearing, of any documents to be submitted or any witnesses to be called.

12. The Tribunal or Committee shall base its decision on evidence presented and examined in the presence of the person bringing the charge and the student charged. The proceedings of the Tribunal or Committee shall not be invalidated by the failure to appear of the student charged following notification of the proceedings in accordance with paragraphs 10 and 11. Evidence of earlier misconduct by the student charged which has already been the subject of previous disciplinary procedures shall not be presented until after a decision has been reached on the facts of the case, but may then be admitted and considered in deciding on any punishment.

13. All Committees shall reach their decision by simple majority voting, save that on questions of guilt no person shall be found guilty if more than one member of the
Committee dissents. The Chairman may exercise a casting vote. The Clerk in each case shall not be entitled to vote.

14. Hearings shall normally be in private and confidentiality observed but a written account of the proceedings may be released at the Chairman's discretion, Students may request that the hearing is held in public. A full record shall be made and retained for possible use in connection with an appeal (see paragraph 29 below). The Clerk to the College Disciplinary Committee/ Residence Tribunal/ Imperial College Union Disciplinary Committee will write to the appellant within five working days of the hearing taking place, informing him/her of the Committee's decision, and providing reasons for the judgement reached in relation to submissions made at the hearing.

15. In keeping with the Human Rights Act (1998), should the student wish, the decision of the Committee/ Tribunal will be posted on the relevant Departmental/ Residential notice board.

16. No person shall sit as a member of the Residence Tribunal, the Imperial College Union Disciplinary Committee or the College Discipline Committee if he/she is:
   (i) the subject of a charge,
   (ii) the complainant,
   (iii) a witness or a potential witness (i.e. has personal knowledge of the facts surrounding the case),
   (iv) successfully challenged for any good cause. The Chairman of the Committee or Tribunal concerned shall decide whether to uphold the challenge or not, prior to the hearing,
   (v) connected with the student being charged or any other person involved with the case.

17. Students should be aware of the implications of misconduct which is also a criminal offence. This could invoke criminal investigation in addition to College disciplinary procedures. If considered necessary, College disciplinary procedures may be suspended pending the outcome of criminal procedures.

D. PENALTIES

18. The Residence Tribunal may impose one or more of the following penalties or, if it so decides, refer any disciplinary matter to the College Discipline Committee:
   (i) a reprimand;
   (ii) a fine;
   (iii) a charge to meet the cost in whole or in part of replacing damaged property or equipment;
   (iv) expulsion or suspension from any part of the residences other than his or her own room for such period as the Tribunal may determine;
   (v) that a resident shall not be entitled to remain in his or her room after a certain date;
   (vi) 'College service', i.e. work on College campuses of benefit to the College community.
The Residence Tribunal may extend the penalty imposed under paragraph 18 (iv) until such time as the College Discipline Committee reaches a decision.

19. The Imperial College Union Disciplinary Committee may impose any of the penalties described in the ICU Disciplinary Policy or, if it so decides, refer any disciplinary matter to the College Discipline Committee.

20. The College Discipline Committee may impose one or more of the following penalties:
   (i) a reprimand,
   (ii) a fine,
   (iii) a charge to meet the cost in whole or in part of replacing damaged property or equipment,
   (iv) expulsion or suspension from any part of the College for such period as the Committee may determine,
   (v) expulsion from the College for such period as the Committee may determine, which may include permanent expulsion,
   (vi) 'College service', i.e. work on College campuses of benefit to the College community.

21. Following a decision of any of the above, failure to pay, excepting extenuating circumstances such as financial hardship, within ten College working days, any fine or to pay compensation for damage or to abide by any other penalty shall itself constitute a disciplinary offence for which the Discipline Committee may without any further hearing impose a further penalty including expulsion from the College.

22. Except in the case of summary punishment no student shall be suspended or excluded from the College or any of its facilities nor shall his or her status as a student be prejudiced pending determination of the proceedings against him or her save that this provision shall not apply where suspension or exclusion is imposed in accordance with paragraph 6.

23. Where misconduct leads to prosecution in an outside court, the Residence Tribunal, the Imperial College Union Discipline Committee and the College Discipline Committee shall take note of the fact and the outcome in imposing any College punishment.

24. All monies collected from fines shall be donated to the Student Hardship Fund.

E. APPEALS

25. Appeals may be on the grounds of procedural irregularity, unreasonable conclusions or an excessive or inappropriate penalty. All appeals must be made within five College working days in accordance with the guidance given below.

