
Introduction

1. UCL is booming. The past year has seen an outstanding crop of awards, research grants, prizes, advances in global rankings, student applications, new academic appointments, new teaching programmes and media coverage. There is a buzz of excitement and achievement about the place. Our academic engine is performing at the highest levels. New strategies and initiatives have been developed to underpin UCL’s position as London’s global university. We have set about systematically addressing various deep-rooted problems, such a structural budgetary deficit and the condition of the estate. All of our biomedical activity has been through a process of externally-led review leading to the identification of new priorities, the pursuit of efficiencies and restructuring.

2. This is a fresh Green Paper for the next five years of UCL’s development, which will be a period not of attrition but of consolidation, enhancement and targeted growth. Our focus is now wholly on strengthening UCL’s world-class academic excellence in a financially disciplined way. UCL is a community of scholarship in which talented individuals are recruited to teach and research, and are entrusted with a high level of autonomy to pursue curiosity-driven inquiry. We need to ensure that in their teaching, research and enabling all our staff are supported by first-rate management and infrastructure. This in turn requires simplification and modernisation across the board.

Where we've been

3. This Green Paper builds upon past strategy. In July 2004 our Council formally adopted the UCL White Paper, a 10-year strategy for UCL. Although it has been a complex project, it has proved remarkably successful in bringing about change. Three years on, all of its policies have been instituted and many are now fully implemented; others with a longer timeframe are still operational. A summary of progress appears as Annex 1. Our Council have overseen progress with implementation through regular monitoring. Much has been achieved, and the processes will continue.

4. An initial updating and refinement of the strategy, The White Paper One Year On, was adopted in 2005, with particular focus on two key goals: enhancing academic quality through the pursuit of international excellence in all areas of academic activity, and achieving sustainable finances through the development and implementation of a five year financial strategy. That strategy has involved a reduction in staffing numbers through the regeneration programme.

5. We have also agreed and published a remarkable document, Excellence and the UCL Community: a shared endeavour (reproduced in Annex 2). This establishes a compact under which the expectations which UCL has of the
performance of its academic staff are underpinned by mutual commitments to them on the part of UCL. This provides the foundation for many of the reforms proposed in this Green Paper. Existing strategies remain intact and are not repeated here.

What’s new?
6. The vision for UCL is for a modern, outward-looking world-class university performing at the highest levels of excellence in teaching and research. This requires that it is well-managed, financially strong, streamlined and efficient. It requires investment in our staff, in enhancing the student experience, in modernising our practices and investing in our facilities.

7. This Green Paper therefore proposes a programme of extensive modernisation and simplification across UCL. It is a high-level paper, and, as with the 2004 White Paper, its implementation will require much more detailed working. To an extent it confirms work that is already in progress under the 2004 White Paper and in support of our Corporate Plan 2006-12. But it also proposes several further significant reforms. It will be consulted on widely across UCL, with a view to a final version being brought to the UCL Council at its June meeting for publication as a new UCL White Paper.

The external environment
8. The emergence of global league tables of universities is a mixed blessing. On the positive side, UCL’s performance in these has been steady and strong. In 2006 we were ranked almost identically by Newsweek (25th in the world; 5th in Europe), in the annual Shanghai Jiao Tong table (26th in the world; 4th in Europe) and the Times Higher (25th in the world; 5th in Europe). Notwithstanding our doubts about the rigour and the methodology, these league tables will increasingly influence the way universities are seen and see themselves. They provide a benchmark against which our future performance will be measured. Already they have provoked responses by governments elsewhere in the world, anxious to push up the rankings of their own institutions and willing to invest to do so.

9. For UCL, the league tables provide powerful reinforcement of our performance as a global university, and at a significantly higher level than many far better funded institutions elsewhere. We should not fashion our destiny so as simply to maximise our performance in the league tables. Of greater importance is that we should continue to recruit and retain the best staff and students in the world, and to support them appropriately.

10. There is considerable uncertainty and turbulence in the external environment. Several recent trends are strongly positive, including the introduction of full economic cost for research grants, and the introduction of variable tuition fees for undergraduate students. We have adopted strategies to maximise UCL’s research grant income, and shall respond similarly to major European initiatives, including the establishment of the European Research Council, the proposals for a European Institute of Technology, and the Bologna process.
11. The internal reforms of biomedicine and life sciences of the past year leave us in good condition to take advantage of the real opportunities for further growth that flow from the proposed relocation here of the National Institute for Medical Research by 2012. We shall also build on our existing partnerships with our closely related NHS hospital trusts in securing NHS funding and build upon our joint recent successes in achieving new funding for biomedical research centres.

12. On the teaching front, the Government’s agenda for 14-19 education, and the Leitch Review of skills, provide new challenges alongside a maze of initiatives surrounding the current A-levels, including the release of marks for modules, the A* grade, the new diplomas, the IB, the pre-U, BMAT and LNAT. UCL will need to maintain an approach to admissions which is consistent and fair, and which ensures that able children who have attended a state school are not disadvantaged in our highly competitive admissions process.

13. Financially, the extent of UCL’s dependence upon non-competitive Government funding (HEFCE T grant) has been steadily diminishing, and now stands at around 10% of total income. This trend will be accentuated by the new student fee arrangements, though in common with other research-intensive universities its impact at UCL will be relatively marginal (around 2% of total income once the full cohort of UK-EU students is within the new fees scheme in three years time). Of greater importance to us is the introduction of increased overheads on research grants, as the new regime for full economic cost is introduced. This places a premium on securing grant-funding from the research councils.

