

# CAMBRIDGE UNIVERSITY REPORTER

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UNIVERSITY OF  
CAMBRIDGE

## NOTICES

## Calendar

- 8 June, *Friday*. End of the third quarter of Easter Term.  
 12 June, *Tuesday*. Discussion at 2 p.m. in the Council Room (see below).  
 15 June, *Friday*. Full Term ends.  
 20 June, *Wednesday*. Congregation of the Regent House at 2.45 p.m. (Honorary Degrees) (see p. 681). Scarlet Day.  
 25 June, *Monday*. Easter Term ends.

**Discussions at 2 p.m.**

- 12 June  
 10 July

**Congregations**

- 20 June, *Wednesday at 2.45 p.m.* (Honorary Degrees)  
 28 June, *Thursday at 9.30 a.m.* (General Admission)  
 29 June, *Friday at 9.30 a.m.* (General Admission)  
 30 June, *Saturday at 9.30 a.m.* (General Admission)  
 21 July, *Saturday at 10 a.m.*

**Notice of a Discussion on Tuesday, 12 June 2012**

The Vice-Chancellor invites those qualified under the regulations for Discussions (*Statutes and Ordinances*, p. 107) to attend a Discussion in the **Council Room**, on Tuesday, 12 June 2012, at 2 p.m., for the discussion of:

1. Report of the Council, dated 28 May 2012, on the financial position and budget of the University, recommending allocations from the Chest for 2012–13 (*Reporter*, 2011–12, p. 652).
2. Report of the General Board, dated 23 May 2012, on Senior Academic Promotions (*Reporter*, 2011–12, p. 673).

**Notice of benefactions**

4 June 2012

The Vice-Chancellor gives notice that he has received with gratitude the following benefactions:

- (i) a benefaction of £1.5m under Gift Aid arrangements, of which the capital and the income may be used, from Mr H. W. Battcock towards the costs of the new building for Experimental Astrophysics. In recognition of this gift the Faculty Board of Physics and Chemistry have agreed to name the building as the Battcock Centre for Experimental Astrophysics;
- (ii) a benefaction of £1m, payable in four instalments, from the Wolfson Foundation towards the costs of the new building for Experimental Astrophysics;
- (iii) further benefactions totalling \$3.4m, of which the capital and the income may be used, from the Arcadia Fund to support the Cambridge Conservation Initiative; specifically for the Student Conference in Conservation Science (\$500,000), the Master's Programme in Conservation Leadership (\$1.4m), and the Cambridge Conservation Initiative Collaborative Fund (\$1.5m);
- (iv) a benefaction of \$600,000, payable in three instalments, of which the capital and the income may be used, from the Board of Cambridge in America to provide postgraduate studentships in Conservation Leadership;
- (v) a further benefaction of £250,000, payable over five years under Gift Aid arrangements, from Dr Philip Joseph Brown, to support the Chemistry Next Generation Fund;
- (vi) a benefaction of £63,810, payable over three years, of which the capital and the income may be used, from the David Harding Foundation to support a postgraduate studentship in the Faculty of English;
- (vii) benefactions totalling \$144,000 from Google Inc. to support three postgraduate studentships in the fields of mobile computing, mobile security, and statistical machine learning.

**General Admission to Degrees 2012: Vice-Chancellor's deputies to be appointed**

4 June 2012

The Vice-Chancellor gives notice that he intends to appoint the following persons to deputize for him, in accordance with Statute D, III, 7, in conferring degrees on the days of General Admission.

**Thursday, 28 June 2012***Morning*

King's                      The Provost of King's  
 Trinity                      The Master of Trinity  
 St John's                      The Master of St John's

*Afternoon*

Peterhouse                      The Master of Peterhouse  
 Clare                      The Master of Clare  
 Pembroke                      Professor Jan Maciejowski  
 Gonville and Caius                      The Master of Gonville and Caius  
 Trinity Hall                      The Vice-Master of Trinity Hall  
 Corpus Christi                      The Master of Corpus Christi

**Friday, 29 June 2012***Morning*

Queens'	The President of Queens'
St Catharine's	The Master of St Catharine's
Jesus	The Master of Jesus

*Afternoon*

Christ's	The Master of Christ's
Magdalene	The Master of Magdalene
Emmanuel	The Master of Emmanuel
Sidney Sussex	The Master of Sidney Sussex
Downing	The Master of Downing
Girton	The Mistress of Girton

**Saturday, 30 June 2012***Morning*

Newnham	The Principal of Newnham
Selwyn	The Master of Selwyn
Fitzwilliam	The Master of Fitzwilliam
Churchill	The Master of Churchill

*Afternoon*

Murray Edwards	Dr Robin Hiley
Darwin	The Master of Darwin
Wolfson	The President of Wolfson
Clare Hall	Dr Roberta Wells
Robinson	The Warden of Robinson
Lucy Cavendish	The President of Lucy Cavendish
St Edmund's	The Master of St Edmund's
Hughes Hall	The President of Hughes Hall
Homerton	The Principal of Homerton

**Senate-House Yard and the University Combination Room: Notice of closure on Wednesday, 20 June 2012**

Both the Yard and the Combination Room will be closed on 20 June 2012, on the occasion of the Honorary Degree Congregation. Access to the University Offices will be from Trinity Lane.

Only those with admission tickets for the Congregation and other authorized persons will be allowed to enter the Yard.

**University of Cambridge Financial Regulations: Notice**

28 May 2012

The following Financial Regulations have been issued by the Council on the advice of the Finance Committee following the triennial review. These replace the Regulations published on p. 970 of the *Statutes and Ordinances*.

The purpose of these Financial Regulations is to ensure the proper use of finances and resources in a manner which not only satisfies the requirements of internal control expected of a substantial and prominent organization, but also fulfils any legal or financial obligations as laid down by the Statutes and Ordinances of the University, HM Revenue and Customs, the Higher Education Funding Council for England (HEFCE), and other authorities.

The principal changes to the current Financial Regulations are:

1. Amendments to take account of the provisions in the Bribery Act 2010 (Regulations 2.2(b) and 20).
2. A new Regulation for overseas operations (Regulation 24).
3. Procurement thresholds have been increased and set out in a separate schedule.
4. The old schedules covering cash and banking arrangements, debt collection, and travel, subsistence, and entertainment, and stores and equipment have been summarized in the main body with the detail covered outside the Regulations.

## FINANCIAL REGULATIONS

**Adopted and approved on 28 May 2012 by the Council after consultation with the Finance Committee**

**A. PRELIMINARY**

*Terms in capitals are defined in Schedule 2 where necessary to aid interpretation.*

The Council is responsible for the supervision and management of University resources and finances. The purpose of these Regulations is to provide sound arrangements for internal financial management, accounting and control, promote best value for money, and fulfil the University's legal and financial obligations.

**1. Scope**

- 1.1. These Regulations apply to
  - all University Income and Business;
  - all Staff; and
  - all Departments and University subsidiary companies but not Cambridge University Press and Cambridge Assessment.

## 2. Ethical Principles

2.1. University Business shall be conducted in accordance with the Nolan Principles: selflessness, integrity, objectivity, accountability, openness, honesty, and leadership.

2.2. Staff must ensure that

- (a) neither their conduct of University Business; nor
- (b) the conduct of any person or organization entering into any contract or arrangement with the University contravenes the Bribery Act 2010. (See Financial Regulation 20.)

There are four offences under the Bribery Act:

- Bribing another person;
- being Bribed;
- Bribing a foreign public official; and
- failure to prevent Bribery.

Staff must not use their authority or office for personal gain and must always seek to uphold and enhance the standing of the University.

2.3. Staff must declare to their Head of Department any personal interest, which may affect any University Business and act in accordance with the instructions given as to management of any conflict.

