

APPENDIX A  
EVIDENCE SUBMITTED

Memoranda were submitted by the following. The memoranda are available for consultation in the University Registry.

Admissions Forum	Fitzwilliam College
Department of Archaeology	Fitzwilliam Museum Syndicate
Faculty Board of Archaeology and Anthropology	Officers of the General Board
Interfaculty Committee for Arts and Humanities	General Board's Review Committee for the
Lord Ashby	Department of Architecture
Assistant Staff Committee	Gonville and Caius College
Officers of the Assistant Staff Committee	Graduate Union
Association of Cambridge University Assistants	Professor F. H. Hahn
Dr T. R. Baldwin	Dr D. F. Hartley
Professor D. E. D. Beales	Professor Sir Harry Hinsley
Professor Sir James Beament	Faculty Board of History
Council of the School of the Biological Sciences	Mr R. F. Holmes
Faculty Board of Biology 'A'	Hughes Hall
Sir Hermann Bondi	Council of the School of the Humanities and Social
Dr K. M. Bowkett	Sciences
Revd J. S. Boys Smith	Dr T. D. Kellaway
Professor D. S. Brewer	King's College
Professor C. N. L. Brooke	Mr W. P. Kirkman
Professor W. A. Brown	Board of Land Economy
Professor A. D. Buckingham	Faculty Board of Law
Bursars' Committee	Library Syndicate
Lord Butterfield	Professor D. A. Low
Professor C. R. Calladine	Professor I. N. McCave
Cambridge Association of University Teachers	Mr M. W. M <sup>c</sup> Crum
Cambridge University Students Union	Professor R. C. O. Matthews
Professor J. E. Carroll	Medical Research Council
Revd Professor W. O. Chadwick	Faculty Board of Modern and Medieval Languages
Christ's College	Dame Rosemary Murray
Clare College	Faculty Board of Music
Clare Hall	National Association of Local Government Officers
Faculty Board of Classics	Professor R. M. Needham
Faculty Board of Clinical Medicine	Faculty Board of Oriental Studies
Sir Alan Cottrell	Professor R. I. Page
Dr G. P. Cubbin	Mr J. R. Payne
Darwin College	Peterhouse
Professor J. F. Davidson	Faculty Board of Philosophy
Faculty Board of Divinity	Council of the School of the Physical Sciences
Downing College	Dr F. W. Ratcliffe
Dr J. P. Dougherty	St John's College
Faculty Board of Earth Sciences and Geography	Dr A. Seal
Faculty Board of Economics and Politics	Sidney Sussex College
Economic and Social Research Council	Mr M. W. Smith
Faculty Board of Education	Faculty Board of Social and Political Sciences
Dr A. W. F. Edwards	Professor B. E. Supple
Dr K. J. R. Edwards	Sir Peter Swinnerton-Dyer
Professor Sir Sam Edwards	Professor B. A. Thrush
Faculty Board of Engineering	Tutorial Representatives
Faculty Board of English	Mr D. B. Welbourn
Department of Experimental Psychology	Wolfson College
Board of Extra-mural Studies	

APPENDIX B

THE MEMORIAL OF 5 NOVEMBER 1987

THE GOVERNMENT OF THE UNIVERSITY

We are concerned that the existing structure of University government no longer fully satisfies either the modern requirement for rapid, firm, and effective decision-making or the reasonable aspiration of members of the Regent House, nominally the University's Governing Body, to participate in the determination of policy.

On the one hand the lack of efficient procedures for policy-making places the University at a disadvantage when dealing with requests from the Government, the UGC, and other external sources, and makes a smooth

relationship between the University and the Colleges, the City of Cambridge, and other local interests, difficult to sustain. On the other hand the absence of satisfactory means by which the Regent House can fulfil the normal rôle of a governing body leads to a low level of participation by senior members generally, and a degree of indifference which is unacceptable if the University is actually to be governed by its formal Governing Body.

We feel that the efforts of the past thirty years to mitigate the most obvious deficiencies in the structure of University government have only served to postpone the time when major changes are necessary. Many of these efforts seem to have given rise to increased uncertainty about the source of authority in the University, to the undesirable proliferation of unofficial committees not sanctioned by the Regent House, and to the taking of important decisions, sometimes involving very large sums of money, which have been neither approved by the Regent House nor even reported to it. Nowhere is this uncertainty more evident than in the office of Vice-Chancellor, the arrangements for which still reflect the limited demands of a century ago.