Appeals against summary punishment
26. Any student wishing to appeal against summary punishment must submit a written notice of appeal within five College working days, stating the full grounds of appeal, as follows:

(i) in the case of appeals to the Imperial College Union Disciplinary Committee, the notice should be delivered to a Deputy President, Imperial College Union;
(ii) in all other cases the notice should be delivered to the Academic Registrar.

27. The appeal will be considered by the following bodies:

(i) if the punishment was imposed by a Warden or Assistant Warden, the Residences Tribunal,
(ii) if the punishment was imposed by the President of the Imperial College Union or his/ her nominee, a Deputy President,
(iii) in all other cases, to the College Discipline Committee.

Appeals against the IC Union Disciplinary Committee

28. In cases where a student wishes to appeal against a decision of the IC Union Disciplinary Committee, the appeal should be made within five college working days to the Imperial College Union Appeals Committee. The notice should be delivered to a Deputy President, Imperial College Union (the IC Union Disciplinary Policy refers).

Appeals against the Residence Tribunal or the College Discipline Committee

29. In cases where a student wishes to appeal against penalties imposed by the Residences Tribunal or the College Discipline Committee:

(i) a student may appeal within five College working days to the Rector in writing stating the grounds for appeal. The factual basis of the decision shall not be open to appeal unless evidence is produced which the Rector regards as both new significant;
(ii) the Rector shall be supplied with a full report of the proceedings prepared by the Clerk of the Tribunal or Committee. The report shall contain a statement of the matters investigated, a summary of the evidence given by each witness and the reasons for the decisions reached. The appellant will be supplied with a copy of the report in advance and may submit comments;
(iii) the Rector may seek the advice of a Discipline Review Panel before reaching a decision. The Discipline Review Panel shall consist of two members of the academic staff and two students and a Chairman all appointed by the Rector.

30. After an appeal hearing, the original decision may be confirmed, reversed or modified, or in the case of appeals to the Rector, the Rector may in addition direct that the case be re-heard.

Approved by the Governing Body
Revised and approved by the Council

June 1997
February 1999
June 2001
Annex B

Imperial College of Science, Technology and Medicine

PROCEDURE FOR DEALING WITH COMPLAINTS BY STUDENTS

Introduction

1. Imperial College aims to give the highest specialised instruction and to provide the fullest equipment for the most advanced training and research; furthermore the College strives to achieve a standard of overall administrative performance, in terms of service quality and operating efficiency, which complements and reinforces the excellence of the College’s teaching and research. The College recognises, however, that if students consider they have grounds for complaint about either academic or administrative services, a clear, consistent procedure should be available through which these complaints can be investigated and considered.

2. This complaints procedure does not cover appeals and other matters which are dealt with under the following procedures:
   a) Procedure for appeal against withdrawal due to academic insufficiency
   b) Procedure for consideration of representations by candidates for first degree and taught masters degree examinations
   c) Procedure for consideration of appeals by candidates for research degrees (Procedure of the University of London)
   d) Appeal against the refusal to transfer a student from MPhil to PhD registration
   e) Appeals against disciplinary decisions (Appeals against summary punishment; Appeals against the decisions of the IC Union Disciplinary Committee, the Residence Tribunal and the College Discipline Committee)
   f) Regulations for proceedings in respect of Examination Offences for University Awards: Appeal against the decision of an Examination Offence Hearing Committee (procedure of the University of London)
   g) Scientific Misconduct: Policy and procedures for the investigation of allegations
   h) Whistle blowing (procedures under consideration)

These procedures are available from the following offices:
   a), b), t): Undergraduate Examinations Office (Registry)
   c), d): Higher Degrees Office (Registry)
   e), g): Academic Registrar's Secretariat
   h): College Secretary

Advice about dealing with sexual and racial harassment is given in the Freshers' handbook, and will be pursued under the College's procedure for dealing with student disciplinary offences, or under the appropriate staff disciplinary procedure (obtainable from the Personnel Department).

3. The Council has approved this procedure for dealing with student complaints which are not covered by the above procedures.
4. A copy of this complaints procedure is published in the Freshers’ Handbook which is provided to all students on their registration at the College. Copies are also available from the Students’ Union office and the Academic Registrar’s office.

