



COUNCIL

Wednesday 6 July 2011

MINUTES

PRESENT:

Sir Stephen Wall (*Chair*)

Professor David Attwell	Dr Bob Barber
Ms Anne Bulford (<i>Treasurer</i>)	Mr Matthew Burgess
Mr Michael Chessum	Ms Philippa Foster Back
Professor Malcolm Grant	Mr Rob Holden
(<i>President and Provost</i>)	Ms Catherine Newman
Ms Vivienne Parry (<i>Vice-Chair</i>)	Dr Benet Salway
Dr Gill Samuels	Dr Stephanie Schorge
Professor Nick Tyler	Baroness Warwick of Undercliffe
Professor Maria Wyke	

In attendance: Professor Steve Caddick (Vice-Provost (Enterprise)); Mr Andrew Grainger (Director of Estates); Mr Rex Knight (Vice-Provost (Operations)); Mr Nick McGhee (Academic Services); Mr Tim Perry (Secretary to Council); Ms Mandy Smith (Democracy and Engagement Officer, UCL Union); Mrs Alison Woodhams (Director of Finance).

Apologies for absence were received from Mr Mark Knight, Ms Katharine Roseveare and Professor Chris Thompson.

Any member of Council who had (or who knew of a family member who had) a material, personal, financial or other beneficial interest in any item on the Agenda was requested to declare that interest at the beginning of the meeting in order that such declaration could be recorded in these Minutes.

Key to abbreviations used in these Minutes:

AB	Academic Board
AC	Academic Committee
CEO	Committee for Equal Opportunities
CSS	Corporate Support Services
CUC	Committee of University Chairmen
EIRC	Ethical Investment Review Committee
FC	Finance Committee
HEFCE	Higher Education Funding Council for England
HEI	higher education institution
HEIF	Higher Education Innovation Fund
HRPC	Human Resources Policy Committee
ISD	Information Services Division
KPI	key performance indicator
MHCPC	Museums, Heritage and Cultural Property Committee
SGC	Strategic Governance Committee
SLASH	School of Laws, Arts, and Social Sciences
SMT	(Provost's) Senior Management Team
THE	Times Higher Education
UCLU	UCL (Students') Union
UKCMRI	UK Centre for Medical Research and Innovation

Preliminary Formal Business

93 HONOURS AND AWARDS

Noted

- 93.1 A number of members of the UCL community had been recognised in the Queen's Birthday Honours list in June 2011. These included: Professor Jeffrey Jowell (Faculty of Laws), who became a Knight Commander of the Order of Saint Michael and Saint George, for services to human rights, democracy and the rule of law in Europe; and Professor Jenny Thomas (Department of Physics and Astronomy), who received the CBE for services to science.

Received

- 93.2 Appendix C 5-94 (10-11) – a list of the major prizes *etc* recently awarded to members of the academic community of UCL, including a Fellowship of the Royal Society to Professor John Morton (Institute of Cognitive Neuroscience).

94 MINUTES

Approved

- 94.1 The Minutes of the meeting of Council held on 24 March 2011 [*Council Minutes 57-84, 2010-11*] were confirmed by Council and signed by the Chair.
- 94.2 The Minutes of the meeting of Council held on 19 May 2011 [*Council Minutes 89-92, 2010-11*] were confirmed by Council and signed by the Chair.

95 MATTERS ARISING FROM THE MINUTES

[see also Minutes 97, 115 and 116 below]

95a UCL and the School of Pharmacy

[Council Minute 90, 2010-11]

Received

- 95a.1 Oral reports by Rex Knight, Vice-Provost (Operations) and the Chair.

Reported

- 95a.2 The due diligence process was underway but not yet complete so that it was not appropriate to put a formal merger proposal to the present meeting. Council had Resolved at its meeting on 19 May 2011 that under these circumstances the Chair be authorised to approve the merger with the School of Pharmacy on Council's behalf [*Council*

Minute 90.7, 2010-11]. The School of Pharmacy Council would be required to pass a Special Resolution formally to proceed with winding up the School, petition to surrender its Charter etc at two consecutive Special General Meetings, scheduled for 22 September and 13 October 2011.

- 95a.3 The Chair proposed that, subject to the satisfactory completion of the due diligence process, the Chair of the School of Pharmacy Council be co-opted as a supernumerary member of UCL Council with effect from the date on which the merger took effect, with a view to being subsequently appointed as a lay member as soon as a vacancy arose.

RESOLVED

- 95a.4 **That Lord Clement Jones, Chair of the Council of the School of Pharmacy, be co-opted to membership of UCL Council with effect from the date of the merger of the two institutions, anticipated to be 1 January 2012.**

96 **MEMBERSHIP OF COUNCIL 2011-12**

96a **Lay members**

Noted

- 96a.1 Ms Catherine Newman would step down as a lay member of Council on 30 September 2011.

- 96a.2 Ms Anne Bulford was expected to step down as Treasurer of UCL in September 2012. It was intended that her prospective successor as Treasurer would join Council as a lay member in the 2011-12 session prior to taking up the elected office of Treasurer on 1 October 2012. A panel of Council members and officers, chaired by Sir Stephen Wall, was currently working with executive search consultants to identify the prospective new Treasurer. It was hoped to put a name to Council, via the Nominations Committee, for formal approval in the near future.