2.4. Staff must seek written permission from their Head of Department before accepting gifts or hospitality directly or indirectly from suppliers, other than low value items such as a gift worth less than £25 or hospitality worth less than £50. Receipt of gifts or hospitality must not influence or appear to influence the choice of supplier or prejudice the University's reputation. If in doubt, gifts and hospitality must be refused. Excessive or lavish gifts or hospitality may constitute Bribery.

2.5. Where Heads of Department have a conflict of interest or wish to accept gifts or hospitality (other than low value items) they must seek the advice of the body or person to whom they are responsible, for example Head of School, management board or General Board, and act as advised.

## 3. Staff Responsibilities

3.1. Staff shall, irrespective of sources of funding,

- comply with these Regulations and Statutes, Ordinances, and University policies;
- take all necessary advice;
- assess and manage risks (including to health and safety) entailed in University Business they transact;
- safeguard University property and Income for which they are responsible;
- use University resources economically, efficiently, effectively, and secure value for money;
- ensure compliance with all obligations in contracts relevant to them entered into by or on behalf of the University; and
- comply with the University's legal, financial, administrative, and other obligations including to HEFCE, HM Revenue and Customs, and other government authorities.

3.2. Non-observance of these Regulations may result in disciplinary action.

## B. HEADS OF DEPARTMENT

### 4. Definition and Responsibility

4.1. 'Head of Department' means any of the following: the Head of a Department or a Faculty not organized in Departments, Secretaries of Faculty Boards, Head of a Centre, Institute, or other body under the supervision of the General Board or Council, and Head of a Division within the Unified Administrative Service. 'Department' is interpreted accordingly.

4.2. Heads of Department shall ensure

- proper allocation of funds;
- sound financial control, authorizations, and separation of duties;
- that accounts are correctly maintained;
- that funds available for spending are not exceeded;
- that these Regulations are publicized and observed within their Department; and
- that all information and explanations required by the University's internal or external auditors are provided promptly.

### 5. Departmental Management

5.1. Heads of Department may designate in writing one or more people to execute specified tasks for and subject to the supervision of the Head of Department. The Head of Department remains responsible.

## C. CONTRACT EXECUTION AND COMMENCEMENT

### 6. Authority to Sign Contracts

6.1. Subject to Regulations 6.2, 6.3, and 18.4, Heads of Departments have authority to sign contracts in the course of the ordinary business of their Department in respect only of available funds for which they are responsible.

6.2. Contracts for the purchase, lease, or licence of land or property or for the erection, demolition, substantial repair, or alteration of buildings must be referred to EM and are subject to the Sites and Buildings Regulations (see further Regulation 32 and Explanatory Note in Section M). The Director of EM or the Registry shall approve and sign all such

contracts, provided all approvals required under Statutes, Ordinances, and the Sites and Buildings Regulations have been given.

6.3. The Head of the Research Operations Office shall approve and sign all contracts relating to sponsored research activity.

6.4. Subject to Regulations 6.2 and 6.3, the following persons have authority to sign contracts affecting more than one Department:

- the Vice-Chancellor;
- a Pro-Vice-Chancellor;
- the Chair of the Faculty Board or Head of School where all the Departments affected are in that Faculty or School;
- the Registry;
- the Director of Finance; and
- the Head of Procurement Services.

## 7. Sealing

7.1. The following persons have authority to authorize affixing of the University's seal, where any necessary approvals are in place:

- the Vice-Chancellor;
- a Pro-Vice-Chancellor;
- the Registry;
- the Director of Finance; and
- (for assignment of University intellectual property) the Head of the Research Operations Office.

## 8. Documentation, Liability, and Performance

8.1. The person having authority to execute a contract is responsible for its safekeeping. If required, the Registry will keep the documentation for contracts affecting more than one Department.

8.2. Departments are responsible for meeting obligations and for all costs or losses arising from contracts entered into by or for them.

8.3. Contract performance shall not begin before

- all necessary approvals have been obtained; and
- the contract has been executed or the person having authority to execute the contract gives prior written consent, which consent shall normally be given only if key terms have been agreed and the risks created by delay outweigh the risk of proceeding prior to full contractual agreement.

## D. INCOME AND EXPENDITURE

### 9. Accounting and Other Records

9.1. Heads of Department shall

- maintain financial records as specified in *Statutes and Ordinances*;
- certify whether annual statements of account (which are distributed by the Finance Division) are true and fair and that responsibilities under these Regulations have been discharged during the year; and
- properly record all transactions in CUFS and any other financial system, the use of which has been authorized by the Director of Finance.

9.2. Staff must comply with the Finance Division CUFS user policy.

9.3. Record-keeping must comply with the Data Protection Act 1998. The University is subject to the Freedom of Information Act 2000 and members of the public may request copies of University documents. Advice on these matters must be obtained from the University's Data Protection and Freedom of Information Officer.

### 10. Cash and Banking

10.1. All University Income must be paid promptly into a bank account in the name of the University (and into no other account) and be accounted for in CUFS. All University expenditure must be paid from a University bank account and be accounted for in CUFS.

10.2. Departments and Staff have no authority to open bank accounts (whether in the UK or abroad) for any University activities without the prior written consent of the Director of Finance.

10.3. Where possible, Departments shall separate duties for receiving and recording University Income. Where this is not possible, regular independent checks shall be made.

10.4. The Financial Procedures Manual lays out further financial requirements including in respect of cash, petty cash, banking, credit card, and related matters.

### 11. Management of Expenditure

11.1. Heads of Departments are authorized to incur expenditure not exceeding the limits of funds available to the Department. They are responsible for ensuring that monitoring and control arrangements are adequate to prevent over-commitment of expenditure and that all funds under their control are used only for the purposes for which they are allocated. The Head of Department (or budget holder where authorized by the Head of Department) shall approve expenditure.

11.2. The Financial Procedures Manual lays out further financial requirements including in respect of Travel, subsistence, and entertainment and related matters.

## 12. Supplying Goods or Services including Research

12.1. Heads of Departments must establish procedures to ensure that

- all supplies of goods and services are authorized and are supplied as agreed;
- trading accounts are managed to break even or achieve a surplus;
- all relevant risks to the University are considered and managed, there are adequate credit control procedures, and supplies are made only where the credit risks are acceptable;
- the University's standard terms and conditions are where possible applied;
- invoices other than for sponsored research funding (see Regulation 13.3) are raised
  - in the name of the University of Cambridge showing the University's VAT number;
  - through CUFS unless prior written consent is given by the Director of Finance; and
  - wherever possible in sterling for settlement in sterling (any exchange risk lies with the Department for invoices in a currency other than sterling);
- the liability for all taxation is established and tax is charged and accounted for as appropriate;
- except for research contracts, which are subject to Regulation 13, the full economic cost to the University is recovered, unless the advice of the Taxation Section is sought and it is appropriate to do otherwise having regard to the particular circumstances (see further Regulation 29);
- best value is obtained for sale of any goods to external bodies or to staff (and the Taxation Section consulted about VAT and tax implications);
- sales to staff or their families below the cost incurred by the Department in providing the benefit (including where no charge is made) are recorded and reported as a taxable benefit at the end of the tax year;
- where payment for goods is received in cash, the sum does not exceed the cash equivalent of €15,000 (for any single transaction (per the Money Laundering Regulations 2007)).

12.2. With the exception of research grants claims, Departments are responsible for debt collection in respect of invoices issued to third parties. Advice must be sought from the Director of Finance where legal action to recover monies is considered.

