

Towards Manchester 2015



The Strategic Plan
of The University
of Manchester

2007/2008 Edition



Norman Askew, Pro-Chancellor and
Chairman of the Board of Governors.

Chairman's Foreword

Norman Askew

I am pleased to provide a Foreword for this fourth edition of The University of Manchester's Strategic Plan – *Towards Manchester 2015*. The University's vision remains unchanged – it aims to make The University of Manchester one of the top 25 universities in the world by 2015.

The Board of Governors is well aware that this vision is bold and ambitious. There have been and continue to be significant challenges to face, but following extensive review of progress in the University's first two years of operation, we remain committed to the Vision and believe it to be achievable.

This Plan re-affirms the importance of all Nine Goals, which contribute to the overall Vision, but the measures used to monitor progress continue to be refined. This is essential. To succeed, the University will have to be immensely innovative in fostering world class research and creating exemplary learning opportunities, and superbly effective in nurturing the talents of our own staff and students. It will also have to ensure that key enabling strategies necessary to develop the University's resource base and improve efficiency and effectiveness are pursued with equal vigour. The *Manchester 2015 Agenda* provides a framework for pursuing such goals.

Clear progress has been made but there is still much to do. The implementation of the Plan will demand energy, commitment, courage and determination from all sections of the University community and from our key partners and supporters. It will also require superb execution.

The final part of this document outlines the structures and the processes through which this Plan will be implemented. These provide a good example of the way the University works: the structures are flat to ensure efficiency and effectiveness, but responsibilities and accountabilities are clear.

It is the University's staff led by the President and Vice-Chancellor who will be responsible for implementing this Plan, and in this they have the whole-hearted support of the Board of Governors. However, the Board does not lose sight of its responsibility to monitor the University's progress toward meeting its objectives, and holding the Executive accountable for this.

This is an enormous challenge for us all, but one that we are approaching with great confidence and enthusiasm.

A handwritten signature in dark ink, appearing to read 'Norman Askew'.

Norman Askew
Pro-Chancellor and Chairman of the Board
of Governors.

The University's rich heritage, symbolised by its iconic buildings, provides the foundation for The University of Manchester. (Left to right: The Whitworth Building, Sackville Street Building).



Our Mission

To make The University of Manchester, already an internationally distinguished centre of research, innovation, learning and scholarly inquiry, one of the leading universities in the world by 2015.

Our Values

In pursuing its vision, The University of Manchester will embrace and advocate:

- The idea of a university as a scholarly community whose members are profoundly committed to open, disciplined, rational inquiry and to international excellence in higher learning, research and professional education;
- The highest standards of ethics and conduct in research, teaching, scholarship, administration and organisational policy and behaviour;
- Equity of access based on educational merit, nationally and internationally, irrespective of background;
- The moral responsibility of all staff and students to contribute as educated, informed, tolerant citizens to the enrichment of social and cultural life and to the advancement of human wellbeing in their own communities and around the world;
- The academic freedom of all staff and students to engage in critical inquiry, intellectual discourse and public controversy without fear or favour; and
- The importance of making the University a safe, rewarding, environmentally sustainable workplace in which all staff are encouraged and enabled to enhance their skills, develop their careers and realise their full potential.



The University's graduates will be highly sought after by the world's leading employers.

Our Vision

As one of the world's leading universities, Manchester in 2015 will be:

A People-centred institution -

that values its staff as its most precious resource, supports and encourages them in their career development, communicates effectively with them and seeks to provide them with a dynamic, exciting environment in which their contributions are valued and their successes recognised and rewarded.

A Research-led institution -

that engages world class scholars in a pioneering research culture that values knowledge - creation for its own sake, for the cultural and material benefits it confers on humankind and for the ways it enriches higher learning.

An Innovative institution -

that values and encourages the transfer of knowledge and technology to influence and advance economic development regionally, nationally and internationally, and that rewards and provides practical support to staff who engage in commercially significant innovation and/or create intellectual property.

A Learning institution -

where scholars and researchers working at the cutting edge of knowledge are also teachers, helping successive generations of students learn to respect the disciplined pursuit of truth through rational inquiry, to appreciate the best that is known and thought in the world and to develop cognitive skills, intellectual honesty, humane values and professional expertise of the highest order.

A Liberal institution -

where rational inquiry remains unfettered, unconventional and/or unpopular critiques of conventional thought are valued, academic freedom is protected and researchers, scholars and students from all backgrounds are welcomed and supported.