96b **Student members**

Noted

- 96b.1 Mr Matt Burgess and Mr Michael Chessum would step down as student members of Council on 31 July 2011. The new student members of Council with effect from 1 August 2011 – elected by the UCL Union as, respectively, Education and Campaigns Officer and Finance and Services Officer for the coming session – would be Mr Luke Durigan and Mr Timothy Rees Jones.

RESOLVED

- 96.1 **That Council record its thanks to all outgoing members for their contribution to the work of Council.**

Statutory and Formal Business – Matters for Formal Approval

97 **SCHOOL OF LIFE AND MEDICAL SCIENCES: RESTRUCTURE**

[Council Minute 74, 2010-11]

Noted

97.1 UCL Statute 8(1) provided that:

There shall be within the College such Faculties as the Council on the advice of the Academic Board may from time to time determine.

97.2 UCL Statute 10(1) provided that:

There shall be such academic units of the College as the Council on the advice of the Academic Board may from time to time determine, with such powers as determined by the Council on the advice of the Academic Board. ... The academic units of the College shall be designated Departments or Divisions or have such other designation as the Council on the advice of the Academic Board may from time to time determine.

97.3 At its meeting on 24 March 2011 Council Resolved:

That, subject to consultation on the names of the Faculties concerned, and further consideration of detailed proposals at its meeting on 6 July 2011, Council endorse the proposals for restructuring of the School of Life and Medical Sciences set out at APPENDIX C 3/68 (10-11).

97.4 Following further consultation within the School of Life and Medical Sciences, Academic Board formally endorsed the restructuring proposals at its meeting on 25 May 2011.

97.5 The proposals, if approved, would require amendments to the schedule of academic units set out in Regulation for Management 11.1 *[see Minute 98 below]*.

Received

97.6 Appendix C 5-95 (10-11) – a note by the Vice-Provost (Health), setting out the final proposals for the restructuring of UCL's School of Life and Medical Sciences.

RESOLVED – *on the recommendation of Academic Board*

97.7 **That, in accordance with UCL Statute 8(1), the Faculty of Biomedical Sciences be disestablished with effect from 1 August 2011 and Faculties of Brain Sciences, Medical Sciences and Population Health Sciences be established with effect from 1 August 2011.**

- 97.8 **That, in accordance with UCL Statute 10(1), the schedule of academic units of UCL, as set out at UCL Regulation for Management 11, be amended with effect from 1 August 2011 to take account of the proposals set out at Appendix C 5-95 (10-11).**

98 **REGULATIONS FOR MANAGEMENT – AMENDMENTS**

Received

- 98.1 Appendix C 5-96 (10-11) with Annexe 1 – a note by the Secretary to Council, introducing proposed amendments to UCL Regulations for Management 3, 4, 9, 10, 11, 12 and 18.

RESOLVED

- 98.2 **That the amendments to Regulations for Management as set out in the Secretary's note at Appendix C 5-96 (10-11) with Annexe 1 be approved.**

99 **INSTITUTE OF ZOOLOGY**

Received

- 99.1 Appendix C 5-97 (10-11) – a note summarising proposals for UCL to enter into a Connected Institution Agreement with the Institute of Zoology with effect from 1 August 2011, with, at Annexe 1, the proposed Memorandum of Understanding between UCL and the Zoological Society of London in respect of these proposals.

RESOLVED – *on the recommendation of the Faculty of Life Sciences*

- 99.2 **That Council approve the Memorandum of Understanding at Appendix C 5-97 (10-11) – Annexe 1.**

100 **REFORM OF THE UCL COMMITTEE SYSTEM**

[Council Minute 36, 2010-11]

Received

- 100.1 Appendix C 5-98 (10-11) with Annexe 1 – a note by the Vice-Provost (Operations) and the Secretary to Council.

RESOLVED – *on the recommendation of the Council sub-group on committees reform*

- 100.2 **That Council approve the report and recommendations of the Council sub-group on committees reform at Appendix C 5-98 (10-11) with Annexe 1.**

101 **LEAD OFFICER REPORTS**

[see also Minute 100 above]

Received

101.1 Appendices C 5-99 – 5-101 (10-11) – Lead Officer reports for the following areas:

- Careers and Employability;
- Student Accommodation;
- Student Welfare Co-ordination.

Noted

101.2 In accordance with the arrangements approved by Council at its meeting on 24 November 2010 *[Council Minute 34, 2010-11]*, the above reports had been received by Academic Committee and recommended to Council for approval by Academic Board. A report by the Vice-Provost (Research), as Lead Officer for Research Strategy, had also been received and recommended in this way but was not issued to Council hereunder as it was incorporated into the paper outlining UCL's Research Strategy (APPENDIX C 5-123 (10-11)) *[see Minute 122 below]*.