12.3. Uncollectible debts, including in respect of sponsored research activity, will be an expense against the Department. The following authorities exist to write off bad debts or for part settlement, where all reasonable steps have been taken to recover them:

- Debtors up to £10,000 – Head of Department
- Debtors of between £10,000 and £25,000 – Director of Finance
- Debtors over £25,000 – Finance Committee

The Taxation Section must be informed of all write-offs (including partial write-offs) of VAT invoices, as the VAT may be reclaimable.

## 13. Research Grants

13.1. Staff shall send grant applications and proposals for research contracts to the Research Operations Office for approval before their submission in accordance with Research Office policy.

13.2. Heads of Department shall ensure there are appropriate arrangements

- (a) in conjunction with the Research Office to
  - cost grant applications and proposals on the basis of the full economic costs of the research; and
  - recover charges for facilities and overheads in accordance with and at the rates specified in University policy or record the extent and justification for subsidizing the cost where in exceptional cases Head of Department agrees not to apply University policy for recovery rates; and
- (b) ensure that research which is funded is conducted to meet the funding terms and conditions.

13.3. The Research Office shall raise all invoices for sponsored research funding.

13.4. All research grant or contract income and expenditure, from whatever source of funds, must be notified to the Research Office and no part of this income may be transferred into donation accounts or other special funds, other than funding remaining unspent at the end of the research which the funder has agreed the Department may retain.

13.5. Heads of Department shall ensure that expenditure on research activity complies with these Regulations. Financial control and record-keeping shall also comply with any additional Research Council or other funder's requirements.

13.6. The Research Office shall ensure all grants are closed on a timely basis and without residual balances.

## 14. Donation Accounts and Trust Funds

14.1. Donations belong to the University, not to an individual, and must be paid into a donation account in accordance with Regulation 10.1. Donations must be requested and received exclusively for charitable purposes. Receipt which improperly influences any decisions made by or on behalf of the University may constitute Bribery. Acceptance of donations must be made in accordance with the Ethical Guidelines for the Acceptance of Benefactions.

14.2. Heads of Department must ensure that

- donation accounts and trust funds are maintained in credit;
- funds are applied for the public benefit for charitable, educational, or research purposes only; and
- any Ordinances or regulations governing the receipt of donations and the conduct of individual accounts are followed.

14.3. University trust funds are governed by regulations set out in *Statutes and Ordinances*. Trust fund managers shall ensure that funds are used for proper purposes in accordance with the rules of the specific fund and the University's general charitable purposes.

14.4. Transfers of donated funds to other institutions can only be to other charitable bodies and must always be approved by the Head of Department and be in accordance with the terms of the gift and the University's general

charitable purposes. Transfers shall not be made until the receiving institution has confirmed in writing that the terms of the gift will be observed. Where the transfer relates to the Head of Department's research, the Director of Finance's prior written consent must be obtained.

14.5. Donations cannot be transferred to individuals, except where the individual is the donor and the University is unable to meet the terms of the original gift.

## **E. INVESTMENT AND BORROWING**

### **15. The Cambridge University Endowment Fund ('CUEF')**

15.1. The University's Chief Investment Officer is responsible for all CUEF investment management activities. The Chief Investment Officer appoints and monitors external investment managers.

15.2. No Department or trust of the University may invest in any securities or other investments (including land and buildings) without the prior approval of the Finance Committee.

15.3. Acquisition of land is also subject to the Sites and Buildings Regulations (see para 32.1 below).

### **16. Investment in the CUEF and Deposit Account**

16.1. Surplus funds (only) may be invested in the CUEF and Deposit Account. The Director of Finance is responsible for approving all new and any changes in CUEF holdings. Deposit Account eligibility rules and interest rates are published by the Director of Finance from time to time.

### **17. Borrowing, Guarantees, and Loans**

17.1. Departments must not borrow money outside the University.

17.2. No guarantees or letters of comfort may be issued except with the prior written consent of the Director of Finance.

17.3. No Department may make a loan including to staff or (outside the normal course of business) extend credit arrangements without the Director of Finance's prior written consent.

## **F. PURCHASING**

### **18. Obtaining Goods, Services, or Construction Works**

18.1. Expenditure of £2,000,000 or above on capital items (inclusive of VAT) requires the consent of the Planning and Resources Committee.

18.2. Value for money in purchasing is normally demonstrated through competition. The table in Schedule 1 sets out the minimum competition requirement when obtaining goods, services, or construction works for all Departments; the only flexibility for a Department being set out in Financial Regulation 18.3. These requirements apply to all expenditure irrespective of the source of funding (including spending of grant monies and Leasing). If there is any reason to believe that offers which have been received are not competitive, further offers must be obtained. A Department must not enter into separate contracts, nor apply the Total Value calculation separately to contracts, with the intention of avoiding the application of these Regulations.

18.3. Prior written consent not to follow the competition procedures may be granted

- (a) for construction and Construction Related Procurement by
  - the Director of EM where the Total Value is less than the EU Threshold; and
  - the Registry where it is at or exceeds the EU Threshold;
- (b) for other procurement by
  - the Head of Department where the Total Value is £50,000 or less and the Director of Finance where the Total Value exceeds £50,000 by recording the reasons on Procurement Services' online dispensation form;
  - for any procurement where the Director of Finance has issued a general consent (irrespective of the Total Value).

Schedule 1 sets out non-exhaustive examples of circumstances where dispensation might be appropriate. Notwithstanding the grant of a dispensation, all the other requirements of Financial Regulations must be met, including Regulations 18.5 to 18.9 inclusive.

18.4. (a) Departments must seek all necessary advice.

(b) The Head of Department's *prior* written consent is needed for one or more payments in advance in relation to any contract totalling £10,000 or less.

- (c) The Director of Finance's advice and prior written consent is needed for:
- procurement (other than construction) where the Total Value exceeds £100,000 (advice only);
  - procurement where the Total Value exceeds £50,000 and supplier terms are used (advice only);
  - all Leasing<sup>1</sup> irrespective of the Total Value (except where a Leasing Framework Contract is used – see the definitions in Schedule 2); a cost benefit analysis shall be submitted where consent is required;
  - payments in advance exceeding £10,000; and
  - payment under early settlement terms exceeding £250,000.

(d) The Director of EM's advice is needed for procurement falling within Regulation 6.3.

18.5. All purchasing shall be based on a specification drafted after consultation with anticipated users and assessment of the risks associated with the procurement. The Procurement Procedures provide further guidance on purchasing.

<sup>1</sup> Leasing, as defined in Schedule 2, does not include pure finance leases, which are a form of borrowing which Departments must not do (Regulation 17.1).

18.6. Goods and services may be purchased externally only if

- they are required for the achievement of financial, academic, or organizational plans;
- they are not reasonably available elsewhere within the University; and
- the source, sufficiency, and terms of the funding have been checked and confirmed.

18.7. Heads of Department must establish levels of authorization and segregation of duties for contracts where the Total Value exceeds £500 for:

- short listing and acceptance of tenders;
- ordering and inspection of goods and services; and
- payment.

Where payment duties cannot be segregated, transactions must be independently checked on a regular basis.

18.8. Orders must state the nature, quantity, and price of goods and services to be provided and where possible apply the University's terms and conditions. Copies of orders must be kept securely. Where an order is placed through CUFS, the electronic record suffices.

18.9. Official orders must be produced in a form approved by the Director of Finance for all purchases above £100 or any lower threshold set by the Head of Department.

18.10. Where equipment is to be loaned to the University free or at a discount, advice must be taken, the principles of Regulation 18 observed and an agreement put in place, including to regulate the University's responsibilities and rights at the end of the loan.

### **19. Receipt of Goods or Services, Payments for services to individuals**

19.1. All goods and services must be checked promptly on receipt to ensure that they accord with order requirements and suppliers advised promptly about any discrepancies. Copies of signed delivery notes must be retained. If deliveries have to be acknowledged prior to checking, endorse the delivery note 'Goods received unchecked'.