14. It is impossible to forecast the financial implications for UCL of a strong outcome in the forthcoming Research Assessment Exercise, because of uncertainty over the distribution of resources against the new research profiles, and also the Treasury’s proposed gradual displacement of RAE outcomes by metric assessments after 2010. The Chancellor’s Budget statement for 2007, and the forthcoming comprehensive spending review later in the year, will both have significant implications for university funding. So also will the proposed review of the new tuition fee arrangements in 2009-10.

The financial framework

15. UCL has been historically over-extended on staffing against its budget, and even today it still has the most favourable staff-student ratio of any UK university. However, this average disguises remarkable variation across the institution, and some departments have seriously adverse ratios. The regeneration programme has proved an essential strategy to start bringing down the staffing complement at UCL to a financially sustainable level. We set out to reduce over three years our HEFCE-funded staffing numbers by 15% gross, to allow 5% reinvestment and hence achieve a long-term net staff reduction of 10%. For this purpose we have implemented an extensive programme of early retirement and voluntary severance. Over the 18 months of the programme so far this has secured an agreed reduction of 178 posts.
gross of the 375 that the programme sought, and 167 of the 250 net posts (ie, after reinvestment). It has secured a financial saving of 78% of our forecast.

16. This is a remarkable achievement, and I am grateful to all of those who have made it possible. But it is not yet complete. Not all Faculties are on course to achieve their targets. There is a need therefore to maintain the discipline of the programme through the current financial year and thereafter in order to capture the maximum response from all faculties.

17. For the future the financial logic is very simple: every academic and administrative activity at UCL must perform to the highest standards. In addition, every academic activity must pay its own way; and every administrative activity must provide value for money. For some units of academic activity these requirements are likely to require further reductions in staffing to match income, and possibly the closure of some activities. For others, a financially balanced and sustainable outcome may be achievable through securing other efficiencies or increasing throughput. These will need to be assured within a clear time frame and without growth in staffing. None of the changes in our external environment that are summarised in the preceding section looks likely by themselves to transform our finances positively over the planning period.

18. I propose therefore that the regeneration programme should be succeeded by a selective rebalancing strategy. Any Faculties that have not attained the three year target of the regeneration programme will need a clear and achievable plan in place at the commencement of the new financial year (August 2007) to show how they will meet their targets by other means. This may require further focused review of weaker areas of activity in relevant Faculties. If a major area of activity is not able to cover its own costs, we shall have to ask whether other Faculties should continue to subsidise it through the RAM against a short-term recovery plan, or transfer it into another academic unit where it will bring complementarity and added value; or close it down.

19. We will develop clear targets and a timetable for achieving the institutional financial surplus that is necessary to support new investment. Implementation of the RAM has proved successful, and it needs to be allowed to settle down without extensive revisions. However, we will set up a review of its incentives and safeguards in order to ensure that they are fully aligned with the objectives outlined in this Green Paper. The logic of the RAM is that, as financial circumstances allow, the moderation factor reduces and the cap on distribution of RAM surpluses is raised.

20. The other, parallel, route to financial sustainability is to make UCL a much more efficient organisation. This requires action across the whole institution. It will involve a fundamental culture change leading to clearer and stronger strategic leadership; the modernisation and professionalisation of all administrative processes and information systems, with a view to enhancing institutional response efficiency, point of contact, and speed of decision-making, right across the board.
Investing in staff

21. This is the starting point. The Excellence Statement spells out our academic mission, in terms of teaching, research, enabling and knowledge transfer. To be an academically leading institution in all of these is possible only with first class management support. There is a strong wish on the part of academic staff to be freed up from unnecessary administrative responsibilities and inefficient working practices in order to concentrate on their primary interests of teaching, research and knowledge transfer. It is obviously wrong that they should be discharging routine administrative tasks when these could be better handled by professionals. It is equally wrong to expect departmental administrators and their staff to master an increasingly wide range of complex business processes and software in order to serve the interests of small departments.

22. Continuing to invest in the recruitment and retention of excellent staff is of critical importance. Our HR Division is tasked with devising processes to achieve this against the commitments contained in the Excellence document and there are several areas where further work is required. We shall seek to reduce teaching and administrative burdens in the ways outlined above, by streamlining teaching arrangements and investing in professional administration at Faculty level.

23. To complement this we shall:

a. establish a new promotion route for Teaching Fellows, reflecting our commitment to professional development of outstanding teaching staff and to enhancing further UCL’s record in teaching excellence;

b. develop a new model for the appointment of Teaching Assistants, in order to formalise opportunities and training for researchers wishing to acquire relevant teaching experience;

c. ensure that financial reward becomes more explicitly tied to performance by improving the quality and frequency of performance review, starting with the annual review of professorial salaries. Excellence is key: mediocre performance will not be ignored, but will be addressed professionally through supportive processes of performance review;

d. review workload allocation across the portfolio of academic duties with adjustment between them over the period of an academic career and to reflect part time working patterns;

e. develop a “total package” approach to reward that encompasses a range of benefits to meet the needs of our diverse workforce, including excellent pension schemes, relocation and housing support, care for children and other dependents, access to discounted health care insurance and enhanced refectory and social facilities;
f. develop a Gender Equality Scheme that addresses all cultural barriers to gender equality and builds on the achievement of our SWAN Charter Award and our work on race and disability equality;

g. develop opportunities for sabbatical leave in accordance with UCL policies and ensure that they support academics returning from maternity leave and career breaks.

24. More broadly, UCL will seek with other Russell Group universities to review current national pay bargaining arrangements in order to improve industrial relations across the sector. Nobody – staff, students, parents or Government – wants a recurrence of the harmful pay dispute of 2006.