RESOLVED – *on the recommendation of Academic Board*

101.3 **That Council approve the Lead Officer reports on (i) Careers and Employability, (ii) Student Accommodation, and (iii) Student Welfare Co-ordination – at Appendices C 5-99, 5-100 and 5-101 (10-11) respectively.**

102 **COMMITTEE FOR EQUAL OPPORTUNITIES – ANNUAL REPORT 2009-10**

[Council Minute 32, 2009-10]

Noted

102.1 The CEO was charged by its terms of reference, *inter alia*:

To devise and either approve or recommend for approval by the appropriate UCL committees policies and procedures designed to ensure that equal opportunities are integral to the learning, working and social environment of UCL.

102.2 The CEO was further charged by its terms of reference to make an annual report to Council, *via* Academic Committee.

Received

102.3 At Appendix C 5-102 (10-11) – the CEO's Annual Report to Council for 2009-10, endorsed by the Chair of AC on behalf of AC.

RESOLVED - on the recommendation of Academic Committee

102.4 **That the Annual Report 2009-10 of the Committee for Equal Opportunities at Appendix C 5-102 (10-11) be approved.**

103 **EQUALITIES AND DIVERSITY STRATEGY 2011-2014**

Noted

103.1 The proposed UCL Equalities and Diversity Strategy for 2011-14 had been endorsed by the Committee for Equal Opportunities and the Human Resources Policy Committee at their meetings on 9 March and 6 June 2011 respectively.

Received

103.2 Appendix C 5-103 (10-11) – a note introducing, at Annexe 1, the Equalities and Diversity Strategy.

RESOLVED – on the recommendation of the Committee for Equal Opportunities and the Human Resources Policy Committee

103.3 **That Council approve the Equalities and Diversity Strategy 2011-14 at Appendix C 5-103 (10-11) – Annexe 1.**

104 **DATES OF COUNCIL MEETINGS 2011-12**

Noted

104.1 UCL Regulation for Management 2.12 provided that:

The dates of Ordinary Meetings of the Council in any one year shall be settled before the commencement of that year.

104.2 In addition to the dates of ordinary Council meetings set out below, the annual Council/SMT 'away day' would take place on **Thursday 19 January 2012** at a venue to be confirmed.

104.3 It had been agreed at the Council meeting of 24 March 2011 that it would be prudent to allow for an increase in the number of annual meetings of Council when dates for 2011-12 were canvassed, pending the outcome of the deliberations of the Council Effectiveness Review Group [Council Minute 81, 2010-11]. The Council Review Group [see Minute 115 below] had subsequently recommended one additional Council meeting in 2011-12. It was therefore proposed to schedule six Council meetings in 2011-12, one of them 'if needed', in addition to the away day.

RESOLVED

104.4 **That Council meetings be held on the following dates in the year 2011-12:**

- 4 October 2011 at 4pm
- 23 November 2011 at 4pm
- 19 January 2012 (Council / SMT away day)
- 1 March 2012 at 4pm *[if needed]*
- 4 April 2012 at 2.30pm
- 15 May 2012 at 4pm
- 4 July 2012 at 4pm

Statutory and Formal Business – matters for Information
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105 **HEFCE'S ASSESSMENT OF INSTITUTIONAL RISK**

Received

105.1 Appendix C 5-104 (10-11) – a letter of 13 June 2011 from the Chief Executive of HEFCE to the Provost, regarding HEFCE's risk assessment of UCL.

Noted

105.2 The HEFCE letter requested that the letter be formally presented to the next meeting of the governing body. The letter concluded that UCL 'is not at higher risk', while noting that the Audit Committee's annual report 2009-10, submitted in the annual accountability return, omitted the Committee's conclusions on the adequacy and effectiveness of UCL's governance arrangements. HEFCE had requested that this information be included in future reports.

106 **UCL ANNUAL REVIEW 2010**
[Council Minute 70, 2009-10]

Noted

106.1 The UCL Annual Review 2010, recently circulated to Council members, would be filed with the Minutes of this meeting as Appendix C 5-105 (10-11).

107 **UCL UNION – ANNUAL REPORT 2009-10**

[Council Minute 103, 2009-10]

Noted

- 107.1 The Code of Practice for UCL Union, drawn up in the light of the Education Act (1994) and approved by Council at its meeting on 5 April 1995 [Council Minute 29, 1994-95], provided, *inter alia*, that:

The Union shall publish an annual report for submission to its members at an Annual General Meeting for submission to the College Council at its last normal meeting of each session.

- 107.2 According to the arrangements agreed following the Council meeting of 16 June 2004, and subsequently by Council officers, the draft 2009-10 Annual Report of UCLU was presented to the 6 July 2010 meeting of Council for consideration and approval in principle, with the final version of the report to be received for information a year later (in view of the fact that the Union does not formally sign off the Annual Report and summary financial statements until the following year's AGM). Council had approved in principle the draft Annual Report of UCL Union for 2009-10 at Appendix C 5/100 (09-10).

Received

- 107.3 Appendix *¹ C 5-106 (10-11) – the final version of the Annual Report of UCL Union for 2009-10.

108 **THE FRANCIS CRICK INSTITUTE – PROGRESS REPORT**

[Council Minute 86, 2010-11]

Noted

- 108.1 In July 2011 the UK Centre for Medical Research and Innovation (UKCMRI) would be renamed The Francis Crick Institute. The update report below had been received by Finance Committee at its meeting on 28 June 2011.