19.2. Invoices must be checked and not authorized for payment until the goods or services have been checked, unless authority is in place to pay in advance (see Regulation 18.4).

19.3. Payments to individuals must comply with Regulation 31.6.

19.4. Heads of Department shall establish arrangements for monitoring and regular appraisal of purchasing activity to ensure that best value for money is secured for current and future purchases.

## **G. BRIBERY AND FRAUD**

### **20. Bribery, Fraud, and Irregularity**

20.1. Heads of Department shall implement procedures as required under the University's policy against Bribery and Corruption, including to prevent Fraud. Any member of staff shall report immediately in writing any suspicion of Bribery, Fraud or other irregularity to the Registry and the Director of Finance. The Registry is the lead officer under the University's policy against Bribery and Corruption.

20.2. The Director of Finance will advise the University's internal auditors and if necessary the University Security Adviser and police, and report to the Audit Committee and the Vice-Chancellor any Fraud or irregularity which has any of the following characteristics:

- exceeds £10,000
- is unusual or complex
- public interest is likely.

20.3. Any member of Staff who has reasonable grounds for believing there is serious malpractice within the institution (see Human Resources Division website, Policies and Procedures; Public Disclosure by University Employees: Whistleblowing Policy) should raise their concerns using the specified procedure.

## **H. CORPORATE REQUIREMENTS**

### **21. Taxation**

21.1. Heads of Departments shall ensure that their Department accounts correctly for VAT and where appropriate corporation tax. Where there is any doubt as to the correct VAT or tax treatment of a transaction, the Taxation Section must be consulted.

21.2. Heads of Departments shall ensure that any taxable benefits paid to individuals are reported to the Finance Division for inclusion in P11D returns.

### **22. Legal Advice and Proceedings**

22.1. The Council's Executive Committee and the Registry have authority to take legal advice and to conduct legal proceedings. Departments shall not take any action to initiate or defend legal proceedings or obtain external legal advice without first involving the Legal Services Office, which will seek consent from the Registry or Executive Committee as necessary. The Legal Services Office should be contacted immediately if legal proceedings are threatened or served on any part of the University or any University subsidiary company. See also Regulation 23.3 and 23.4.

### **23. Insurance**

23.1. Departments must comply with the insurance requirements set out in Financial Procedures and on the Insurance Section web pages.



23.2. Contents whether owned, borrowed, or hired must be valued, recorded, and notified to insurers. Departments should regularly review the value of contents held and notify the Insurance Section of

- departmental moves;
- the acquisition and disposal of high value items (exceeding £1,000,000); and
- temporary removal from University premises (where the single article exceeds £50,000 or the total exceeds £100,000).

23.3. Departments must take all necessary steps to prevent losses and accidents and ensure that the Insurance Officer is advised immediately of any new unusual or significant risk. Liabilities should not be accepted on behalf of the University without careful consideration. Any liabilities not covered by insurance will fall on the Department.

23.4. Third party claims must be passed immediately to the Insurance Section without comment to the third party to ensure that the University's legal position and insurance policies are not compromised.

#### **24. Overseas Activity**

24.1. No Department may enter into any arrangements for activity outside the United Kingdom, unless the Director of Finance gives prior written consent, where this activity involves either or both setting up any establishment and employing individuals overseas. In giving such consent, the Director of Finance shall seek advice from the Legal Services Office and the Taxation Section. The Director may require that external advice is procured at the expense of the Department seeking to enter into such arrangements. Consent shall not be deemed to override the need to obtain any other approval from University bodies including the General Board.

### **I. COMMERCIAL ACTIVITY**

#### **25. New Income Generation or Trading Activity**

25.1. Apart from core teaching, research, and the organization of conferences, when a new income-generating or trading activity is set up (whether in the UK or abroad), the Head of Department must consult the Taxation Section beforehand to consider the VAT implications and whether the activity constitutes trading which might be subject to Corporation Tax.

25.2. The Director of Finance may direct that transactions be undertaken through a University subsidiary company.

#### **26. University Companies**

26.1. No University company may be formed or shares taken in any company (whether in the UK or abroad) for any purpose without advice from the Director of Finance and the prior approval of the Finance Committee, except when done through the Investment Office for investment purposes or by Cambridge Enterprise in relation to the exploitation of intellectual property.

26.2. University subsidiary companies shall enter into and keep under review a memorandum of understanding with the University. Each company shall operate in accordance with such memorandum and within the framework provided by these Regulations, including the provisions regarding procurement, and any additional procedural requirements imposed by their boards.

#### **27. University Embedded Companies**

27.1. Heads of Department and EM shall maintain departmental and corporate registers of Embedded Companies.

27.2. Heads of Department shall in respect of Embedded Companies

- undertake financial and space cost benefit analysis for all new and (periodically for) existing Embedded Companies;
- comply with Regulation 29;
- take into account University policies (including the University's Guidelines for Establishing and Working with Embedded Companies);
- ensure that Embedded Companies comply with health and safety requirements;
- put in place appropriate contractual arrangements to govern the relationship between the University and the company;
- obtain evidence of Public Liability and employer's insurance annually; and
- identify, and deal appropriately with, conflicts of interest.

#### **28. Consultancy and Private Activity**

28.1. When engaging in consultancy or other commercial activity in a private capacity, Staff must not hold themselves out as acting on behalf of the University, use University headed stationery nor (except in accordance with Regulation 29) use any University premises facilities or resources.

28.2. The University accepts no responsibility for any work done, advice given, or activity undertaken by Staff in a private capacity. Staff are reminded of the need to take out professional indemnity insurance for such work, advice, and activity and that they are responsible for all liabilities arising including as to tax. Staff who conduct work through Cambridge University Technical Services Limited are insured under the University's insurance policies.

#### **29. Non-University Activities – Use of Premises, Facilities, etc.**

29.1. Unless the Head of Department gives prior written consent and an appropriate contractual agreement with the University is put in place, non-University activities may not be carried out on University premises nor University facilities or resources used for such activities. Care is needed to avoid breaching any obligation of the University to a third party (for example in relation to use of computing facilities and software).

29.2. Heads of Department shall ensure that appropriate charges are made for the use of University premises, facilities, or resources for non-University purposes (see Regulation 12).

29.3. The Director of EM must be consulted before making any arrangement (including leases or licences) for the use of any University space for non-University purposes. See also Regulation 27.

### **30. Intellectual Property**

30.1. Intellectual property generated through University activities is governed by the Intellectual Property Ordinance graded on 12 December 2005.

## **J. STAFFING**

### **31. Salaries and Staff Appointments**

31.1. All University employees shall have a properly authorized letter of appointment in the form approved by or under the authority of the Human Resources Committee. For the avoidance of doubt the term ‘employees’ includes temporary and casual workers.

31.2. The source of available funding to support the posts or post shall be identified before a member of staff is given a contract of employment.

31.3. The only payments which may be made to University employees are those in accordance with approved University salary scales and such other payments as have been specifically approved by the Human Resources Committee. Rules on expenses reimbursement are set out in the Financial Procedures Manual.

31.4. Heads of Departments must provide the Payroll Section with and keep up to date a list (signed by the Head of Department) of persons authorized to sign salary documents for departmental staff paid through the payroll. Where the proposed signatory is not a University employee the approval of the Director of Finance is also required.

31.5. For all new employees the Head of Department or other authorized signatory shall ensure that the person is legally eligible to work in the UK. The Payroll Section will not add a non-EU citizen to the payroll unless it is clear that any necessary work permit has been obtained or that the immigration status of the person concerned does not require the University to seek permission for the specific employment proposed.