Management

25. UCL is a large and complex organisation. Our annual income is approaching £600 million, and we have over 8,500 staff on our payroll at any time. An institution of this size needs efficient and effective management. Yet our administrative practices are surprisingly diverse. This is not unusual. UCL has grown through its academic departments. It has created new departments, centres and institutes and sub-divided existing ones as academic needs (or rivalries) have dictated; and it has brought in new ones through mergers. UCL departments have traditionally enjoyed a relatively high measure of administrative autonomy. There is good reason for much of this. Small departments can give people a sense of place and loyalty within a large organisation, and understand and cater for the needs of their discipline and their students.

26. But such administrative diversity and fragmentation comes at a high cost all round: for the institution as a whole; for staff and students dealing with complex and often obscurely different administrative arrangements within and between departments, and for those engaged in management: within departments, at Faculty level and within corporate support services. Although there may have been good reason at the time for the development of many of our practices, today they are an extravagant self-indulgence.

27. To achieve the most efficient working conditions for all our staff requires a careful review of all our administrative working practices and structures with a view to simplifying and unifying them. This must result in further devolution of management responsibility within UCL. It will also require a review of the way we handle major functions across the institution, such as admissions and the role of academic staff in the selection of students; the organisation and timetabling of teaching; and support for research.

28. We have invested significantly already in information systems and technology, notably in finance and HR. Over the next five years our objective is to become one of the leading UK universities in deploying modern information systems in support of the academic mission. This will also clearly require properly trained professionals, operating at an appropriate administrative level and significant investment in information systems and
other infrastructure in order to improve access to reliable management information right across UCL.

29. As part of this, we shall focus on developing information flows and analysis, and develop improved modelling capabilities to support complex management decisions. We shall develop a model of the full economic cost not only of research but also of enterprise activities and of teaching at UCL, against various assumptions, such as teaching loads, desirable staff-student ratios and the resources necessary to undertake specialised high-quality teaching.

30. The modernisation agenda extends further than this. Despite the huge investment in new buildings and refurbishments over the past decade, too many departments continue to work in unsatisfactory physical conditions, many of the public realm areas of the estate are in poor condition, and we need to take significant steps in improving our environmental sustainability. Student facilities need rationalisation and improvement, and an extension of residences and Union facilities.

Faculty structures

31. UCL needs to overcome its current fragmentation and develop its strengths as a single powerful university. We currently have eight faculties, ranging in budgetary size from Biomedical Sciences (income £195 million) to Laws (income £8 million). Within the Faculties, there are over 70 academic departments and similar units, with a similar range in size, albeit at a smaller scale. The Faculty of Biomedical Sciences alone has a budget that exceeds that of 90% of UK universities. At the other end of the organisational scale, some of our departments are so tiny as to make it unreasonable to expect that they should be able to discharge a wide range of administrative responsibilities, including the use of complex management software. There are differing levels of dependency upon corporate support services, and a strong wish in the Faculties for local specialist advice to inform decision-making.

32. This structure, and the present allocation of management responsibilities between departments, faculties and the corporate support services, requires careful review. UCL has been steadily devolving responsibilities to Faculty level. Deans now have executive responsibilities, particularly for financial management, and the Resource Allocation Model has brought greater transparency and clarified financial responsibilities. The appointment of Faculty financial management accountants two years ago has proved extremely successful.

33. Now is the time for further devolution, not only to address existing problems but also to ensure the most effective implementation of other proposals in this Green Paper. Some responsibilities can best be transferred from corporate support services and brought closer to the direct users, including an extended HR capability. There is also a need to review the range of responsibilities currently expected of departments and considering which can better be discharged collectively at Faculty level. Academics should not be undertaking regular routine administrative tasks when they can be undertaken more efficiently by professional managers.
34. Given the range in scale of activity, the present Faculty structure is not ideal as a base for this reallocation of functions. Nor does it represent clear-cut distinctions between groupings of disciplines in an increasingly interdisciplinary world. It is therefore proposed to develop a model of strategic faculty groupings with a view to enabling greater interdisciplinary interaction in teaching and research, and also to developing a greater range of common services at Faculty level.

35. The following groupings look appropriate:

A: Arts and Humanities (£19m); Social and Historical Sciences (£36m); Laws (£8m); School of Slavonic and East European Studies (£6m) = £69m;

B: Engineering (£47m) Bartlett (£12m) Mathematics and Physical Sciences (£46m) = £105m (the Bartlett will also interact closely with Group A on teaching and research);

C: Biomedical Sciences £195m and Life Sciences £73m; total £268m.

36. Under this model, the respective Deans will be responsible for overseeing a collective Faculty office for the grouped Faculties, which will be the central point for the organisation of functions such as teaching programmes, admissions, research grant administration, finance and HR advice. Formal merger of Faculties into these groupings is not proposed, although the Faculties themselves may wish to secure this in due course. Nor is it intended through this mechanism to introduce a further level of management. Deans will remain responsible individually for the leadership of their Faculties, and become responsible collectively for the management support services.

**Strategic faculty reviews**

37. We undertook in the White Paper 2004 that we should expose the strategies for all our major areas of academic activity to rigorous externally-led scrutiny, conducted in each case by an independent visiting panel. This has been a major activity and is now complete for the Faculty of Clinical Sciences, the Postgraduate Institutes and the Faculty of Life Sciences.

38. For Clinical Sciences and the Postgraduate Institutes, the process has led to their merger into a single new Faculty of Biomedical Sciences, to the rationalisation of administration, to more detailed review of parts of the Faculty, to the effecting of significant savings and to the appointment of new academic leadership. This has been a complex process and its implementation is not yet completed.