Received

- 108.2 Appendix C 5-107 (10-11) – an update report from the Director of Finance.

¹ An appendix reference preceded by an asterisk indicates that, for the sake of economy, the document was not issued with the Agenda but is filed with these Minutes.

109 **NOMINATIONS COMMITTEE – ANNUAL REPORT 2010-11**

Noted

109.1 The Annual Report 2010-11 of the Nominations Committee would be submitted to the Council meeting of 4 October 2011.

110 **ETHICAL INVESTMENT REVIEW COMMITTEE – ANNUAL REPORT 2010-11**

Noted

110.1 Under its terms of reference, the Ethical Investment Review Committee (EIRC) was charged, inter alia:

To receive requests from members of UCL for the review on ethical grounds of individual stocks included in UCL's current investment portfolio.

110.2 No such requests had been received by EIRC during session 2010-11. Consequently, the Committee had not had cause to meet in the last year and was therefore not submitting an annual report.

111 **REPORTS OF COMMITTEES TO COUNCIL**

[*Note: Any matters arising from meetings of committees which required discussion or the formal approval of Council appear as separate items in the Minutes.*]

111a **Academic Board**

Noted

111a.1 The Minutes of the meetings of Academic Board held on 2 March and 25 May 2011, issued previously to Council members, would be filed with the Minutes of this meeting (as Appendices C 5-108 and C 5-109 (10-11)).

111b **Academic Committee**

Noted

111b.1 The Minutes of the meeting of Academic Committee held on 12 May 2011, issued previously to Council members, would be filed with the Minutes of this meeting (as Appendix C 5-110 (10-11)).

111c **Finance Committee**

Noted

111c.1 The Minutes of the meeting of Finance Committee held on 23 March 2011, issued previously to Council members, would be filed with the Minutes of this meeting (as Appendix C 5-111 (10-11)).

111d **Audit Committee**

Noted

111d.1 The Minutes of the meeting of Audit Committee held on 16 March 2011, issued previously to Council members, would be filed with the Minutes of this meeting (as Appendix C 5-112 (10-11)).

111e **Other committees reporting to Council**

Noted

111e.1 The Council officers had also received Minutes of the following meetings of committees reporting to Council:

- Estates Management Committee (26 January 2011);
- Museums, Heritage and Cultural Property Committee (30 March 2011);
- Nominations Committee (16 March 2011).

111e.2 In accordance with the UCL Committee Operations Code of Practice, the Chair had confirmed that the above Minutes did not contain any matters which needed to be brought to the attention of Council (other than any matters arising from these Minutes separately notified to the Council officers for consideration by Council).

112 **APPOINTMENTS**

Received

112.1 Appendix C 5-113 (10-11) – a list of recent appointments (i) of Vice-Provosts; (ii) of Deans of Faculty; (iii) of Heads of Academic Departments; and (iv) to Chairs tenable at UCL.

113 **ACTION TAKEN BY THE CHAIR ON BEHALF OF COUNCIL**

[see also Minute 112 above]

Noted

113.1 The Chair had taken action on behalf of Council to approve the following:

- clarification of quoracy rules in respect of standing Redundancy Committee (for fixed-term appointments);
- amended membership of Redundancy Committee (for fixed-term appointments);
- terms of reference, constitution and membership of the new Health and Safety Committee;
- revised Centralised Complaints Procedure;

- MHCPC proposals for disposal of items from the UCL Museums and Collections;
- Religion and Belief Equality Policy for Students.

113.2 At Appendix * C 5-114 (10-11) with * Annexes 1-3 – further details of the background to the Chair’s action in respect of the above.

114 **DATE OF NEXT MEETING**

[see Minute 104 above]

Noted

114.1 The next meeting of Council was scheduled to take place on **Tuesday 4 October 2011 at 4.00 pm.**

Strategic and Management Business

115 COUNCIL EFFECTIVENESS REVIEW

[Council Minute 81, 2010-11]

Received

- 115.1 Appendix C 5-115 (10-11) with Annexe 1 – the report of the Council Review Group.
- 115.2 An oral report by Vivienne Parry, Vice-Chair of Council, as Chair of the Council Review Group.

Reported

- 115.3 The Ranmore report into the effectiveness of Council had made 28 specific recommendations, in addition to one encompassing recommendation – that Council consider and confirm its fundamental approach to governance. The strength of opinion amongst Review Group members was that, notwithstanding its oversight function, Council should in future focus more closely on strategic governance to support institutional performance. The Review Group had considered in some detail how Council could assure itself that it was receiving the information required to discharge this role effectively, and had discussed how areas of responsibility and reporting structures might be streamlined and clarified.
- 115.4 The Review Group's conclusions were centred around three broad areas: strategy, institutional performance, risk and review; academic governance; and Council committees. In respect of the first of these, the Review Group had identified a need to rationalise the way in which matters came forward to Council and to streamline the agenda papers, and proposed that a more visible annual reporting structure be developed with termly reporting to Council on a set of agreed areas of risk. 'Academic governance' referred to the perceived need to strengthen information flows from the academic community to Council via Academic Board (AB) and Academic Committee (AC), as well as to the role of a proposed new Strategic Governance Committee (SGC). The Review Group also made recommendations in respect of existing Council committees, mindful of the ongoing work of the Council sub-group which was already overseeing the process of reform of the formal system of committees at UCL.

