



Research, Innovation and Global Engagement Committee

Thursday 23rd March 2023, 10:00am

South Wing Council Room with facilities to join the meeting online via MS Teams

Minutes

Present Members:

Professor Geraint Rees (Chair); Professor Ibrahim Abubakar; Deniz Akinci; Professor Lynn Ang; Dr Paul Ayris; Jeremy Barraud; Professor David Bogle; Michael Brown; Professor Stella Bruzzi; Professor Richard Bucknall (vice-Professor Nigel Titchener-Hooker); Sarah Chaytor; Andrew Cooper; Sarah Cowls; Rebecca Edwards; Professor Stephen M. Hart; Professor Jennifer Hudson; Professor Carsten Gerner-Beuerle; Claire Glen; Richard Jackson; Dr Nick McNally; Benjamin Meunier; Martin Moyle; Ciaran Moynihan; Professor Courtenay Norbury; Professor James Phillips; Professor Cheryl Thomas KC; Nicholas Tyndale; Kirsty Walker; Dr Kathryn Walsh; Professor Andrew Wills

In attendance:

For Minutes 27-41: Gail Adams, Director of Compliance and Assurance
For Minutes 27-41: Megan Gerrie, Director, Planning and Projects
For Minutes 27-41: Amy Lightstone, Head of Engagement and Operations (London)
For Minutes 32-33: Dr Anne Lane, CEO, UCL Business Ltd
For Minute 32-33: Roger De Montfort, Managing Director, UCL Consultants Ltd

Apologies:

Sarah Cowls; Professor Janet Darbyshire CBE; James Davis; Professor Jacqui Glass; Alex Hall; Dr Jane Kinghorn; Sarah Lawson; Dr Francesca Scotti; Professor Nigel Titchener-Hooker; Professor Simon Walker-Samuel

Officer:

Rachel Port, RIGEC Secretary

Part I: Preliminary Business

27. Minutes

27.1. RIGEC approved the minutes of the meeting held on 8th December 2022 [Minutes 12-26, 2022-23].

- 27.2. The Chair welcomed the following new members to the committee: Professor Courtenay Norbury had taken over as Vice-Dean Research in the Faculty of Brain Sciences; Rebecca Edwards, Director of Employee Relations, Policy and Planning who had been nominated to serve on the committee on behalf of the Chief People Officer; and Deniz Akinci, Students' Union Affairs Officer who would serve in place of the Postgraduate Officer.
- 27.3. The Chair noted that Benjamin Meunier had been appointed as University Librarian and Director of Library Services at The Chinese University of Hong Kong and expressed his thanks for all his work at UCL over the years.

28. Matters Arising from the Minutes

- 28.1. Arising from Minute 13.5, Information Services Division (ISD) were working on the associated system requirements for the UCL Disclosure of Conflict, Declaration of Interest policy within Inside UCL and subsequent reporting in UCL Data and Insight. ISD were aware that there was a need to widen access beyond staff members which required further consideration.
- 28.2. Exempt from publication, please see confidential minutes.
- 28.3. Exempt from publication, please see confidential minutes.
- 28.4. Arising from Minute 17.3a, the Executive Director, Innovation & Enterprise (I&E) and the Director of Research Culture had been in liaison about the inclusion of I&E across the Research Culture Roadmap.
- 28.5. Arising from Minute 18.3, the UCL Research Integrity Annual Statement was approved by Council at its meeting held on 16 February 2023 and was available on the Research Integrity webpages.

Part II: Matters for Discussion

29. Chair's Report

- 29.1. The Chair gave an oral report on relevant developments since the last RIGEC meeting. The key points made were:
- a. Both UCL's Strategic Plan and Financial Strategy for the next 4 years had been approved. Even though research excellence was not explicitly covered in the strategies, it was still very important to UCL and especially in relation to the work of RIGEC.
 - b. In terms of the future of the European Research Council (ERC) funding scheme that was delivered under the EU's "Horizon Europe" programme, it was noted that UCL's Horizon Europe Response Group met fortnightly.

- c. Whilst the number of UCL applications to Horizon Europe was rising, researchers were not applying at the same rate as pre-Covid given the current uncertainty in this area.
- d. The Horizon Europe funding guarantee had been extended to cover all calls that closed on or before 30 June 2023, but it was currently unclear if the guarantee would be extended. However, UCL would encourage researchers to continue to apply for this funding.
- e. The government launched the UK's International Technology Strategy yesterday. It was considered to be heavily focused on STEM areas and UCL would continue to advocate for balance so that the strategy also covered other research areas. It was considered to be positive that the government was considering technology in relation to research and innovation.
- f. The Chair had returned from his first delegation visit abroad as Vice-Provost (RIGE) to Japan to meet with UCL's key partners in the country including Osaka University, Tohoku University, RIKEN, HORIBA, and the British Embassy in Tokyo.
- g. It was noted that UCL produced more collaborative research papers with Japan than any other UK university, with some 800-900 research papers currently produced with Japanese institutions annually.
- h. The visit had proved very successful and there was a high level of enthusiasm from the key partners. The Chair expressed his thanks to the Director of Global Engagement and the wider team for making the visit arrangements.