39. The independent panel for that review recommended that Life Sciences should also be merged into the new Faculty. That recommendation was rejected in favour of setting up a separate review of Life Sciences whose report was published in February 2007. I have agreed that the Faculties should not merge, because in this instance the advantages of merger can be largely achieved by instead bringing the two Faculties into a strategic alliance through a School of
Medical and Life Sciences, and constructing powerful strategic bridges
between them. This new School will be Europe’s leading centre for research
and teaching in the biomedical and basic biological sciences.

40. These two major reviews have covered activity at UCL accounting for over
65% of our research activity by income. The process now continues. Full
reviews will be instituted in 2007 of all the remaining Faculties. They will
explore future strategies for the Faculties in light particularly of the institution-
wide strategies outlined in this Green Paper.

Reducing teaching loads and complexity

41. A review of our complex teaching arrangements is also necessary if we are to
free up unnecessary burdens on academic staff. Action has already been taken
in accordance with the 2004 White Paper to review all under-subscribed
programmes and courses across UCL, and around 46 undergraduate
programmes and 19 taught-postgraduate programmes have now been
withdrawn or are being reviewed by Faculties as part of an ongoing
programme. We shall continue this review, to ensure that we can contain
teaching loads on staff within reasonable bounds.

42. UCL currently lacks a common teaching timetable. Different Faculties have
different timetables, different term dates and different arrangements for
reading weeks; in some cases there are differences even within Faculties.
There may have been good reasons for this in the past, but today it looks
simply confusing, complex and cumbersome, and its disadvantages become
the clearer as cross-faculty programmes and courses become more widely
developed.

43. The first steps are therefore already under way for introducing a common
teaching timetable across UCL. We shall implement a single timetable across
all Faculties for undergraduate programmes from 2008-09, allowing time for
Departments and Faculties to undertake the necessary planning and modelling
to support the change. We shall also review the implications for timetabling
postgraduate teaching. This will be a complex change, requiring adjustment
not only to teaching programmes but also further investment in timetabling
software and associated room-booking systems.

The development of e-learning

44. We shall develop new IT systems to extend the impact of our teaching,
making lectures and other more specifically tailored programmes of
instruction available through web dissemination and podcasts. For our own
staff and students, the purpose will be to enhance and extend the learning
experience at UCL by deploying new technology in imparting information and
instruction. We shall also extend the global reach of our instruction by making
material more widely available on the web, in some instances on a commercial
basis but normally with open access.

45. Pilot schemes are already under way in Life Sciences with web-based
instruction in fundamental science; in modern languages through the new
SOAS-UCL Centre of Excellence in Teaching and Learning in Languages of
the Wider World; and in biomedicine on campus-wide broadcasting, video podcasting and video streaming. We shall build extensively on these schemes and provide new opportunities for innovation in teaching and learning across UCL. There will include access to learning materials, resources and other activities such as online study packs and replay of lectures on demand (through streamed videos), and also means to enable interaction with staff and other students through a variety of media.

**Enhancing the student experience**

46. Student expectations of their university experience are rising. It is important that UCL should respond to them, most importantly by maintaining our excellent teaching quality. We shall be introducing this year a new scheme of Provost’s annual awards to recognise teaching excellence at UCL.

47. We shall pursue other courses as well, including efficient and responsive administration, innovation in teaching and new modes of delivery, and investment in libraries, lecture theatres, seminar rooms, common rooms and other learning environments. Here there are opportunities for complete transformation. Preliminary architectural work has been commissioned for the refurbishment of the Main Library and the Science Library with a view to developing these into world-class facilities, and this work will be integrated with the development of information systems below.

48. We shall also review our student support arrangements across the board, in liaison with the UCL Union, to ensure that we are providing the best systems for tutorial support, counselling and careers advice.

49. Our work in developing a UCL-wide focus on global citizenship and leadership has attracted much attention and is continuing to gather momentum and engagement. Volunteering has become a major extra-curricular activity for our students and we shall provide new opportunities and incentives for this. It will also underpin our engagement with secondary education in Camden.

50. We shall strengthen the engagement of students in policy-making, particularly in a new initiative for Greening UCL.

51. There is a need to provide more and better student residential accommodation and to improve UCL Union facilities, both of which we shall pursue through our estates strategy.

**Undergraduate admissions**

52. We want to attract the most able students from around the world to study at UCL. With this in mind, the 2004 White Paper committed us to the introduction of a minimum A-level entry requirement across the institution, and this has been implemented. It has not dampened demand; indeed, applications have continued to rise. We shall review that experience and consider whether to raise the threshold further. We shall also introduce a GCSE foreign language requirement for all undergraduates from 2012,
ensuring that it does not compromise our commitment to widening participation; and publicise this change to schools and potential applicants.

53. We have continued to experience particularly strong demand from highly-qualified students for our more generic programmes over single honours programmes. The longest-running of these, Human Sciences, was founded in the 1970s and offers a balance of natural and social sciences courses from over 20 different contributing departments in five Faculties, out-competing single-subject degree students across the board. Others are also thriving, in, for example, Biomedical Sciences and Natural Sciences.

54. We shall review student number quotas for all generic programmes against levels of student demand and bring forward further generic programmes already in planning, including in Engineering. Single-honours programmes will continue to make up a major part of our undergraduate teaching, provided that demand for them is sustained from the most highly-qualified applicants.

55. These initiatives are all on the sciences side of the university, but there may be interest also in a broader approach. We shall therefore set up a study group to consider the feasibility of developing a liberal arts undergraduate programme at UCL.