Discussion

- 115.5 Council members reaffirmed the need to become a more strategic body. It was generally agreed that the current volume of business was hampering the effective operation of Council. The Review Group's proposal that the number of annual meetings be increased by one would not in itself be enough to solve the business overload problem

and a more fundamental review of Council business was needed. It was suggested that Council might designate some meetings for strategic matters, others for the consideration of governance issues and/or formal business. The Provost agreed that there would be benefit in Council being in a position to bring the skill set of Council members to bear on a small number of strategic issues according to a pre-agreed annual timetable, with which the SMT agenda could then be aligned. It was noted, however, that much Council business was dictated by statutory or HEFCE requirements, or in accordance with CUC guidelines, and it was suggested that lay members in particular needed a certain volume of management information in order to be able to take an informed view on strategic matters.

- 115.6 A suggestion was made that Council needed the same kind of clear information on academic matters as it was already receiving on financial business. It was suggested that a more clearly defined structure of delegation could help streamline the Council agenda. Council discussed the possible function of a Strategic Governance Committee as outlined in the Review Group's paper. A range of views was expressed as to what the remit of such a body might be. For example, it was suggested that SGC might be tasked with sifting the Council agenda to identify the key issues and alerting Council to trends and matters of concern. It was also suggested that, to combat the risk of SGC duplicating issues addressed at committees such as FC or HRPC, it ought not to have an overarching remit but, like FC or HRPC, should be a Council committee with a defined area of business.
- 115.7 The view was expressed by a number of Council members that an increased flow of information from the academic community to Council was needed. It was suggested that any proposal to increase the academic membership of Council was unworkable, not only because of CUC guidelines that provided for a majority of lay members but also because Council's academic members should not be expected to represent a particular academic constituency. The formal relationship between AB and AC was unclear to some members and there were suggestions that AB needed to be reformed. The Provost noted that he had proposed reforms of AB in 2003-04, including its replacement by a body more akin to the Senates of other HEIs, but these proposals had been rejected by AB. It was suggested, however, that, notwithstanding its size, AB had on occasion made decisive interventions on major academic policy issues. A number of staff and student members suggested there was a need for a mechanism for the expression of discontent with management decisions on the part of students or staff and that some matters of detail came before Council because there was currently no alternative route for them to take through the UCL committee structure.
- 115.8 It was agreed that the Review Group made a number of sensible proposals relating to the nature of Council papers. The view was expressed that, in some other respects, it would be important in taking forward the findings of the Review Group to ensure that Council did not become too involved in detailed technical issues but rather moved towards realising a high-level strategic role. The Provost was asked in

what ways Council could be most valuable from his point of view and he indicated a threefold role for Council: to challenge UCL strategy; to monitor, at an appropriately high level, the management of UCL; to act as a board of trustees for UCL.

- 115.9 The Chair, the Secretary and the Vice-Provost (Operations) would take these matters forward, in consultation with the Provost and the Review Group Chair. In respect of the committee structure, the Council sub-group set up to consider this question would give further consideration to the Review Group's proposals, taking into account suggestions made in respect of the future of the HR Policy Committee by the Director of HR.

RESOLVED

- 115.10 **That follow-up action be taken as indicated above in light of Council's discussion of the Review Group's report.**

116 **PROVOST'S GREEN PAPER**

[Council Minute 89, 2010-11]

Noted

- 116.1 At its meeting on 19 May 2011 Council had endorsed the Provost's draft Green Paper and agreed to its dissemination to the wider UCL community.

Received

- 116.2 Appendix C 5-116 (10-11) – a note by the Provost, summarising responses to the subsequent consultation process and of proposed revisions to the Green Paper in the light of these.
- 116.3 Appendix C 5-117 (10-11) – a note by the Vice-Provost (Operations), outlining proposals for future planning processes for UCL and indicating how the UCL Strategy 2011-21, assuming it was adopted by Council as a 'White Paper', would be implemented.
- 116.4 Oral reports by the Provost and the Vice-Provost (Operations).

Reported

- 116.5 Following the meeting of Council on 19 May 2011 the Provost had made further revisions to the Green Paper before publishing it on the public pages of the UCL website. A series of town hall meetings, meetings with particular groups and two presentations to Academic Board (one of them combined with one of the town meetings) had followed. The UCL community was evidently supportive of the general thrust of the Green Paper. The Provost was now requesting Council's authorisation to make further modifications in response to the comments he had received before publishing the paper online as a Council White Paper. An executive summary would also be produced and circulated in hard copy.

- 116.6 The developing framework for annual planning outlined by the Vice-Provost (Operations) would complement existing strategies to form the basis of a UCL strategic agenda. It was intended that financial planning be aligned with the framework with the aim of giving greater stability through the planning process and allowing operational plans to be produced at faculty level.