We do not wish to apportion blame. Insofar as it is profitable to explain the evolution of the present unsatisfactory structure, we need look no further than the absence from the University Statutes of any procedure for members of the Regent House to put down motions and amendments (as recommended by the 1922 Royal Commission, on whose Report the present Statutes are based), and the failure of the University to examine its procedures with sufficient care in response to the criticisms contained in the Robbins Report of 1963. We would like to remind the Council that the University of Oxford not only enjoys a constitution in which members of Congregation can put down motions, but that it undertook a thorough review following the Robbins Report by establishing the Franks Commission and implementing many of its constitutional recommendations. These included the extension of the tenure of the Vice-Chancellorship to four years and the removal of its restriction to Heads of Houses.

Nor do we wish to prejudge what constitutional changes would serve the University best. But we do believe that the case for substantial change is abundantly clear, and that the need for it is urgent. We therefore request the Council of the Senate to invite the Regent House to approve Graces for the establishment of an *ad hoc* Syndicate, with an independent chairman, to act as a Commission of Inquiry into the Government of the University. We believe that the customary procedure for an *ad hoc* Syndicate is appropriate; it includes the approval by Grace of the membership and terms of reference and the date by which it is to report to the University. It is usual for the recommendations of such a Syndicate to be put to the Regent House directly, a particularly important point when they might affect the rôle of the Council of the Senate itself.

#### APPENDIX C

##### 'COUNCIL INSTITUTIONS'

1. We believe that it would be an advantage to clarify the Council's position in relation to those institutions for which it acts as the competent authority. Under Statute D, I, 1 (*b*), institutions in the University fall into two classes, (*a*) those under the supervision of the General Board, and (*b*) all other institutions; the General Board is the competent authority for the former, and the Council for the latter. In each case it is for the competent authority to determine (or to make recommendations to the Regent House concerning) the establishment of offices in the institution, to give permission for the filling of vacant offices, and to take decisions over such matters as temporary upgradings (i.e. promotions). Institutions under the supervision of the General Board are, in the main, the Faculties and Departments. In each Faculty the provision of teaching and of facilities for research is in the hands of the Faculty Board; the Faculty Board is responsible in these matters to the General Board (Statute C, III, 9), and its powers are exercised within limits set by the General Board, which has the general duty of ensuring 'that the teaching and facilities for research in the various subjects of University study are of a high standard' (Statute C, IV, 2). In performing this duty the General Board supervises the work of Faculties and Departments, through the agency of the Faculty Boards, and this is the sense in which these institutions are 'under the supervision of' the General Board. In the case of institutions not under the supervision of the General Board, although they are commonly known as 'Council institutions', the Council has deliberately not claimed to supervise their work in the same detailed way. This has led to uncertainties about the accountability of such institutions, and to an intolerably clumsy nomenclature, since the correct description for them is 'institutions not under the supervision of the General Board'. We recommend that a common terminology should be adopted for both classes of institution, and that Council institutions should be formally designated 'institutions under the supervision of the Council', even though the supervision exercised by the Council may be different in kind from that exercised by the General Board.

2. Under the present arrangements, one of the General Board's Standing Committees is the Work and Stipends Committee. This Committee deals primarily with questions relating to conditions of employment for University officers in General Board institutions. Because similar questions arise in relation to Council institutions, the Committee is called upon to advise the Council from time to time, and in recognition of this it commonly includes among its members one person appointed by the Council. We believe that this is an unsatisfactory arrangement, and we recommend that the Work and Stipends Committee should be reconstituted as a Joint Committee of the Council and the General Board, with its area of responsibility unchanged.