31.6. Individuals may not be paid as suppliers through CUPS unless the Taxation Section has given prior written consent.

## **K. PROPERTY**

### **32. Property**

32.1. The University’s real property is governed by *Statutes and Ordinances* including the Sites and Buildings Regulations.

32.2. Departments may not acquire or dispose of real property without taking the advice of the Directors of Finance and of EM. See further Regulation 6.

32.3. The University’s Taxation Section must be consulted about VAT and the tax implications of property acquisitions, disposals, and usage.

### **33. Stores and Equipment**

33.1. Stores and equipment shall be dealt with as set out in the Financial Procedures Manual. Assets bought with University Income irrespective of the source of funding remain the property of the University until sold or destroyed, unless contracts with external sponsors specify otherwise.

33.2. Fixed asset registers must be maintained (with a minimum requirement for all items costing more than £2,000).

33.3. Heads of Departments shall keep full, proper, and correct records of stock. A full stock take must be performed annually between 1 June and 31 July in addition to any regular interim stock takes.

## **L. AUTHORITY**

### **34. Council Delegations and Directions**

34.1. The Council hereby gives all delegations and directions contemplated by these Regulations.

### **35. Revision**

35.1. Every three years, or more frequently if appropriate, the Director of Finance shall arrange for these Regulations to be reviewed and for proposed changes to be submitted to the Finance Committee for onward recommendation to Council and adoption by Council Notice.

## **M. EXPLANATORY NOTE**

- The University endeavours to conduct University Business in accordance with the Nolan Principles;<sup>2</sup>
- The Council is the principal executive body and policy making body of the University. The Council has general responsibility for administration, planning of work, management of resources, and general supervision of finances including of all University institutions other than the University Press.<sup>3</sup> It has the authority to take legal advice

<sup>2</sup> See the University’s Corporate Governance Statement, annexed to the University’s Annual Reports and Financial Statements.

<sup>3</sup> Statute A, Ch IV, paragraph 1 and Statute F, Ch I, paragraph a. See also Ordinances, Ch I, Special Regulations for Syndicates, Local Examinations Syndicate, and Press Syndicate.

and conduct proceedings on behalf of the University.<sup>4</sup> The Council and its Finance Committee exercise the University's powers of investment subject to certain restrictions.<sup>5</sup> The Council has responsibilities in relation to the care, management, and maintenance of property.<sup>6</sup>

- The Vice-Chancellor has the customary rights and duties of the office<sup>7</sup> and is the designated officer responsible under the University Financial Memorandum with HEFCE and to the Public Accounts Committee.
- Pro-Vice-Chancellors perform duties as prescribed by *Statutes and Ordinances*, the Council, or the Vice-Chancellor.<sup>8</sup>
- Heads of University Departments and Secretaries of Faculty Boards have financial responsibility under *Statutes and Ordinances*, and are accountable for the proper application of funds.<sup>9</sup> Heads of other institutions are similarly responsible under particular provisions of *Statutes and Ordinances*.
- Acting Heads of Department may be appointed during a vacancy and count as Head of Department. The General Board appoints Deputy Heads and defines their duties and powers.<sup>10</sup>
- The Registrar is the principal administrative officer of the University under the direction of the Council and is the head of the Unified Administrative Service.<sup>11</sup>
- The University Offices form the Unified Administrative Service under the supervision of the Council and are organized in Divisions.<sup>12</sup>
- Statute K, para 9(b) provides for delegation by any University body to any committee or University officer (including in relation to finance) subject to *Statutes and Ordinances*.
- The Audit Committee has responsibilities under *Statutes and Ordinances*. The University's internal and external auditors have unrestricted access to all records, assets, personnel, and premises and the right to obtain such information and explanations as they consider necessary. HEFCE, HM Revenue and Customs, and others may also have the right to audit University Business.
- The purpose of the EU Public Procurement Directives and implementing UK Regulations is to encourage competitive tendering for public contracts throughout the European Union. The Council, on the advice of their Finance Committee, declared the University to be outside their scope in December 2003. It reviews and confirms this status annually. The Council intends that the University's procurement procedures should continue to follow the good practice set out in the Regulations.
- In addition to compliance with Financial Regulations Staff must also comply with the requirements of *Statutes and Ordinances* and Sites and Building Regulations.
- Ethical guidance on acceptance of donations and the provisions for acceptance of donations by or with the authority of the Vice-Chancellor are set out in Ordinances.<sup>13</sup>
- The Council may from time to time determine procedures for the financial regulation and conduct of the West and North West Cambridge Syndicate after consultation with the Chairman of the Syndicate.<sup>14</sup>

<sup>4</sup> Ordinances, Ch I, The Council, Legal Powers.

<sup>5</sup> Statute F, Ch III, paragraph 6 and Ordinances, Ch XIII, Financial Matters, paragraph 6.

<sup>6</sup> Statute F, Ch I, paragraph 2.

<sup>7</sup> Statute D, Ch III, paragraph 3.

<sup>8</sup> Statute D, Ch IV, paragraph 3.

<sup>9</sup> Statute C, Ch V, paragraph 3(c) and Ch IV, paragraph 10.

<sup>10</sup> Ordinances, Ch IX, Departments and Heads of Department, paragraphs 4 and 5.

<sup>11</sup> Statute D, Ch VIII, paragraph 1.

<sup>12</sup> Ordinances, Chapter XI, Special Regulations for University Officers, Unified Administrative Service, paragraphs 1 and 2.

<sup>13</sup> Ordinances, Ch XIII, Council Notice: Ethical Guidelines on the Acceptance of Benefactions.

<sup>14</sup> Ordinances, Ch I, West and North West Cambridge Estates Syndicate, paragraph 9.

**SCHEDULE 1 – COMPETITION PROCEDURES**

Consult Schedule 2 for the meaning of all words beginning with a capital letter.  
In particular the contract value must be calculated per the definition of Total Value.

Total Value (before VAT)	Procedure for inviting offers		
	Framework Contracts	Marketplace	Other purchases
< £1,000	follow procedures recommended by Procurement Services for the contract	Only the price from the marketplace is required	Written price confirmation
£1,000–£25,000			Three Written Quotes
> £25,000–£50,000		Three Written Quotes or three Written Proposals, depending on complexity, risk, and value of the purchase (see the guidance in Procurement Procedures)	
> £50,000		Three Tender Submissions	
> £100,000	Procurement services must be consulted/involved and agree the most appropriate procurement method		
EU Thresholds (updated biennially) as at January 2012 > £173,934 (goods and services) > £4,348,350 (works)	EU Tenders managed through Procurement Services		

*Notes*

1. Competition procedures are applicable unless a dispensation has been granted in accordance with Regulation 18.3. Non-exhaustive examples of when a dispensation might be appropriate include:

- Sole source supply necessary in the following circumstances:
  - Technical compatibility, e.g. upgrade to an existing solution or purchase of additional goods which must be compatible with existing goods
  - Protection of technical rights
  - Single provider (membership of a professional institute/proprietary training)
  - Purchase of or repairs to goods or materials, including machinery or plant, available only as proprietary or patented articles
  - The work to be executed or the goods/services to be supplied constitute an extension of an existing contract where a change of supplier would cause:
    - Disproportionate technical difficulties
    - Diseconomies, or
    - Significant disruption
- Other reasons might include:
  - A one-off, unique opportunity which offers significant value
  - Extreme urgency, which was unforeseeable and is not attributable to the requester and which precludes the invitation of quotations or tenders.

2. The expectation is that, where the required goods are available, purchases up to £25,000 will be made via the Marketplace or under a Framework Contract. Other offers should not be sought, unless better value can be achieved elsewhere, in which case Procurement Services must be notified so that any price discrepancies and inclusion of the supplier on the Marketplace can be explored.