Discussion

- 116.7 An academic member of Council enquired whether the framework would include a strategy for dealing with cases where faculties were unable to meet their budgetary targets. The Vice-Provost (Operations) confirmed that a procedure was already in place; such issues would emerge from the budgeting process and steps could then be taken with the faculty concerned to manage the situation.
- 116.8 Whilst welcoming the general thrust of the Green Paper, a student member of Council queried the process by which the summary of responses had been produced, as it did not to his mind reflect a range of concerns raised by students regarding proposals in the Green Paper and the UK higher education funding context in which it had been developed. In response, the Provost advised that the document was not the appropriate place for responses to the broader political context.
- 116.9 Two academic members of Council suggested that a new approach was needed for the setting of faculty contributions to central costs, and that the present system had led to the situation which had caused Council to set up a Redundancy Committee in January 2010. In response, UCL officers noted that contribution rates were set on the basis of earning and expenses, taking historical performance into account. The view was expressed by a number of other Council members that Council did not need and ought not to be expected to discuss this kind of management issue, since it did not impact on the financial bottom line of UCL.
- 116.10 An academic member asked whether there would be a mechanism to mitigate the effects on UCL departments unable to make up the loss in core funding from the removal of the student number quota in respect of those scoring AAB or equivalent at A level. It was recognised that admitting increased numbers of AAB students would also increase the challenge of realising UCL's widening participation strategy. The Provost noted that a response to UCL's proposed OFFA agreement was expected imminently². Departments wishing to increase their student numbers through the AAB mechanism would be able to put forward a business plan outlining their proposals, but UCL would not as a matter of course seek to increase student numbers purely on the basis of there being sufficient demand.

2 On 11 July 2011 the Office for Fair Access confirmed approval of UCL's Access Agreement 2012-13.

RESOLVED

- 116.11 **That Council authorise the Provost to amend the Green Paper as necessary, and approve the publication of the revised Green Paper as a Council White Paper – the UCL Strategy 2011-21.**

117 FINANCIAL UPDATE 2010-11

[Council Minute 76, 2010-11]

Received

- 117.1 Appendix C 5-118 (10-11) – the Financial Update 2010-11 (June 2011), received by Finance Committee at its meeting on 28 June 2011.
- 117.2 An oral report by the Treasurer.

Reported

- 117.3 The forecast surplus for 2010-11 was now £29 million. This improvement on the original budget forecast was due principally to increased tuition fee and research income, enhanced management of budgets across all faculties, and reduced expenditure in corporate support service areas. The latter, except for Information Systems and Library Services, were expected to come in on budget. The overall picture was encouraging.

Discussion

- 117.4 There had been a significant deterioration in the profile of aged debt, primarily NHS debt. It was unclear whether NHS partners were simply unable to fulfil their obligations, or had chosen to prioritise other payments. The negative impact of the withdrawal of capital funding stream on UCL's cash flow position made this an ever more pressing issue. The question was raised as to whether debt needed to be budgeted on a different basis. In its close relationship with NHS partners UCL had limited leverage and the opportunities for collective action with other HEIs were limited too. The Treasurer noted that the Finance Committee would look more closely at the issue.
- 117.5 Council commended the Director of Finance and her team for the continuing improvements in the management of UCL's financial operations as well in the quality of the management information provided to Council.

118 **UCL BUDGET 2011-12**

Received

118.1 Appendix C 5-119 (10-11) – the draft UCL Budget for the financial year 2011-2012, received by Finance Committee at its meeting on 28 June 2011.

118.2 Oral reports by the Treasurer, the Director of Finance and the Provost.

Reported

118.3 Finance Committee had unanimously endorsed the proposed budget. The budget reflected the objective of delivering the annual surplus deemed essential in response to cuts in the capital funding stream, and incorporated an appropriate level of investment in the estate. Finance Committee had discussed in some detail concerns over the future cash flow position, which was expected to worsen over the coming 18 months.

Discussion

118.4 The Director of Finance was of the view that the 2011-12 budget was no less prudent but more realistic than the 2010-11 budget, which had made some exceedingly prudent assumptions, notably in respect of research income.

118.5 Noting the reference to the outsourcing of a number of services within the Estates Division, a Council member suggested that this outsourcing raised the possibility of reputational damage to UCL and queried whether the savings concerned were worth the risk of this. The Chair advised that this was an operational issue and would be a matter for Council only if it was suggested that management was not acting according to the law or UCL's instruments of government. A student member of Council reiterated his view that, if reputational risk were involved, this was a matter for Council.

RESOLVED – on the recommendation of Finance Committee

118.6 **That the draft UCL Budget 2011-2012 – at Appendix C 5-119 (10-11) – be approved.**

119 **UCL UNION ANNUAL REPORT 2010-11**

[Council Minute 116, 2009-10]

Noted

119.1 The Code of Practice for UCL Union, drawn up in the light of the Education Act (1994) and approved by Council at its meeting on 5 April 1995 *[Council Minute 29, 1994-95]*, provided, *inter alia*, that:

The Union shall publish an annual report for submission to its members at an Annual General Meeting for submission to the College Council at its last normal meeting of each session.

- 119.2 According to the arrangements implemented since the start of the academic year 2004-05, the Union submitted its draft Annual Report to Council's last normal meeting of the session. Subject to Council's approval in principle of the draft, the final version of the Annual Report was submitted to Council for information subsequently [see also Minute 107 above].