56. UCL’s main attraction to students is our reputation for the sheer quality of our teaching. We shall strengthen this wherever possible, and support it through proposals elsewhere in the Green Paper for innovation in e-learning and investment in teaching and learning facilities.

57. A business process review is already well advanced for the reform of our arrangements for undergraduate admissions. An important objective is to improve the quality of service to users, and the more efficient deployment of our professional staff, using modern information systems, for this purpose. One way to achieve consistency of service across UCL would be to centralise the management of the process. The proposals for Faculty groupings into Schools provide an alternative model which would retain a closer link with those responsible for the organisation of teaching programmes, and we shall undertake a detailed review of this possibility.

Widening participation

58. UCL admits 64% of its UK students from state schools, and 39% of our intake overall are from ethnic minorities. We undertake extensive work through our Widening Participation Unit in raising awareness and aspiration amongst school pupils, particularly in London, and in a range of formal and informal support mechanisms with local schools, and our path-breaking partnership with City and Islington College of Further Education. We have allocated up to 30% of UCL’s gross income from the new student fee regime to scholarships and bursaries, and to further work in widening participation. There has been a shortfall in the first year in bursary applications against our anticipated levels and we shall carry forward any unexpended sums into future years and ensure that our scheme is promoted effectively through an appropriate communications strategy to enhance uptake.
59. UCL has extensive experience in engagement with local secondary schools, and we shall build upon this. We shall continue to explore with Camden and others the possibility of becoming the academic sponsor of a City Academy, so as to provide further support for state education in local schools, particularly in science and languages.

The global agenda

60. As global competition between universities for the best staff and students becomes more intense, we need to extend our communications and marketing activities. We shall also engage with leading universities and national governments in key growing regions of the world, notably China, the Gulf, India and South East Asia, in reviewing opportunities for supporting activity outside the UK. We shall review our policy on off-shore campuses.

Information systems

61. UCL's current systems are constantly improving and the management of recent complex upgrading and physical moves of major hardware have been commendable. But the rolling out of new systems, including Portico, our new student information system, has demonstrated again the overriding importance of ongoing communication and training. Information systems tend towards a rigidity of approach that is often unwelcome in UCL’s diverse and accommodating administrative environment and their introduction often requires significant review and simplification of the way we conduct our operations. So although their capability is simply essential to the future delivery of services across this large organisation, there is always great complexity in carrying through the changes they require.

62. Some of our existing systems are an example of undesirable diversity and fragmentation of provision. Many local IT systems are independently managed. They are based on a variety of technologies, and the process of exchange of information between them is inefficient and expensive to maintain. In part their development has reflected diverse local needs, particularly on the research front; but, more worryingly, also a lack of confidence in central provision of resources and in the accuracy of centrally-maintained data. So we have the absurd phenomenon of the same data being entered and maintained in dual systems.

63. We need to effect fundamental reforms to the management of UCL’s information systems, giving priority to improving the quality of central data in terms both of accuracy and timeliness, and devising new architecture for information management, and underpinning both with investments in new software and technology. All staff need ready access to accurate information relevant to their functions. Some progress has been made in a number of areas, such as with the Human Resources/Payroll system and with the current financial system, and more is being planned in this area to streamline and improve our procedures for financial reporting.
64. A timetable has been agreed with EISD for the development of an Information Strategy Implementation Plan to achieve these objectives, including engagement of staff in each step, and training in implementation.

65. As a world-leading research university, we shall also provide our staff with access to high powered computing (HPC) facilities. UCL has enjoyed a leading position in the UK in developing excellent facilities (e.g. HiPerSPACE). EISD has now created a Research Computing Group which is successfully subsuming independent HPC facilities, and providing hardware, management and user support. They are currently finalising a major purchase of HPC hardware, that will provide UCL scientists with state-of-the-art facilities to underpin their research projects. We shall maintain UCL’s position at the forefront of computer-based research, continuing to upgrade facilities on a timely basis; and supporting research groups and collaborations to obtain external funding for HPC facilities.

**Fund-raising**

66. We have invested significantly in staffing and systems in the Development and Corporate Communications Office and should shortly be appointing a new Director, and a new Head of Corporate Communications. We shall build upon the Prime Minister’s initiative on university fund-raising.

**UCL in its local community**

67. UCL is the largest employer in Camden, and our working relationship with the London Borough of Camden has been developing steadily. It has been manifested in discussions over secondary education, UCL’s potential contribution through a borough-wide partnership to provide support for Camden schools in general and engagement with a City Academy in particular; and also through our partnership in developing the Bloomsbury Quarter improvement proposals developed for us by Sir Terry Farrell. UCL will work with Camden and other public sector and private partners for delivery of the strategy for Bloomsbury, and also for strategic property interventions to the north of Euston Road in connection with the building of new premises for the National Institute for Medical Research.

**Promoting research**

68. Research within a single discipline continues to be the primary mode of inquiry at UCL, and this is wholly appropriate for a major research-intensive institution. There is a strong tradition of individual scholarship at the highest levels of achievement and discovery. Yet alongside this approach, UCL needs also to be able to draw together world-class teams from different disciplines to engage with important interdisciplinary areas, such as systems biology and medicinal chemistry; and notably to make a contribution to solving some of the major problems facing mankind in the twenty-first century. These call for the more broadly-based insights that only fully comprehensive universities like UCL are equipped to provide, in relation to areas such as global health, poverty, and global climate change, where both natural science and social science are essential contributors.