**SCHEDULE 2 – DEFINITION, ADVICE, AND GUIDANCE****Definitions and Interpretation**

Bribery	As defined in the University's Policy against Bribery and Corruption
Certifying	Completion of Procurement Services' online dispensation form
Construction Related Procurement	The procurement of goods or services which could not be procured separately from the construction or alteration of a building (for example lift maintenance, the procurement and installation of equipment including air conditioning are not Construction Related Procurement)
CUEF	The Cambridge University Endowment Fund in which the main University endowments are pooled

CUFS	Cambridge University Financial System
Department, Head of Department	As defined in Regulation 4.1
Deposit Account	A University-wide facility that allows Departments to invest surpluses
EM	The University's Estate Management Service
Embedded Company	A company occupying University premises or whose employees' normal place of work is on University premises, other than as temporary visitors or to provide services to the University
EU Threshold	A threshold from time to time in force above which a public contract must be let in accordance with public procurement legislation
Framework Contract	Any framework contracts approved by Procurement Services
Fraud	As defined in the University's Policy against Bribery and Corruption
HEFCE	The Higher Education Funding Council for England
Investment Board	The board which manages for the University the investment of the CUEF
Leasing	A third party (including a supplier or a finance company) makes available for the University's use assets owned by the third party (ownership never vests in the University), for which a rental payment is made for a period of use; as distinct from an arrangement which amounts to borrowing to fund the possible acquisition of assets
Marketplace	Any supplier catalogue or process for obtaining offers which is made available electronically through CUFS
Nolan Principles	The seven principles identified by the Committee on Standards in Public Life
PCI	Payment Card Industry Data Security Standards
Planning and Resources Committee	Planning and Resources Committee of the Council and the General Board
Procurement Services	The University's Procurement Services section of the Finance Division
Procurement Procedures	The guidance and model documents on procurement in the Financial Procedures Manual or published on the Procurement Services web pages
Proposals	Bona fide, comparable Written bids submitted by a specified date (the Procurement Procedures provide sample documentation)
Quotes	Bona fide, comparable Written quotations (the Procurement Procedures provide sample documentation)
Research Office	The University's Research Operations Office
Staff	All employees, including temporary and casual workers, irrespective of whether their appointment specifically includes financial responsibilities and however their employment is financed together with anyone else who has any responsibility for the administration, management, or expenditure of any University Income or conducts any University Business
Tender Submissions	Formal tender documents submitted by suppliers in response to an Invitation to Tender
Total Value	The contract value or estimated value as follows: <ul style="list-style-type: none"> <li>(a) fixed period contract: the total price to be paid or which might be paid during the whole of the period;</li> <li>(b) recurrent transactions for the same type of item: the aggregated value of those transactions in the coming 12 months;</li> <li>(c) uncertain duration: monthly payment x 48;</li> <li>(d) feasibility studies: value of the follow-on scheme.</li> <li>(e) the aggregated value of separate contracts meeting a single requirement</li> </ul>
University	The Chancellor, Masters, and Scholars of the University of Cambridge
University Business	University business which has a financial impact
University Income	All monies, regardless of source or purpose, which are due or paid to the University or made available to individuals because of their association with the University, including donations
Written	In writing, including submission by fax or mail

Terms are to be understood as used in *Statutes and Ordinances*, unless the context of the Regulation requires otherwise.

Words preceding 'include', 'includes', 'including', and 'included' shall be construed without limitation by the words which follow those words.

**Further Guidance** is contained in

- the Financial Procedures Manual
- the web pages of:
  - Finance Division (including Procurement Services and Insurance)
  - Research Office
  - Human Resources Division
  - Registry's Office (Data Protection and Freedom of Information)
  - MISD
  - Legal Services Office and
  - Cambridge Enterprise (for Cambridge University Technical Services Limited)

## VACANCIES, APPOINTMENTS, ETC.

### Vacancies in the University

A full list of current vacancies can be found at <http://www.admin.cam.ac.uk/offices/hr/jobs/>.

**Herchel Smith Professorship of Organic Chemistry**; informal enquiries: Professor Daan Frenkel, Head of the Department of Chemistry (email [chemhod@hermes.cam.ac.uk](mailto:chemhod@hermes.cam.ac.uk)); closing date: 9 July 2012; further particulars: <http://www.admin.cam.ac.uk/offices/academic/secretary/professorships/>; quote reference: MA17221

**Directorship of the Cambridge University Botanic Garden**; informal enquiries: Professor Sir David Baulcombe, Head of the Department of Plant Sciences (email [oo203@cam.ac.uk](mailto:oo203@cam.ac.uk)) or Professor Keith Richards, Chair of the Cambridge University Botanic Garden Syndicate (email [keith.richards@geog.cam.ac.uk](mailto:keith.richards@geog.cam.ac.uk)); closing date: 3 July 2012; further particulars: <http://www.admin.cam.ac.uk/offices/academic/secretary/professorships/>; quote reference: PE17241

**University Lecturer / Honorary Consultant in Transplant Surgery in the Department of Surgery**; salary: £74,504–£100,446; closing date: 2 July 2012 at 5 p.m.; further particulars: <http://www.medschl.cam.ac.uk/jobs/?p=1562>; quote reference: RE00109

**University Lectureship/Senior Lectureship in Electrical Power Systems in the Department of Engineering**; salary: £37,012–£52,706; tenure: from 1 January 2013; closing date: 22 June 2012; further particulars: [http://www.eng.cam.ac.uk/admin/jobsinfo/UL\\_ElectricalPowerSystems.pdf](http://www.eng.cam.ac.uk/admin/jobsinfo/UL_ElectricalPowerSystems.pdf); quote reference: NA17092

**University Lectureships in Condensed Matter Physics (two posts) in the Department of Physics**; salary: £37,012 – £46,846; closing date: 1 July 2012; further particulars: <http://www.phy.cam.ac.uk/vacancies/>; quote reference: KA17351

**University Lectureship in Digital Communications and Signal Processing in the Department of Engineering**; salary: £37,012–£46,846; closing date: 29 June 2012; further particulars: [http://www.eng.cam.ac.uk/admin/jobsinfo/UL\\_DigitalCommunicationsSignalProcessing](http://www.eng.cam.ac.uk/admin/jobsinfo/UL_DigitalCommunicationsSignalProcessing); quote reference: NA17181

**Clinical Radiologist in the Department of Veterinary Medicine**; salary: £37,012–£46,846; closing date: 28 June 2012; further particulars: <http://www.vet.cam.ac.uk/news/>; quote reference: PP00285

**Clinical Veterinarian in Small Animal Surgery (part-time) in the Department of Veterinary Medicine**; salary: £37,012–£46,846 *pro rata*; tenure: one year; closing date: 13 June 2012; further particulars: <http://www.vet.cam.ac.uk/news/>; quote reference: PP00268

*The University values diversity and is committed to equality of opportunity.*

*The University has a responsibility to ensure that all employees are eligible to live and work in the UK.*

### Election

The following election has been made.

Professor John Tiernan O'Brien, M.A., R., B.M., B.Ch., D.M., *Oxford*, Professor of Old Age Psychiatry, Newcastle University, elected Professor of Old Age Psychiatry, with effect from 1 September 2012.

## EVENTS, COURSES, ETC.

### Announcement of lectures, seminars, etc.

The University offers a large number of lectures, seminars, and other events, many of which are free of charge, to members of the University and others who are interested. Details can be found on Faculty and Departmental websites, and in the following resources.