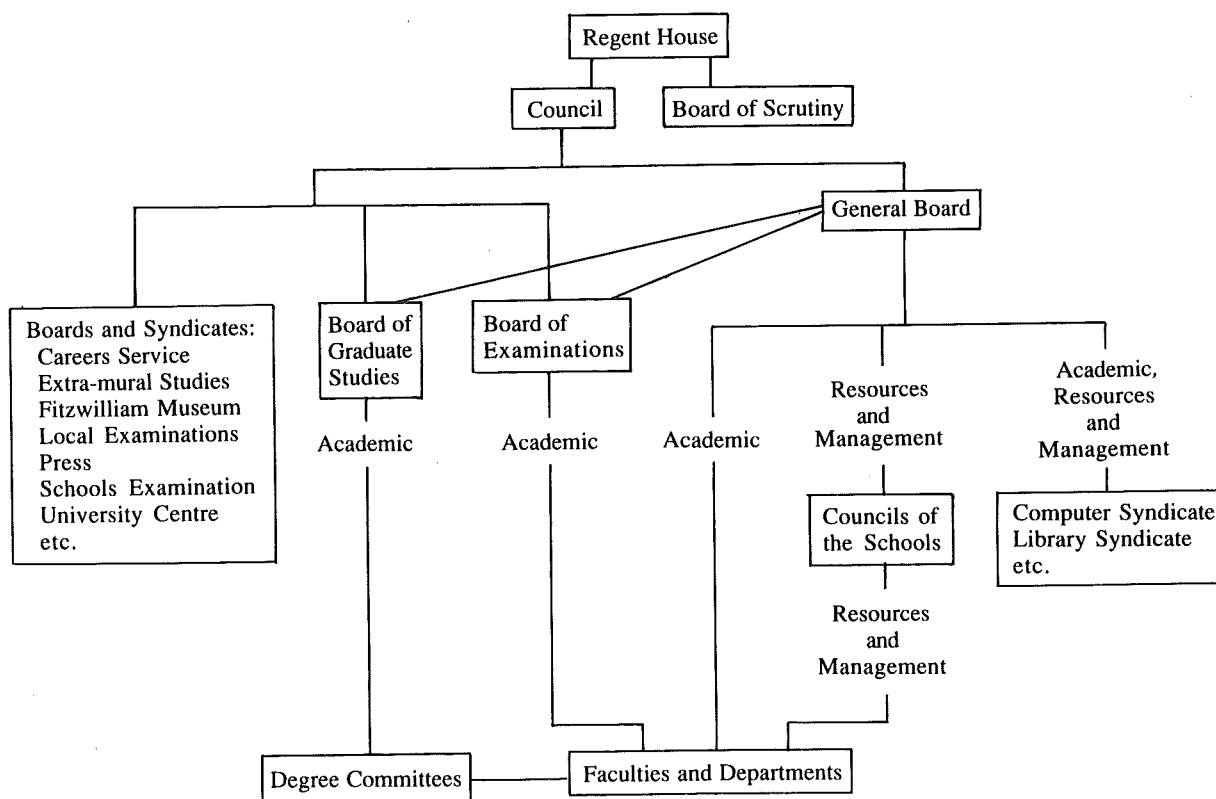
## APPENDIX D

## PLANNING AND RESOURCE ALLOCATION

1. In the following paragraphs we sketch a possible procedure for the system of planning and resource allocation which was referred to in section 11.4 of the report.
2. The flow of resources to Cambridge over a period of three to five years is difficult to predict with any accuracy. Uncertainty surrounds the availability of funds from the UFC; and further uncertainty stems from the possibility that the Government may make radical changes in the basis of public funding of higher education generally. The volume of non-Government help is also unpredictable, whether from disinterested giving, from sponsored research, or from other sources. In spite of these uncertainties we believe that the University ought to make some estimate of the range of resources likely to be available to it, not least to give Faculties, Departments, and other institutions a basis on which they themselves may make their longer-term dispositions.
3. The process, as we see it, should be an annual two-way exercise. It would be initiated by the Council, who would require the various authorities of the University, both academic and non-academic, to produce estimates of the funding that each believes it could generate by measures to obtain contracts, promote industrial support, and so on. The Council would then make an estimate of the funds likely to be found by the University centrally, both from the UFC and from other sources that might be tapped. The Council would at the same time issue to the General Board and to the bodies for which it is itself the competent authority assumptions and guidelines on which they would be invited to make their plans and bid for resources, in both cases to cover the whole planning period; the General Board for its part would add whatever additional guidance it chose to give to the institutions financed from the UEF.
4. The bids would then be submitted by the spending units upwards through the chain of authority, *via* the General Board in the case of General Board institutions, to the Council. At each stage the superior authority would be expected to approve or qualify, and then collate, the bids. The Council would thus be presented with a set of claims and proposals together with a statement of the order of magnitude of the resources likely to be available. Spending units would have indicated in their proposals what the consequences would be for their plans if their bids were not met in full and would explain at the same time how they would use extra resources if they were available. This would give the Council the raw material that it would need to begin the process of deciding how the University's resources should be distributed in the planning period. In the first instance the Council would concern itself with the division of resources between the UEF and other purposes. On the basis of our proposals for membership of the Council, the General Board would be well represented on the Council and it would be reasonable to suppose that the Council would be well qualified to make the broad division of resources between academic and other purposes.
5. Once the Council had established the likely size of the UEF for the ensuing year, the General Board would make its own allocations to the Councils of the Schools and they in turn to Faculties and Departments. This process would give the ultimate spending units a reasonably firm basis on which to plan their future. They would be encouraged to make any adaptations that might be entailed by the decisions of higher authorities, whether planning for expansion or contraction, embarking on a programme to raise funds and secure contracts, or taking advantage of other opportunities that might be open to them. The planning would be repeated each year, and could be seen as a 'rolling' exercise, in which a three- to five-year plan was continually being revised and pushed out into the future. On the first occasion this process would be a lengthy one, but when the system was once established Faculty Boards and Heads of institutions would be able to update their bids and revise their plans each year in a relatively straightforward way. Such a system would give the various units of the University both some assurance about their likely future funding and a strong encouragement to make the most effective and economical use of it.
6. A planning exercise of the type that we propose would thus involve the participation of a large number of authorities at all levels of the University, and ought to command wide acceptance, even if the acceptance were reluctant on the part of those authorities who received fewer resources than they thought they merited. It should result in the production of a plan which the Council would adopt and which would encompass both finance (sources and applications) and the physical disposition of staff, equipment, space, etc. The planning that we envisage would inevitably have to be flexible. The future is too uncertain to permit complete assurance; but we believe that some planning, however provisional it has to be, is preferable to no planning at all.