Stages of the Complaints Procedure

5. There are four stages in the Complaints Procedure:

Stage 1: The complaint is raised initially with the individual responsible.

Stage 2: The complaint is referred to the relevant responsible authority, as specified in paragraph 8.

Stage 3: The complaint is referred to the Academic Registrar who will investigate the complaint and propose resolution in consultation with the responsible authority.

Stage 4: A report is prepared by the Academic Registrar which is referred to the Pro Rector (Educational Quality), who will reach a conclusion on the complaint and determine a course of action.

It is envisaged that most complaints will be satisfactorily resolved at one of the early stages in the procedure, but the four sequential stages are provided where this proves not to be possible.

Complainants are invited, from the outset of their action, to indicate what, if any, specific form of redress they are seeking, without prejudice to any final remedy which may be determined. Students are reminded that an informal resolution to their complaint is possible at any stage.

6. It is expected that complaints will be raised as quickly as possible. Where a complaint relates to a specific event, it should be raised with the individual concerned within 10 days of that event. Where the complaint relates to an ongoing aspect of academic provision, it is expected that this will be raised as soon as the dissatisfaction becomes apparent and no later than three weeks before an examination or assessment is to be undertaken which the complainant considers may be adversely affected. (Complaints regarding the conduct of examinations are dealt with under the Procedure for Consideration of Representations by Candidates for First Degree and Taught Masters Degree Examinations, or the Procedure for consideration of appeals by candidates for research degrees.)

Unless there are extenuating circumstances, a response will be given at each stage within 20 working days. Where extenuating circumstances exist, these will be communicated to the complainant.
Stage 1

7. It is expected that every reasonable attempt will be made by the complainant to raise the complaint with the responsible individual and that the responsible individual will make every reasonable attempt to resolve the complaint at this level. It is recognised that there may be exceptional circumstances in which the complainant considers they cannot approach the individual concerned. In such cases, the complainant may go the Head of Department or Medical Division as in Stage 2.

Stage 2

8. If the complaint cannot be satisfactorily resolved at stage I, the complaint may be taken to the next level of responsible authority. The responsible authority is determined by the subject of the complaint.

a) Academic matters: Head of Department or Head of Medical Division
b) Students' Union matters: President of Imperial College Union
c) College-managed Residential Accommodation: Accommodation Manager
d) Catering: Head of Catering and Conference Services
e) All other administrative matters: College Secretary

9. In academic matters, if the responsible individual is a Head of Department or Head of Medical Division, or the complainant feels that it would not be beneficial for an attempt to resolve the complaint within the department to be made, their complaint may be taken, in the second stage, to a College Tutor.

10. The responsible authority will investigate the complaint, and respond in an appropriate manner. Students can expect a response within 10 working days of the complaint being raised at the second stage. This may or may not be the final response by the responsible authority, depending on the level of investigation required.

Stage 3

11. Where the complaint is not resolved at the second stage, the Academic Registrar will investigate the complaint and attempt resolution. At this stage, the complainant is required to provide written details of their complaint in the form of a letter to the Academic Registrar. Students can expect a written reply within 10 working days of the complaint being raised at the third stage. This may or may not be the final response from the Academic Registrar, depending on the level of investigation required. The Academic Registrar may choose to meet with the complainant, the responsible individual and the responsible authority before attempting to conclude the matter. The student's letter of complaint and the Academic Registrar's response will be filed in the Registry.

* For undergraduate medicine students this is the Vice Principal (Undergraduate Medicine)
Stage 4

12. Where the complaint has not been resolved at the third stage, the Academic Registrar will make a report on the complaint to the Pro Rector (Educational Quality). A copy of this report will be filed in the Registry. The Pro Rector (Educational Quality) may choose to meet with the complainant, the responsible individual, responsible authority and the Academic Registrar before attempting to conclude the matter.

13. The decision of the Pro Rector (Educational Quality) is the College's final response to the complaint. A record of the Pro Rector (Educational Quality)'s response will be made and filed in the Registry.

The Visitor

14. Under the 1998 Charter of Imperial College, section 22, a student may appeal to the College's Visitor who is Her Majesty the Queen acting through the President of the Privy Council. It is expected that a student will have taken their complaint through the Procedure for Dealing with Complaints by Students before making an appeal to the Visitor.