69. To support such an approach we shall:
a. Launch a new Research Challenges scheme at UCL to promote and support innovation in research ideas;

b. allocate additional top-sliced funding for institutional strategic investment in new ventures, both within Faculties and institutionally, against a requirement that the objectives and targets for all new initiatives are clearly specified, and that their achievement is closely monitored with review after 3 years to determine whether to continue or wind-up the activity;

c. enhance the capacity of the Provost’s Strategic Development Fund for investing in major new research initiatives;

d. continue to monitor research performance and ensure that information is shared across the institution. This process will be reinforced by other strategies in the Green Paper, including investment in information systems;

e. make administrative support and incentives available to all staff preparing and submitting grant applications, particularly to Research Councils;

f. Adopt a UCL Research Strategy for more proactive research development, and to secure rapid responses to funding initiatives;

g. develop a searchable and comprehensive research database, including details of grants, of national and international collaborations and of publications.

70. The proposals for significant administrative modernisation and grouping of Faculties will assist in removing institutional and financial barriers to pursuing interdisciplinary opportunities, and develop UCL’s ability to focus in an innovative way on problem-oriented rather than discipline-oriented research strands. Several models are already in advanced stages of development.

Modernising the estate

71. We have now adopted a new estates strategy which sets out general principles for future development. Its priorities are to concentrate ownership and occupation on the Bloomsbury campus, tightly defined, except where there are good operational reasons to locate activity elsewhere because of a functional interaction with the activities of other institutions, mainly hospitals. It identifies areas for future expansion, particularly in conjunction with the development of the NIMR facility. It runs in parallel with the proposals commissioned from Sir Terry Farrell and Partners for the improvement of Bloomsbury.

72. We are in the middle of a major programme of capital investment in the estate, largely funded under SRIF. New buildings are being designed to high
environmental standards in terms of materials and energy consumption, but the older estate requires significant investment for its transformation.

73. Over the next ten years we shall pursue the following estates priorities:

a. catch-up on long-term maintenance, coupled to continuing improvement and refurbishment works, in order to develop a university estate of the highest quality;

b. develop with the Carbon Trust a strategy for significant reductions in energy consumption across the estate;

c. develop a strategy for significantly enhancing the environmental sustainability of the estate, engaging students and academic input;

d. undertake a detailed review of space occupation, and introduce further incentives, particularly through the Resource Allocation Model, to secure the most efficient usage of estate;

e. develop a strategy for providing high-quality student facilities including:

   i. New and improved residential accommodation both directly and through partnerships

   ii. New UCL Union facilities

   iii. Improvements to teaching infrastructure including information systems, lecture theatres, classrooms, libraries and teaching labs.

f. lead with Camden Council the implementation of the Farrell proposals for the Bloomsbury Quarter, and the associated environmental improvements to the UCL campus public realm;

g. carry through the estates strategy to other campuses and work closely with UCLH, the Royal Free and other partner hospitals to secure co-location and co-investment in clinical and clinical research facilities.

Process

74. A similar process of debate and consultation is proposed for this Green Paper as was involved in 2003-2004 in moving from the Green Paper to the White Paper. This is a draft document. Its proposals will be reviewed over the coming months, with a view to a final White Paper being adopted by the UCL Council at its meeting in June 2007.

75. The programme for consultation on this paper is along the following lines:

First draft considered by Provost’s SMT, 10 January 2007
Draft strategy debated at UCL Council awayday, 22 January 2007

Revised draft brought to Heads of Departments meeting, 19 February 2007

Initial consideration at Academic Board, 1 March 2007

Consultation within UCL, March - May 2007

Further consideration, Academic Board, 24 May 2007

Final approval by UCL Council as a White Paper, 13 June 2007
### Annex 1

**UCL White Paper 2004**  
and White Paper – UCL: One Year on (June 2005)

**Status Report**

<table>
<thead>
<tr>
<th>Actions</th>
<th>Progressing as proposed</th>
<th>Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Students and Teaching</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Re-alignment of student numbers over three years 2005-08: maintain overall numbers but reduce Home/EU UG numbers and increase Home/EU PG numbers and Overseas UG and PG numbers.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Increase in A-level entry levels – minimum of 24 points (or equivalent) by 2006-07 and increase annually over next 5 years.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Elimination of need to go into Clearing</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Review and action in respect of under-subscribed teaching programmes, including Masters.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Introduction of new generic UG programmes. (White Paper 2005) (WP05)</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Increase in the number of scholarships.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Review of PG fee levels (Home/EU and overseas).</td>
<td>Awaiting TRAC teaching data Feb 2007 to inform review</td>
<td></td>
</tr>
<tr>
<td>Taking a lead (in the Russell Group and with the DIIES) in addressing Bologna requirements.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Review of teaching quality and enhancement processes. (WP05)</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td><strong>Research</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identification of major future research themes.</td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Defining UCL’s expectations of its academic staff. (WP05)</td>
<td></td>
<td>✓ (all aspects – teaching, research, enabling etc)</td>
</tr>
<tr>
<td>Assessment of individual’s research strength for the RAE submission 2008. (WP05)</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Proper preparation of UCL’s submission to the RAE 2008. (WP05)</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Preparation of Research Strategy. (WP05)</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Development of Full Economic Costing.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Actions</td>
<td>Progressing as proposed</td>
<td>Completed</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>--------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td><strong>Staffing</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Recruitment and retention of best academics and support staff.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Staff morale assessment – UCL staff survey and Athena ASSET survey of staff in SET subjects.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Improved opportunities for women academics’ career development and contract research staff.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Support for programme of change management.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Better implementation of HR policies.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td><strong>Estates</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improving the infrastructure.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Development of a university campus in Bloomsbury.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Maximising the value of UCL’s estate.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Building flexibility into the planning of new and refurbished buildings to cope with future changes in the delivery of education.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td><strong>Communications</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improving UCL’s communications – internally and externally.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td><strong>Information</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implementation of UCL’s Information Strategy.</td>
<td>An Implementation Plan is being finalised. Need for a Chief Information Officer identified.</td>
<td></td>
</tr>
<tr>
<td>Modernisation of UCL’s major administrative systems to improve quality, timeliness and delivery of management information.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Enhancement and upgrading of UCL’s ICT infrastructure.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td><strong>Corporate Support Services (CSS): Faculties/Academic Departments</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Improve the efficiency and cost-effectiveness of the CSS, their interface with Academic Departments and their handling of externally-driven bureaucracy.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Review of structures within Biomedicine and in terms of the interface with CSS.</td>
<td>In hand, following reorganisation of the Faculty of Clinical Sciences and the PGIs</td>
<td></td>
</tr>
<tr>
<td>Review of admissions business processes. (WP05)</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Actions</td>
<td>Progressing as proposed</td>
<td>Completed</td>
</tr>
<tr>
<td>------------------------------</td>
<td>--------------------------</td>
<td>-----------</td>
</tr>
<tr>
<td><strong>International</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ensure competitiveness with other major international universities.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Develop global and national strategic partnerships and alliances.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td><strong>London</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Define UCL’s role within London.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Define UCL’s relationship within University of London.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td><strong>Campaign for UCL</strong></td>
<td></td>
<td>✓</td>
</tr>
<tr>
<td>Define priorities for the Campaign.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Financial</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identify costs to support the future strategy.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Develop a resource allocation model (RAM), with greater financial devolution to Deans and Heads of Departments.</td>
<td>✓</td>
<td></td>
</tr>
<tr>
<td>Introduction of a Regeneration Programme 2005-08. (WP05)</td>
<td>✓</td>
<td></td>
</tr>
</tbody>
</table>