## APPENDIX E

This diagram illustrates in outline the relationships between the principal authorities of the University under the Syndicate's proposals. The term 'Academic' indicates the route for decisions on academic matters; the term 'Resources and Management' indicates the route for decisions concerned with the allocation of resources.



## APPENDIX F

## THE UNIVERSITIES OF OXFORD AND CAMBRIDGE ACT 1923

We have considered the proposals contained in our report in relation to the Act, s. 7 (1) of which provides that the University Statutes may be altered by the University but that in so far as such alterations affect a College prior College consent is needed. (Although the Act refers to 'a college' it is clear that the need for prior consent applies where all Colleges are affected.)

*(a) Section 14. The Colleges*

We believe that the changes proposed can in general be effected by mutual agreement among the Colleges. We do not envisage that any of the changes would involve participation by the University in a way that would require regulation by Statute.

*(b) Section 12. The Vice-Chancellor*

The proposed changes in the arrangements for the Vice-Chancellorship will require amendments of Statute. The Vice-Chancellor is at present chosen from among the Heads of Houses, and the removal of this restriction may be thought by some to 'affect' the Colleges. However, we are of the view that such a change would not affect the Colleges in the sense intended by s. 7 of the Act. This section of the Act is concerned with the constitutional relation that holds between the University and the Colleges in respect of rights and duties; it requires consent to be given by either side when that relation is adjusted in any way. At present the Colleges have no standing in the election of the Vice-Chancellor; Colleges do not nominate for the office (as they do for the office of Proctor). The Vice-Chancellor is elected by the Regent House; he or she does not in any sense represent the Colleges. The requirement that the Vice-Chancellor should be the Head of a House appears to be a personal matter, affecting those persons who hold Headships. It is our view that formal consent is not required for this change; however, we do not undertake to offer legal advice on the matter.

*(c) Section 9.4. The Financial Board*

The Financial Board includes members appointed by College representatives, but for the new body proposed by the Syndicate (section 9.4.8) it is suggested that College representation should be discontinued. This appears to be a matter which does affect the Colleges within the terms of s. 7 (1) of the Act.

*(d) Section 8.2. Membership of the Council*

It is proposed that members in class (a) should be nominated by the Colleges Committee. At present the Committee is not a statutory body and it would probably not be considered desirable to give it a statutory duty of nomination. A practice of nomination by the Committee under the existing provisions of Statute A, IV, 6 would seem to suffice. If, however, it were decided to propose the establishment of the Committee as a statutory body for this or any other purpose, it would be necessary to consider the question whether such an arrangement would 'affect' the Colleges.

*(e) Statutory obligations*

We have considered the obligations of Colleges under Statute G, and we believe that none of our proposals concerns obligations within that Statute. We have also considered Statute H on Approved Foundations and Approved Societies, and we believe that none of our proposals affects Approved Foundations or Societies. (Approved Foundations are treated as Colleges for certain general purposes under Statutes K, 3(a) and H, I, 3; the same applies to Approved Societies for purposes set out in Statute H, IV, 3.) It will be noted that we recommend that Ordinances relating to Colleges and to institutions recognized under Statute H should remain under the control of the Regent House (section 5.1.7).