29.2. During discussion, the following points were made:

- a. In relation to Horizon Europe, that were expressed to both UCL's European Research & Innovation Office and Research and Innovation Services (RIS) for their support and advice in this area.
- b. In terms of new areas of one for research and innovation, it was considered that the higher education sector should be pushing for increased monies to be made available.
- c. It was noted that UCL should continue to be competitive for funding and that it was important for networks around hubs to collaborate. It was also important to consider external responsibilities when applying for grant award funding.
- d. In relation to Centres for Doctoral Training (CDTs), it was suggested that researchers should consider forming a consortium way in advance of considering making an application for UKRI funding.

30. Third Party Notification Group: Revised Terms of Reference (3-20)

30.1. Claire Glen, Executive Director, Research and Innovation Services (RIS), introduced the revised terms of reference for the Third Party Notification Group. The key points made were:

- a. The Group was established four years ago following an audit of UCL's research activities by The Wellcome Trust.
- b. The Wellcome Trust had added a provision to their funding terms and conditions about being notified about an allegation at the point at which a complaint was first made. This was a highly sensitive area and it was noted that the timing of notification varied across funders.
- c. The Group was specifically established to manage the notification process and ensuring that reporting requirements were met as funders sought assurance that their funding was being managed appropriately.
- d. The Group's terms of reference had been revised to be less operational and be more focused on governance and legal obligations.
- e. In light of a recent case, UCL's HR policy would be updated to indicate that funders would be notified about any harassment and bullying and/or research misconduct allegations as necessary in line with their respective terms and conditions.

30.2. During discussion, the following points were made:

- a. It would be considered useful for the Research Misconduct Committee to be made aware of the requirements around notifications to third parties, especially when convening screening panels from its membership to consider allegations so they understood the parameters for making any recommendations in this area.
- b. It was suggested that consideration might be given to linking the work of the Group to UCL's Audit Committee who had oversight of UCL's Strategic Risk Register given compliance requirements in this area as a condition of funding.
- c. A member queried whether PIs and/or departments were aware of funder requirements in terms of notifications and the process to be followed around notification.
- d. In terms of the timing of notifications to funders, this issue had been explored with UCL's General Counsel. It was considered that once an allegation reached the formal investigation stage under the relevant UCL procedure, the third party notification process would be triggered.
- e. It was noted that risk and compliance were also taken into consideration in making notifications.
- f. In terms of the UCL community being aware of whom to contact about such notifications, it was intended that the Group would develop a separate process map to improve governance around the notification process.

30.3. RIGEC approved the revised terms of reference for the Third Party Notification Group.

31. Confidential: Evolving UCL’s strategic approach to engagement with Europe (3-20)

31.1. Exempt from publication, please see confidential minutes.

31.2. Exempt from publication, please see confidential minutes.

31.3. Exempt from publication, please see confidential minutes.

32. UCLC Annual Report 2021/22 (3-22)

32.1. Roger De Montfort, Managing Director, UCL Consultants Ltd, introduced the UCL Consultancy (UCLC) Annual Report 2021/22. The key points made were:

- a. UCLC’s activities turned over nearly £32m in 2021-22, compared to £19.7m in 2020/21, and some £17.5m was returned to UCL. There were some 641 live projects whilst the size of the team had increased to 34 staff members.
- b. In terms of consultancy peer group revenue by financial year, UCL was way ahead of its competitors and its nearest peer was Imperial Consultants at £10m revenue.
- c. UCLC’s mission was to make it easy for its internal and external clients to engage in academic consultancy and bespoke short courses, and it had 4 key strategic priorities around growth.
- d. It was noted that UCL was the only university in the UK providing National Professional Qualifications and it would deliver this training to over 30k teachers in 2022/23.
- e. In terms of bespoke short courses, this included the development of an online short course on Advanced Trade Policy for civil servants across various government departments working in this area. This also formed a major Research Excellence Framework (REF) case study.
- f. In the REF 2021 exercise, UCLC supported 15% of UCL’s submitted impact case studies.
- g. In terms of making things easy and sustainable, UCLC was streamlining its processes as well as setting up Task and Finish Groups to look at activities in UCLC as well as getting feedback from internal and external clients.