The What's On website (<http://www.admin.cam.ac.uk/whatson/>) carries details of exhibitions, music, theatre and film, courses, and workshops, and is searchable by category and date. Both an RSS feed and a subscription email service are available.

Talks.cam (<http://www.talks.cam.ac.uk/>) is a fully searchable talks listing service, and talks can be subscribed to and details downloaded.

Brief details of upcoming events are given below.

Mongolia and Inner Asia Studies Unit	<i>The change in nomadism and grassland degradation in eastern Inner Mongolia</i> , by Naran Torgonshar, on Wednesday, 13 June 2012	<a href="http://innerasiaresearch.org/?p=1180">http://innerasiaresearch.org/?p=1180</a>
Centre for Research in the Arts, Social Sciences, and Humanities (A Digital Humanities Network and DSpace@Cambridge seminar)	<i>Saving it for the future: practical perspectives on personal digital archiving</i> , by Professor Alan Macfarlane and Dr Jeremy Leighton John, on Wednesday, 13 June 2012	<a href="http://www.crassh.cam.ac.uk/events/2032">http://www.crassh.cam.ac.uk/events/2032</a>

## REGULATIONS FOR EXAMINATIONS

The General Board give notice that, on the recommendation of the Faculty Board or other authority concerned, the regulations for certain University examinations have been amended as follows:

### Master of Finance

(*Statutes and Ordinances*, p. 441)

#### With effect from 1 October 2012

The scheme of the examination has been amended by renumbering Regulations 6–12 as 7–13 and inserting the following new Regulation 6:

6. No student shall be a candidate for the M.Fin. Examination or for any part thereof on more than one occasion.

## NOTICES BY FACULTY BOARDS, ETC.

### Chemical Engineering Tripos, Part IIB, 2012–13: Notice

The Chemical Engineering and Biotechnology Syndicate give notice that the modules available for study in the academical year 2012–13 will be as follows:

Topics in Group A and Group D are compulsory for all candidates. The regulations specify that each candidate takes a total of eight modules from Groups B and C. The Chemical Engineering and Biotechnology Syndicate impose the restriction that each candidate shall choose six modules from Group B, and shall take 'Chemical product design' and choose one other module from Group C.

Group	Number and title of module	Mode of assessment
A	A1: Compulsory topics	Examination
B	B1: Advanced transport processes	Examination
	B2: Catalysis	Examination
	B3: Colloid science	Examination
	B4: Electrochemical engineering	Examination
	B5: Fluid mechanics and the environment	Examination
	B6: Modern metrology	Examination
	B7: Optimization	Examination
	B8: Rheology and processing	Examination
	B9: Biopharmaceuticals	Course-work
	B10: Biosensors	Course-work

C	C1:	Chemical product design	Course-work
	C2:	Computational fluid dynamics	Course-work
	C3:	Entrepreneurship	Course-work
	C4:	Foreign language	Course-work
D		Research project	

**Notes:**

(a) Course B10: Biosensors is borrowed from the Engineering Tripos.

(b) Course C2: Computational fluid dynamics has a number limit of 20 students.

**Music Tripos, Parts IB and II, 2012–13: Notice**

The Faculty Board of Music give notice that they have prescribed the following additional papers and subjects for the Music Tripos in 2012–13 (*Statutes and Ordinances*, p. 370):

*OLD REGULATIONS*

## PART IB

*Papers 6–12. Additional papers*

12. City and court: centres of Renaissance music

## PART II

*Papers 8–17. Additional papers*

12. English polyphony of the late middle ages

The title of Paper 16, previously announced as ‘Music from silver screen to cyberspace’, has changed to:

16. Music as performance

**Natural Sciences Tripos, Part III (Interdisciplinary papers), 2012–13: Notice**

The Committee of Management for the Natural Sciences Tripos give notice of the following additional interdisciplinary papers, which shall be included in the examination requirements of one or more subjects.

<b>Title of paper</b>	<b>Mode of assessment</b>	<b>May be offered in</b>
IDP1: Atmospheric chemistry and global change	One and a half hour written examination	Chemistry; Experimental and Theoretical Physics; Geological Sciences
IDP2: The Earth system and climate change	One and a half hour written examination. Assessed practical examinations for Geological Sciences students only.	Chemistry; Experimental and Theoretical Physics; Geological Sciences
IDP3: Materials, electronics, and renewable energy	One and a half hour written examination	Chemistry; Experimental and Theoretical Physics; Geological Sciences

Notwithstanding the examination requirements set out in Regulation 36 of the Natural Sciences Tripos, the following amendments shall apply to candidates offering interdisciplinary papers:

*Part III Chemistry*

Candidates may offer up to two of the interdisciplinary papers listed above, without restriction.

Candidates shall have less time to complete their other scheduled examination papers, such that, for each interdisciplinary paper offered:

- thirty minutes shall be taken away from the duration of Paper 1, and candidates for this paper will be required to answer one question fewer;
- forty-five minutes shall be taken away from the duration of Paper 3, and candidates will be required to answer one question fewer.

*Part III Experimental and Theoretical Physics*

Candidates may offer up to three of the interdisciplinary papers listed above in place of the equivalent number of Minor Topics.



*Part III Geological Sciences*

Candidates may offer one or two of the interdisciplinary papers listed above. Such a decision may affect the time duration of Papers 2 and 3 taken by the candidate.

Paper 2A will be a two-hour written paper for candidates offering *one* of Papers IDP1, IDP2, and IDP3.

Paper 2B will be a one-hour written paper for candidates offering *two* of Papers IDP1, IDP2, and IDP3.

Paper 3 will be a three-hour written paper for candidates offering IDP2 only.

Paper 3A will be a two-hour written paper for candidates offering *one* of Papers IDP1 or IDP3 (also includes candidates offering Paper IDP2 together with Paper IDP1 or Paper IDP3).

Paper 3B will be a one-hour written paper for candidates offering *both* Papers IDP1 and IDP3.

Candidates offering Papers IDP1 (Atmospheric chemistry and global change) and/or IDP3 (Materials, electronics, and renewable energy) will also offer a literature review associated with each of these papers, of no more than 5,000 words.

The literature review will be on a topic which may be either proposed by the candidate and approved by the Head of Department, or chosen by the candidate from a list of approved topics announced by the Head of Department early in the Lent Term. The review shall be submitted to the Examiners not later than the first Wednesday of Full Easter Term.

**Master of Music, 2012–13: Notice**

The Faculty Board of Music give notice that they have prescribed the following set works and topics for the M.Mus. in 2012–2013:

*Section 1: Choral Conducting:*

Thomas Tallis, *Audivi media nocte*  
Cipriano de Rore, *Ne l'aria questi di*  
John Blow, *Behold, O God our defender* (à 4)  
Johannes Brahms, *Es geht ein Wehen*  
William Walton, *Set me as a seal*

*Section 2: Seminar Course:*

- (a) Music and theology
- (b) Words and music
- (c) Choral histories
- (d) Music and the liturgy
- (e) Recorded sound

**OBITUARIES****Obituary Notice**

Sir ANDREW FIELDING HUXLEY, OM, Hon.Sc.D., M.A., FRS, Fellow and formerly Master of Trinity College, died on 30 May 2012, aged 94 years.

J. W. NICHOLLS, *Registrar*

**END OF THE OFFICIAL PART OF THE 'REPORTER'**

## REPORT OF DISCUSSION

**Tuesday, 29 May 2012**

A Discussion was held in the Council Room. Pro-Vice-Chancellor Professor Lynn Gladden was presiding, with the Registrary's Deputy, the Senior Proctor, the Junior Proctor, and three other persons present.