MJG/January 2007
Annex 2: Excellence and the UCL community: a shared endeavour

Foreword

UCL has an outstanding array of talent across its staff and students. Throughout this community runs the common thread of commitment to academic excellence; that is, to the conduct of research, publication, teaching and other forms of knowledge transfer, at the highest levels of international achievement. It is this talent, and the environment in which it is fostered, that allows UCL to flourish as a world-class university. Universities are communities of scholarship in which talented individuals are entrusted with a high degree of autonomy to develop an appropriate balance of activity which includes an obligation to undertake curiosity-driven research, teaching and enabling activities, and complying with national legislation such as health and safety or employment law.

This academic mission is the prime purpose of a university, upon which all our energy needs to be focused. UCL is an academic-led institution. We are entitled as a leading research university to have the highest expectations of all of our academic colleagues, throughout their careers at UCL, while accepting that the balance between components of different colleagues’ contributions - to research, teaching, enabling and knowledge transfer - will naturally vary and may also change over time. Regular review of this balance needs to become part of our programme of annual appraisal.

We also recognise that people’s ability to meet these expectations depends upon their having proper support from the institution, both directly in terms of resources, and less directly in terms of sustaining a thriving community of scholarship.

This paper sets out what we believe this means at UCL.

Malcolm Grant
President and Provost
Section One: Research

We expect that academic staff will undertake research, and will disseminate the results of that research as appropriate, and that the quality of their research will meet international standards of excellence.

The criteria for the forthcoming Research Assessment Exercise provide definitions of standards of quality that, although not unproblematic, are widely accepted across the research community and help us define an overall institutional aspiration. This is that UCL expects academic departments to aspire to the top levels of research assessment, and that all academic staff undertaking research should aim to achieve a rating of at least 3* in RAE 2008.¹

For individual academic staff, this gives rise to an expectation that they will:

1. Regularly publish research material or produce other research outputs in a form eligible for inclusion in RAE or for equivalent peer review;

2. Consistently give leadership in research, and produce research outputs of a quality that is internationally excellent in terms of originality, significance and rigour;

3. Engage with the research life of their department, and, by doing so, help it to sustain a strong research culture. Contribution to the research environment will vary between disciplines but may typically include: attracting research income, research students and research studentships (see also 6 below), externally funded research fellowships, and distinguished overseas scholars to the department; provision of graduate research seminars; knowledge transfer activity;

4. Be proactive in applying for available research funding, and prove themselves capable of winning external research funding obtained on a competitive basis and through a process of peer review;

5. As appropriate to career stage and discipline, demonstrate an ability to manage research projects/programmes and promote the training and development of early career researchers and/or research assistants, including mentoring of colleagues, helping them to develop their research skills and to realize their research potential;

6. Satisfy their department’s expectations in terms of supervision of research students, and assist students’ timely and successful completion of research degree studies;²

7. More generally, contribute to the development of their field(s) of research activity, nationally and internationally, through, e.g., regular presentations at conferences, invitations to give key lectures, membership of peer review panels and/or subject associations or committees, editorial responsibilities in respect of major international journals and conferences, and reviewing research applications.

¹ This statement should be read in conjunction with the UCL code of practice on preparing RAE 2008 submissions.

² In accordance with (i) the UCL Code of Practice for Graduate Research Degrees and (ii) the expectations of the relevant UK research council or research sponsor.
Section two: Teaching

Teaching is an essential function of a research university. It is an important mode of dissemination of knowledge and for inculcating in students the values of thought and research. Our strategy for teaching\(^3\) takes account of the changing national and international context of higher education in the UK and the recognition that UCL graduates will be making a leading contribution to an increasingly globalized world. We want the quality of the whole student experience to be outstanding both academically and pastorally. Teaching should be designed to inspire and motivate students to achieve their full potential.

We expect that all our academic staff will undertake teaching. This will commonly be at both undergraduate and postgraduate level, and includes research supervision.