Principles of the Complaints Procedure

15. It is the intention of the College that no student should be discriminated against or in any way penalised for raising a complaint at any level of the Complaints Procedure.

16. The student will be kept informed of the progress of their complaint and any unforeseen delay in the proceedings will be communicated to the student.

17. At all stages of the process, when a complaint is not upheld, reasons shall be given to the student.

18. Where a complaint is upheld as valid, any remedial action will be taken, and the complainant will be informed by the Academic Registrar. If appropriate, any incidental expenses incurred by the complainant will be reimbursed.

19. In keeping with the Human Rights Act (1998), should the student wish, details of the final outcome of a complaint will be posted on the relevant departmental notice board.

20. The Academic Registrar shall prepare each year a report on the complaints brought to stages 3 and 4 of the procedure, using the information arising from complaints which will be filed within the Registry. In doing so, the confidentiality of individuals will be preserved. The report shall be presented to the Senate.

21. The College recognises the rights of individuals who may be wrongly accused in the circumstances of a complaint. Where it is found that a student has raised a frivolous or vexatious complaint or used false information the College may use its Disciplinary Procedure in respect of the student's conduct.
22. Usually a complaint cannot be raised by a third party on behalf of another. In exceptional circumstances, applications by a third party to raise a complaint on behalf of another student may be considered at the discretion of the Academic Registrar.

Conduct of the Complaints Procedure

23. Students seeking authoritative guidance concerning the applicability and operation of the Procedure should apply to the Academic Registrar. Where appropriate, members of the College will facilitate access to information and documents material to a complaint, whilst having due regard for privacy, confidentiality and the reasonable interests of any third parties. Where any meeting is held at which the complainant will be present, s/he is entitled to be accompanied by a 'friend' who is a member of Imperial College (either a fellow student, or a personal tutor, warden or other member of the academic staff).

June 1999
Amended June 2001
Annex C

IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE

Regulations for Students

1. All registered students of the College are subject to the provisions of these Regulations for Students, the College Academic Regulations, the Regulations of the University of London as appropriate and such other Regulations and Instructions for Students as the College may from time to time approve.

2. Any student whose sessional fees or whose residence charges* have not been paid in full will not be allowed to proceed to the next year of the course and will be required to withdraw from the College. If any fees or charges are still unpaid at the time when a student enters for the last examination necessary to qualify for the award of a degree/diploma, the award will not be conferred and no certificate in respect of the award will be issued until the debt has been paid in full.

3. Any student wishing to occupy residential accommodation provided by, or on behalf of, Imperial College will be required to abide by the terms and conditions of the Licence. Acceptance of an offer of accommodation will signify acceptance of such terms and conditions.

4. Every registered student of the College is automatically a member of Imperial College Union unless, under the provisions of the Education Act 1994, a student has formally opted out of student union membership by recording that decision with the Academic Registrar in the manner prescribed.

5. Student disciplinary offences of a non academic nature are dealt with under a code of procedure agreed by Imperial College Union and approved by the Governing Body. In the case of serious offences, this may involve the suspension and/or expulsion of the student from the College. Students must not engage in any conduct which causes harm or unreasonable disturbance to students, staff, neighbours or visitors to the College, or damage to any property of the College or its students, staff, neighbours or visitors, or engage in any activity or behaviour which is likely to bring the College into disrepute. Illegal acts on or near College may also constitute offences under these College Regulations for students.

6. Candidates for the PhD or MPhil degrees are required by the University regulations to give conditional authority for their thesis or dissertation to be made available for public reference. Candidates who wish to retain personally, for a limited period, the sole right to grant permission to consult, borrow or copy their work must obtain the agreement of their supervisor and the appropriate College Higher Degree Registration Committee. Approval will be given only in special circumstances and for a period not exceeding two years. Acceptance of a place as a research student at the College is deemed to imply acceptance of these conditions.

7. Undergraduates must inform their Senior Tutor and postgraduates their Postgraduate Tutor if they are absent from College for more than one week during term. If the absence is due to illness a medical certificate must be produced. If an examination is missed on account of illness a medical certificate must be produced immediately.