The following Report was discussed:

*Report of the General Board, dated 9 May 2012, on the Senior Academic Promotions (SAP) procedure (Reporter, 2011–12, p. 606).*

Professor N. J. GAY (Christ's College, Department of Biochemistry and University Council):

Madame Deputy Vice-Chancellor, I am very pleased that this General Board Report has come forward. Having said that, it really should not have taken three years to introduce these changes, and it is certainly disingenuous to claim that the scheme as currently constituted worked well. Since speaking out about the deficiencies in the SAP Procedure,<sup>1</sup> I have been contacted by a significant number of individuals with justified grievances about the procedure, some of whom, in my view, were treated in a thoroughly disgraceful way. Many of the grievances concerned the practice of grading applicants as having 'clear evidence' for all criteria then failing to explain why others who achieved the same objective standard were preferred for promotion. It is to be hoped that the new numerical ranking process will eliminate this and enable meaningful and supportive feedback to be provided to unsuccessful applicants.

There are three matters that remain unresolved by the current review. First is the question of how the budget available for promotions is set. This remains as opaque as a black hole, and the budget itself varies significantly from year to year, with a high of £750k in 2004, and a low of £450k in 2008. Obviously the number who will be promoted is very sensitive to this figure, and some who are successful in one year would not have been in another. The only way to overcome this unfairness is to return to the principle on which the procedure was originally based, that all who reach the qualifying standard will be promoted. I cannot gather any clues about this issue from Finance or PRC meeting minutes, and would welcome a response from the Director of Finance.

The second issue is one that the Board of Scrutiny has raised in its report on several occasions most recently the 15th in 2010.<sup>2</sup> At present, the procedure is informal in nature, and the Board has expressed concern that it should be placed within an appropriate framework within the Statutes and Ordinances. In 2010, their recommendation was

- (i) That the criteria for Senior Academic Promotions be established by Ordinance and not left vulnerable to administrative change,

but to date, nothing has been done. I urge the Council and the General Board to address this matter, although presumably it will have to wait until the current technical review of the Statutes is completed in Michaelmas, after which Council intends to address substantive changes.

The final question concerns the Appeals procedure. At present this is more in the nature of a procedural review than an appeal that reassesses the merits of the case. Experience suggests that there is more chance of winning the National Lottery than having an appeal upheld. Another

serious problem is that the General Board's main committee is not compelled to accept the Appeal committee's recommendation. Indeed in one case recently they did not, and although I am unaware of their reasons, on the face of it their decision was contrary to natural justice and undermines the independence of the appeal procedure.

<sup>1</sup> <http://www.admin.cam.ac.uk/reporter/2008-09/weekly/6138/16.html>; <http://www.admin.cam.ac.uk/reporter/2008-09/weekly/6125/15.html>; and <http://www.admin.cam.ac.uk/reporter/2008-09/weekly/6153/20.html>.

<sup>2</sup> <http://www.admin.cam.ac.uk/reporter/2010-11/weekly/6204/section1.shtml#heading2-4>.

Professor G. R. EVANS (Emeritus Professor of Medieval Theology and Intellectual History) (read by Professor N. J. Gay):

Madame Deputy Vice-Chancellor, first a legislative question. Once more I find myself comparing the content of a Report for discussion potentially leading to a Grace of the Regent House with that of a mere Notice, creating legislation for the University without reference to its Governing Body.

The General Board are empowered to create Ordinances in this way under Statute C, I, 2, but what are 'Regulations' such as those for the University Library published in the *Reporter* of 23 May?<sup>1</sup> There is no mention of those in the Statute. The General Board make themselves unaccountable by pressing forward in this way with controversial proposals, without offering the Regent House an opportunity for Report, Discussion, and Grace. Has everyone forgotten the furore which prompted a Discussion on a Topic of Concern on '*The unpublished report from the committee reviewing teaching and learning support services*' in 2009?<sup>2</sup> This present set of Regulations 'stem in part from the phased implementation of the Board's review of teaching and learning support services (*Reporter*, 2009–10, p. 260)' as though no one had raised an eyebrow at all.

The Report for discussion today shows up sharply the dangers in allowing too much freedom to the General Board to make legislative changes of their own motion, and without approval by the Regent House. In 2003, the Regent House consented to a change to Statute D, XVIII to include:

- IV. That the General Board be given authority to make such changes in the procedure as they consider necessary from time to time for the fair and efficient management of the promotions exercise.<sup>3</sup>

It appears to lie within the discretion of the General Board to determine whether to consult the Regent House at all. Fortunately the changes now proposed to the Senior Academic Promotions process are so radical that they must form the subject of a Report, but it would be wise for the Regent House to remember that that was not a requirement.

As a veteran of the battle to establish a fairer Senior Academic Promotions procedure in the late 1990s, I confess to a lack of confidence that increasing the number of 'grades' on which a candidate may be positioned from 3 to 10 is likely to make things fairer. It supposes a degree of accuracy and a comparability among disciplines for neither of which evidence appears to exist.

The most important achievement of the battles of the last phase of reform was the acceptance that everyone who deserved it should be promoted. Competition for too few promotions where more are acknowledged to be deserved inevitably leads to unfairness. I venture to point members of the Regent House to the Report of the Council on the Financial Position of the Chest for 1999–2000:

The General Board have agreed that personal promotions should be primarily determined by the assessment of academic merit, without budgetary restriction.<sup>4</sup>

That was dropped a few years later, but it still, even in financially straitened times, seems to me to be fundamental to the fairness of the recognition of senior academics by promotion in the University of Cambridge.

<sup>1</sup> <http://www.admin.cam.ac.uk/reporter/2011-12/weekly/6267/section4.shtml#heading2-9>.

<sup>2</sup> <http://www.admin.cam.ac.uk/reporter/2008-09/weekly/6157/30.html>.

<sup>3</sup> <http://www.admin.cam.ac.uk/reporter/2002-03/weekly/5899/5899.pdf>.

<sup>4</sup> <http://www.admin.cam.ac.uk/reporter/1998-99/weekly/5775/25.html>.

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## COLLEGE NOTICES

### Vacancies

*Corpus Christi*: Non-Stipendiary Research Fellowship 2012; tenure: three years; any subject; closing date: 29 June 2012; further particulars: <http://www.corpus.cam.ac.uk/fellowship/research-fellowship>

*Peterhouse*: Fellowship and College Lectureship in History (in either Ancient, modern British, or modern European History); starting salary: £26,937, plus benefits; tenure: five years from 1 October 2012; closing date: 25 June 2012; further particulars: <http://www.pet.cam.ac.uk>

*Sidney Sussex*: College Affiliated Lectureship in Law; salary: £21,853–£24,979; closing date: 2 July 2012; further particulars: <http://www.sid.cam.ac.uk/life/personnel>

## Other Notices

*Churchill College*: An exhibition of original Piper prints will take place in the Chapel at the College, from 14 – 18 June 2012. For further information, see <http://www.chu.cam.ac.uk/alumni/>.

*Newnham College*: In accordance with the Statutes of Newnham College, the Fellows who are members of the Governing Body have elected a Principal to take office after the retirement of Dame Patricia Hodgson. They announce the election of Professor Dame Carol Black, FRCP, FMedSci, who will take office on 17 September 2012.

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## EXTERNAL NOTICES

### Oxford Notices

*Nuffield Department of Clinical Medicine*: Professorship of Respiratory Medicine; closing date: 23 July 2012; further particulars: [http://www.ox.ac.uk/about\\_the\\_university/jobs/fp/](http://www.ox.ac.uk/about_the_university/jobs/fp/)

### Maison Française d'Oxford

Maison Française d'Oxford is holding a conference entitled *Alternative justice yesterday and today*, on Wednesday, 13 June 2012, from 9.30 a.m. to 4.30 p.m. Further details are available at <http://www.mfo.ac.uk/>.

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