For individual staff, this gives rise to an expectation that they will:

1. Undertake teaching that is research-led and also, where appropriate, research-centred (i.e. in which students undertake research);

2. Undertake teaching that, where appropriate to the subject matter, properly integrates issues of diversity and equal opportunity, and acknowledges issues of gender, ethnicity, faith, nationality and disability;

3. Contribute to a student experience that is intellectually challenging and that helps develop qualities of global citizenship, social responsibility, and leadership;

4. Undertake appropriate professional development and training in teaching methodology/practice;

5. Contribute to the development and conduct of assessment that is fair, just, transparent, fully recognises equal opportunities and challenges the creativity and abilities of UCL students;

6. Undertake work as examiners, both internally and, as appropriate, as external examiners;

7. Innovate in teaching and learning and assessment methods, drawing on available technologies;

8. Provide student support, appropriate and timely feedback and guidance as personal tutors.

9. To work in the scholarship of their discipline and continue to be part of their scholarly community.

\(^3\) UCL Institutional Learning and Teaching Strategy 2005-2010
Section three: Enabling

Enabling takes many forms. It includes all the positive obligations of citizenship that flow from being a member of an academic community. It includes the generous help, support and fostering of the work of others, especially younger and newer colleagues, that has always been the hallmark of the conscientious academic; it includes support for and collaboration with administrative and technical staff. In some cases these obligations are formalized. Headship of Department, for example, is a challenging management and leadership role. Good academic citizenship is an essential facet of any career, and outstanding and selfless contributions warrant proper recognition.

Examples of enabling are: service as Chair or member of a UCL Committee or working group, Chair or member of an Internal Quality Review (IQR) team, representation of UCL overseas, service in a role of UCL, departmental or Faculty responsibility (e.g. as an admissions tutor, programme director, graduate tutor).

For individual academic staff, this gives rise to an expectation that they will:

1. Contribute to innovative curriculum development (introduction and review of courses and programmes), in line with UCL strategies and policies;
2. Participate in Quality Assurance and Enhancement processes, including annual monitoring and IQR, at departmental, faculty and/or institutional levels;
3. Undertake roles of responsibility and serve on committees, working groups and panels within UCL;
4. Where appropriate, represent UCL or their discipline on national and international bodies;
5. Provide appropriate support and guidance to more junior colleagues and make an active contribution to an inclusive community in which diversity is embraced and celebrated;
6. Work in collaboration with UCL’s Corporate Support Services to ensure administrative processes run smoothly and effectively;
7. Be aware that in every circumstance, they are ambassadors for UCL and in all communications aim to enhance UCL’s reputation.

Section four: Knowledge Transfer

UCL’s primary mechanisms for knowledge transfer are the supply of well-educated graduates, research publications and academic texts. Other modes involve more direct engagement with external organisations in more direct ways, such as consultancy, research collaborations, short courses, events, sponsored studentships, and technology commercialisation. Such activities generally enrich the research and teaching of those who engage in them.

UCL has committed to a major expansion and reframing of these knowledge transfer activities to enable and encourage its academic staff and students to engage with industry, government and community organisations. Opportunities differ between disciplines. But UCL regards knowledge transfer as an integral part of an academic’s portfolio, enriching other aspects of academic activity, and will recognise and reward significant contributions accordingly.

For individual academic staff, this gives rise to an expectation that they will:
1. Seek out and pursue opportunities to engage directly with external organisations in ways that result in direct transfer of their expertise and knowledge to the benefit of businesses and the community;

2. Give encouragement and support to other staff and students to engage with external organisations where such activity is congruent with their research and teaching strengths;

3. Act in a professional manner in relation to such activities, ensuring that the need of the partner is understood, that expectations are aligned and that every effort is made to ensure excellence in delivery;

4. Conduct negotiations in collaboration with UCL in a timely and responsive manner, assisting UCL to secure reasonable contractual terms.

Section five: Institutional obligations

UCL will:

1. Provide an intellectual and physical environment that is supportive of all areas of academic activity, including excellent laboratories and library resources and learning technologies;

2. Secure administrative and technical support that is of the highest quality, efficient, effective and responsive, and aligned to the support and promotion of the academic mission while also protecting UCL’s institution-wide needs and priorities;

3. Develop and support high quality academic leadership for all areas of academic activity and enable UCL managers to attain the management competencies UCL requires of them;

4. Provide proper support for the development of individuals’ careers, including regular performance review;

5. Provide professional support for academic staff engaged in knowledge transfer, consultancy, industrial research collaboration, policy shaping, and other forms of knowledge transfer;

6. Maintain and implement fair policies on equal opportunities, harassment, grievance and disciplinary matters;

7. Recognise excellence by ensuring that cases for reward and promotion of academic staff are rigorously and fairly assessed against clear and consistent policies, which acknowledge and value excellence in research, teaching and other modes of knowledge transfer, and enabling;

8. Offer opportunities and provide encouragement to undertake professional development and training of the highest quality;

9. Provide support for those undertaking roles as examiners, IQR reviewers, committee Chairs, representatives on national bodies and other roles of institutional citizenship;
10. Develop a fresh approach to workload allocation across the portfolio of academic duties (e.g., teaching duties/student contact hours/knowledge transfer/research time/administrative duties);

11. Offer sabbatical leave in accordance with institution-wide policies;

12. Provide information, guidance and other support for academic responsibilities as a researcher and teacher;

13. Provide support and training in academic roles (such as research group leader or personal tutor to students);

14. Offer opportunities and provide encouragement to participate in scholarly activity such as conferences, editorial duties and learned societies.

September 2006