8. A student who contracts an infectious or contagious disease may be required to present a medical certificate acceptable to the College Health Service, indicating freedom from infection, before resuming attendance at the College.
9. The College may require a student to be assessed by the College Health Service, or other appropriate medical practitioner approved by the Health Service, if there is reason to believe that the student’s state of health makes him/her unable to pursue his/her studies, or causes disruption to other members of the College, or causes or has the potential to cause harm to him/herself or others. If the medical assessment confirms that it is not in the interests of the student or the College that the student should continue his/her programme of study the Head of Department shall consult the College Tutors and, taking into account their advice, may suspend the student until he/she is fit to continue his/her studies or require the student to withdraw from the College. A student who refuses to undergo assessment may be suspended until such time as a medical practitioner acceptable both to the student and the College has assessed the student and confirmed in writing that the student is fit to resume study.

A student who is required to withdraw has the right to appeal against the withdrawal decision but not against the results of the medical assessment on which the decision is based. The student may, however, request that a second medical assessment be obtained from a medical practitioner approved by the College Health Service. The responsibility for hearing and deciding upon appeals is vested in the Senate and is delegated by the Senate to Appeal Committees, whose decisions are final.

A student who is suspended will be regarded as having taken an interruption of studies, and will be required to provide medical evidence as to fitness to return to study in accordance with the conditions attached to the granting of interruption of studies.

10. No work involving ionising radiation may be carried out in any part of the College except in accordance with the current edition of the Imperial College Local Rules for Safe Working Practices with Ionising Radiation (Second Edition Spring 1991).

11. Students who make use of University or College Computing facilities are required to familiarise themselves with and to abide by the current edition of the Imperial College Conditions of Use of Computing Facilities, copies of which are available from Imperial College Centre for Computing Services.

12. Computer misuse will be regarded as a serious offence and will be dealt with under the College Disciplinary Procedure or, where appropriate, under the provisions of the Computer Misuse Act 1990.

13. Students who are authorised, as part of their studies, to make use of ‘data’ and ‘personal data’ as defined under the Data Protection Act 1984 are required to familiarise themselves with, and to observe the provisions of, the Act. Further details are available from the College Data Protection Officer.

14. All students must comply with the College policy on ‘Student Derived Intellectual Property Rights’ by declaring any invention, device, material, product or process, computer software or other potentially significant result (the “Concept”), whether patentable or not, developed or invented during the course of, and arising from, students’ research or study whilst a registered student of the College. The College will leave the student free to benefit from the Intellectual Property (IP) rights they have accrued in the Concept, but reserves the right to make a fair determination of the relevant contributions, and thus the proportionate interests, in the IP of the Concept. Details of the College policy on ‘Student Derived Intellectual Property Rights’ are available from Registry. The determination of IP rights will be assessed under the terms of this policy and will have regard for the historical and future contributions of: the Student; their supervisor; their Department, Division or Centre; any external funding body or sponsor; the College and any other parties who may have a legitimate claim.
15. Students must notify the Academic Registrar of any change in their home or lodgings address.

* to include charges by the Ducane Housing Association
ACADEMIC REGULATION 13.4

A candidate who informs in writing the Academic Registrar of the withdrawal of his/her entry not less than seven days before the date for the commencement of the examination as prescribed by College will not be regarded as having made an entry or re-entry. All other candidates will be regarded as having made an entry or re-entry, except that in the case of illness or other adequate cause for which certification must be provided a candidate may be permitted at the discretion of the Board of Examiners to withdraw his/her entry to the examination in the week before the commencement of the examination and up to and including the date of his/her first paper provided that he/ she has not entered the examination room.
PAPER R

THE VACATION POWERS COMMITTEE

A Note by the Clerk

1. At its meeting on 29th June 2001 the Council agreed to establish a Vacation Powers Committee to make decisions on its behalf on any matters which needed to be resolved during the Summer before its next scheduled meeting in October 2001. The Council agreed that the Committee should consist of the Chairman, the Rector, the Deputy Rector, the Honorary Treasurer and the Chairman of the Audit Committee. The Terms of Reference of the Vacation Powers Committee are attached at Annex A.

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

3. The Council is invited, if it sees fit, to establish the Vacation Powers Committee again this year and to authorise it to make decisions on the Council’s behalf on any matters for which a resolution is required before the next scheduled meeting of the Council on 18th October 2002.

K.A.M.
Terms of Reference:

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

Constitution:

The Chairman of the Court and Council
The Honorary Treasurer
The Chairman of the Audit Committee
The Rector
The Deputy Rector

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

Secretary:
The College Secretary

Present Lay Membership:

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

Modus Operandi:

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

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

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

**Quorum:**

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