Received

- 119.3 Appendix C 5-120 (10-11) – the draft Annual Report of UCL Union for 2010-11.
- 119.4 An oral report by Mandy Smith, Democracy and Engagement Officer, UCL Union.

Reported

- 119.5 The UCLU had had a highly successful year. The budgetary position had been reversed in only two years to achieve a break-even point ahead of schedule. After five years of debate, a new governance structure had been agreed and put in place, with the Union due to become a Limited Liability Company with effect from 1 August 2011. The new team of sabbaticals would face a number of important issues, including some major capital projects, but the Union was now on a firmer footing than it had been for many years. Ms Smith paid tribute to the staff of the Union, as well as to UCL officers, for their support to the sabbaticals team in achieving this position.

Discussion

- 119.6 Council congratulated Ms Smith and her colleagues on an outstanding year.

RESOLVED

- 119.7 **That Council approve in principle the UCL Union (draft) Annual Report for 2010-11.**

120 **UCL BLOOMSBURY MASTERPLAN**

Received

- 120.1 Appendix C 5-121 (10-11) – a note 'Masterplan Summary and Key Strategies' with:

- Annexe 1 – a booklet, 'UCL Masterplan Bloomsbury Campus - Masterplan Summary Document'
- Annexe 2 – a draft three-year programme, providing an early indication of the scale of expenditure and allocation to different priorities
- Annexe 3 – a summary of evaluation of feedback received in the recent consultation on the Masterplan.

120.2 An oral report by Andrew Grainger, Director of UCL Estates.

Noted

120.3 At its meeting on 28 June 2011 Finance Committee had recommended the UCL Bloomsbury Masterplan to Council for approval.

Reported

120.4 The Estate Utilization Study carried out in 2010 had led to the appointment of planners charged with assisting UCL in the development of a strategic masterplan for the Bloomsbury estate, intended to identify the optimum uses of the estate in supporting UCL's academic mission. The estate had to date been a key constraint on the realisation of institutional strategy, a situation which the Bloomsbury Masterplan was designed to address. The remainder of the UCL estate would be similarly assessed in due course. Mr Grainger stressed that the Masterplan should be seen as a strategic framework rather than a prescriptive blueprint.

120.5 The Masterplan identified a number of key projects which, if realised, were expected to yield major improvements. One key proposal was the development of a student centre on the empty site next to the Bloomsbury Theatre on Gordon Street (the site previously intended for the cancelled Institute for Cultural Heritage project). A feasibility study would be undertaken in the near future.

120.6 Feedback received on the proposed Masterplan from members of the UCL community had focused mainly on proposals to relocate the academic common room, from the Housman Room to Gordon Square, and the Slade Research Centre in Woburn Square. A working group had been set up to consider further the options regarding the academic common room; discussions were ongoing regarding an alternative plan proposed by the Slade School of Fine Art for the future of the Research Centre.

120.7 The Masterplan had been endorsed by Estates Management Committee and Finance Committee. The detailed financial implications of taking forward the Masterplan would be considered by Finance Committee in due course.

Discussion

- 120.8 Discussions with Camden Council regarding the proposals for shared road / pavement areas on Gordon Square had been broadly positive to date. There appeared to be a reasonable prospect that the plan to reintroduce two-way running of traffic on Gower Street and Tottenham Court Road might come to fruition within the medium term.
- 120.9 Council agreed that UCL needed to review whether it made sense to continue to locate certain activities in highly expensive real estate in Bloomsbury. There were significant possibilities for acquisition of estate in East London, which the Provost and the Vice-Provost (Operations) and Mr Grainger's team were now exploring.
- 120.10 The Provost stressed the crucial importance of seizing present opportunities to develop and realise a UCL estate strategy which would facilitate the achievement of academic and educational strategies. Council endorsed the Provost's view, noting that a radical review of the estate depended on a clear vision of the essential purpose of a global university of the twenty-first century.

RESOLVED – on the recommendation of Finance Committee

- 120.11 **That Council approve the UCL Bloomsbury Masterplan.**

121 **UCL STUDENT RESIDENCES STRATEGY**

Received

- 121.1 Appendix C 5-122 (10-11) – a note on the proposed UCL Student Residences Strategy.
- 121.2 An oral report by the Director of UCL Estates.

Reported

- 121.3 At its meeting on 28 June 2011 Finance Committee had expressed broad support for the objectives of the proposed strategy but raised a number of specific questions about the proposed structure which it was expected would be fully resolved over the summer period. Against this background, the request for Council to confirm full approval of the strategy had been deferred.

RESOLVED

- 121.4 **That Council note the current position as set out at Appendix C 5-122 (10-11) .**

122 **UCL RESEARCH STRATEGY**

[see also Minute 101 above]

Received

122.1 Appendix C 5-123 (10-11) – the proposed UCL Research Strategy.

Reported

122.2 The presentation scheduled from the Vice-Provost (Research) had been postponed due to the pressure of other Council business. This would now take place at a subsequent Council meeting.