32.2. During discussion, the following points were made:

- a. In terms of monies returned to UCL from consultancy this came under three categories of income: budget approval; income to departments; and recovery of overheads through consultancy.
- b. In response to a query about competitor data, it was noted that UCLC worked closely with Global Engagement.
- c. In terms of making things easy for clients, it was noted that UCLC took a risk-based approach to contracting and had a high volume of low risk projects.

- d. In relation to compliance and assurance, RIS intended to provide support to UCLC in the area of export control.
- e. Whilst UCLC had a translational role, the Managing Director considered it was also a strategic enabler.
- f. The Chair expressed his thanks to UCLC for their excellent report and encouraged members to share it, as well as the UCLB Annual Report (see Minute 33 below), with their respective faculties to increase awareness of its work.

33. UCLB Annual Report FY 2021 and 2022 (3-21)

- 33.1. Dr Anne Lane, CEO, UCL Business Ltd (UCLB), introduced the UCLB Annual Report covering financial year 2021 and 2022. The key points made were:
- a. UCLB was a wholly-owned subsidiary of UCL and was the commercialisation company for UCL.
 - b. UCLB had a number of business activities around Intellectual Property (IP); the development of innovative new initiatives such as Portico Ventures, Elucid and Mentor at UCL; and spinout formation and support. It also provided a service to UCL by giving advice on IP and worked closely with the Entrepreneurship Team based in UCL Innovation & Enterprise and with UCLC.
 - c. UCLB had a significant portfolio of assets with: £2.2 billion raised in external investment by its spinouts over the past 5 years; £82.5m invested in UCL technologies; and its equity portfolio was valued at £49.9m. It had some £10.3m retained profit compared to UCL's £6.7m profit in this area.
 - d. In terms of future plans, UCLB intended to recruit a Marketing Director and was celebrating its 30th year of operation in 2023.
- 33.2. During discussion, the following points were made:
- a. UCL was ranked in the top 4 higher education institutions in the UK for its business activities. The 2019 returns showed that UCL was way ahead in terms of external investment.
 - b. UCLB was a member of TenU which was an international collaboration formed to capture effective practices in research commercialisation and share those with governments and higher education communities. It was funded by Research England and it would launch the University Spin-out Investment Terms Guide (the USIT Guide) in June.
 - c. The UK Chancellor had announced a review of spinout activities. UCLB took 16% from spinouts in equity which was considered to be very low.
 - d. It was considered that spinouts were very important to UCL and that other HEIs were also making advances in this area which could mean that there could be less income for UCLB and UCLC in future.
 - e. The annual report highlighted the difficulties with technology transfer as it generated both profits and losses. It was considered that UCLB required support in this area as otherwise technology transfer would end at UCL,

which would have consequences for UCL Hospitals NHS Foundation Trust (UCLH) who worked closely with UCLB in this area.

- f. Members noted that UCL was unaware of the work being undertaken in both UCLB and UCLC and its impact on the world.
- g. It was intended that both the UCLC and UCLB annual reports be presented to RIGEC each session.
- h. The Chair also expressed his thanks to UCLB for their excellent annual report and for all their work and the progress made in taking forward UCLB's initiatives across UCL.

Part III: Other Business for Approval or Information

34. RIGE Funding Programmes Preliminary Report (3-23)

- 34.1. RIGEC received the preliminary report on RIGE Funding Programmes.

35. Confidential: Research Integrity Update (3-24)

- 35.1. RIGEC received the Research Integrity Update.

36. HEIF Annual Monitoring Statement (3-25)

- 36.1. RIGEC received the HEIF Annual Monitoring Statement.

37. KEF Narratives (3-26)

- 37.1. In the event, the paper on KEF Narratives was unavailable. Therefore, no paper with the reference 3-26 will be filed with RIGEC minutes for 22-23 session. It was anticipated that the paper would be made available for the next RIGEC meeting.

38. Confidential: Information Risk Governance Committee - Update Report (3-27)

- 38.1. RIGEC received the Information Risk Governance Committee Update Report.

39. Summary of UCL Horizon Europe Guarantee Funding (3-28)

- 39.1. RIGEC received the summary of UCL Horizon Europe Guarantee Funding.

40. Sustainable Development Goals Board Annual Report 2021-22 (3-29)

40.1. RIGEC received the Sustainable Development Goals Board Annual Report 2021-22.

41. Date of the next meeting

41.1. The next meeting of RIGEC was scheduled to take place on Thursday 18th May 2023 but was subsequently cancelled. Therefore, the next meeting would be held on Thursday 20th July 2023 at 10:00am and be hybrid in the South Wing Council Room.

Rachel Port

Governance Manager: Research Integrity, Office of General Counsel

June 2023