RESOLVED

122.3 **That Council approve the UCL Research Strategy at Appendix C 5-123 (10-11).**

123 **UCL ENTERPRISE STRATEGY**

Received

123.1 Appendix C 5-124 (10-11) – the proposed UCL Enterprise Strategy.

123.2 An oral report by Professor Steve Caddick, Vice-Provost (Enterprise).

Noted

123.3 The proposed Enterprise Strategy had also been received by Finance Committee at its meeting on 28 June 2011.

Reported

123.4 Consultation on the Enterprise Strategy had included presentations by the Vice-Provost (Enterprise) to UCL heads of departments and open meetings. Council was now being asked to approve the Strategy to enable UCL's application to HEFCE for renewed HEIF monies, to be submitted by the due date of 29 July 2011. The Enterprise Strategy sought to support and enhance UCL's core academic mission, increase the university's societal impact and confirm UCL's position as a leader in enterprise within the HE sector. Enhancing the UCL student experience and helping to instil in students an aptitude for enterprise were crucial elements of the Strategy. Mechanisms would be put in place to enable clear and regular assessment of progress towards the objectives set out in the Strategy, which had been received positively at recent meetings of the Provost's SMT and the Vice-Provost (Enterprise)'s external advisory board, as well as Finance Committee.

123.5 The Vice-Provost (Enterprise) also drew attention to the following:

- the need to develop and put into practice a nuanced understanding of ‘enterprise’ and a recognition of the various forms it could take;
- the intention to explore the scope for increasing interaction with alumni and philanthropy;
- the importance of strong internal and external communication strategies to promote and publicise UCL Enterprise;
- the important role of the chairs of the School Knowledge Transfer and Enterprise Boards in driving forward the Strategy;
- the commitment in the Strategy both to adding value to UCL’s academic mission and to providing additional support to UCL students, including expansion of UCL Advances’ student business advice service;
- the opportunity now available for UCL to take forward a transformative and highly distinctive agenda for enterprise.

Discussion

- 123.6 The Vice-Provost (Enterprise) was invited to elaborate on the commitment in the proposed Strategy to ‘Identify and support existing areas of enterprise activity that enrich academic activities across UCL, and in particular in SLASH’. In response, Professor Caddick noted the range of relevant initiatives taking place in the SLASH faculties but that there was a need for these to be explicitly recognised as enterprise activities. Examples included UCL’s publishing activities and the opportunities arising from UCL expertise in language translation and interpretation.
- 123.7 Council welcomed the high-level transformative approach envisaged in the proposed Enterprise Strategy and which had the potential to increase UCL’s international competitiveness in a major area.

RESOLVED

- 123.8 **That Council approve the UCL Enterprise Strategy at Appendix C 5-124 (10-11).**

124 **KEY PERFORMANCE INDICATORS** *[Council Minute 114, 2009-10]*

Received

- 124.1 Appendix C 5-125 (10-11) – a note by the Director of Financial Planning and Strategy, introducing – at Annexes 1-6 – the schedule of KPIs.

124.2 An oral report by the Vice-Provost (Operations).

Reported

124.3 Council's attention was drawn particularly to the following KPIs which were not at present being met:

- central costs as percentage of income – the UCL figure had reduced but not as rapidly as that of Imperial College London;
- percentage of black and minority ethnic support staff (grades 1-8) – the current target was being reviewed and the scope for improving UCL's performance through anonymising parts of the staff recruitment and selection process was being explored;
- percentage increase of women in senior positions – where the figure had actually fallen by 0.6% in the last year.

124.4 The position in respect of student, estate, IT and library expenditure indicators was also noted.

Discussion

124.5 Council urged renewed efforts on the part of senior management to improve UCL's performance in relation to the staffing KPIs. It was suggested that a culture change was needed to encourage women to apply as readily as men for academic promotion and senior posts.

124.6 The Chair suggested that Council review UCL's performance against KPIs more often than once annually, with progress described on a traffic lights system.

RESOLVED

124.7 **That Council approve the schedule of Key Performance Indicators at Annexes 1-6 to Appendix C 5-125 (10-11).**

125 **CALDICOTT REVIEW UPDATE**
[Council Minute 51, 2010-11]

Received

125.1 Appendix C 5-126 (10-11) – a note by the Vice-Provost (Operations), updating Council on the steps being taken by UCL in response to the recommendations of the Caldicott Report (September 2010).

125.2 An oral report by the Vice-Provost (Operations).

Reported

125.3 Action on staff training was now being taken, and discussion was ongoing with the Metropolitan Police regarding the development of appropriate briefing materials for staff.

RESOLVED

125.4 **That Council approve the note at Appendix C 5-126 (10-11).**

126 **PROVOST'S BUSINESS**

Received

126.1 An oral report by the Provost.

126a **Appointment of Vice-Provost (Education)**

Reported

126a.1 Recruitment consultants for the post had been appointed, an international search was now underway, and an advertisement would shortly be appearing in the THE. The appointment of an interim Vice-Provost (Education) from within UCL would be announced in the near future³. It was hoped that a permanent appointment would be made by 1 January 2012.

Tim Perry
Secretary to Council
August 2011

3 Professor Mike Ewing (Department of Chemistry) has been appointed interim Vice-Provost (Education) with effect from 18 July 2011 until 31 December 2011. Professor Ewing will combine this interim appointment with his ongoing role as Dean of Students (Academic).