An Independent institution -

that, in discharging its formal accountability obligations to Government agencies and professional bodies, remains essentially autonomous in its academic governance, and looks to its peers in the 'invisible academy' of international scholarship as the ultimate arbiters of its quality and standing.

An International institution -

valued regionally and nationally for its international reputation as a world-class centre of learning, discovery, innovation and scholarly virtuosity, and identified by world class researchers, scholars and students as a premier higher education destination.

An Inclusive institution -

that contributes to the widening of educational opportunity, nationally and internationally.

An Engaging institution -

that listens to its wider community, especially its alumni, providing them with opportunities to participate in its activities and further its objectives, and encouraging them, along with its staff and students, to concern themselves with problems of inequity, violence, poverty and deprivation, nationally and internationally.

A Manchester institution -

committed to serving the people of Manchester, its neighbouring boroughs and England's North West by working with the local communities and their leaders to enrich the social, economic, cultural and intellectual life of the city, the conurbation and the region.

Contents

The Manchester 2015 Agenda 4

Professor Alan Gilbert,
President and Vice-Chancellor

Goals, Strategies and Key Performance Indicators 6

- Goal One - High International Standing
- Goal Two - World-Class Research
- Goal Three - Exemplary Knowledge and Technology Transfer
- Goal Four - Excellent Teaching and Learning
- Goal Five - Widening Participation
- Goal Six - Empowering Collegiality
- Goal Seven - Efficient, Effective Management
- Goal Eight - Internationally Competitive Resources
- Goal Nine - More Effective Service to the Community

Planning and Accountability 16

- The University and its Responsibilities
- Primary Accountabilities
- The Role of the Board of Governors
- Management Accountabilities
- The Planning and Accountability Cycle
- Planning and Budgeting
- Annual Performance Reviews
- Operational Performance Reviews
- Faculty Operational Performance Reviews
- The Operational Performance Review of the Administration
- The Operational Performance Review Process
- Client Satisfaction Surveys
- Planning and Accountability Conferences
- The Advantages of Formal Accountability Structures

The President and
Vice-Chancellor
Professor Alan Gilbert.



The Manchester 2015 Agenda

The *Manchester 2015 Agenda* is an ambitious Strategic Plan for reconstituting and repositioning The University of Manchester over the next decade as one of the leading universities in the world.

Premier international universities are destinations of preference for many of the best students, teachers, scholars and researchers in the world. They are exemplary employers, placing great value on supporting, developing and rewarding their staff. They provide students with a superb learning experience, support excellence in teaching and provide researchers with state-of-the-art research facilities and efficient, effective administrative, financial and technical support. They are iconic institutions. Their "brands" are synonymous with excellence; their leading scholars are high profile public intellectuals; they are centres of artistic and aesthetic virtuosity; and for their graduates, their names and reputations open doors to the world's most prestigious workplaces.

Whether because of enlightened public funding, massive endowments, major fee-based or industry-linked revenues, or some combination of these and other income sources, such universities are able to invest immense resources in the vital functions they perform. They are key national and international institutions, not only in advancing education, discovery and innovation, but also more broadly in enriching the culture and enhancing the quality of public life in the societies they serve. Without them, it is difficult to envisage either a flourishing knowledge economy or a truly civilised society operating effectively in any society in the modern world.

The University of Manchester's *2015 Agenda* sets out the goals and strategies required to bridge the gap between the institution as it was on 1 October 2004, with the unification of The Victoria University of Manchester and UMIST, and the institution it has the potential to become by 2015. The *Agenda* is thus a blueprint for the major "step change" required, both in ambition and aspiration of the University's vision and in the effectiveness of its implementation.

Rigorous review and evaluation have confirmed that the University has already made significant progress against the *Manchester 2015 Agenda* and that the Goals and strategies identified in the *Agenda*, while challenging and ambitious, are still appropriate and achievable. The *Manchester 2015 Agenda* outlines the 'preferred future' of 2015, and continues to be the template against which success and/or failure will be measured at all levels of the University in the years ahead.

The University is now moving into a new stage of its development, as a period of major strategic investment in the run-up to the 2008 Research Assessment Exercise (RAE) is consolidated and more emphasis is placed upon the emergence of sustainable, long-term financial strategies. It is imperative that the University maintains its strategic momentum and continues vigorously to pursue its aspirations, while at the same time identifying the recurrent revenue sources and cost efficiencies which will enable it to compete over the long term at the highest international level.



The University is committed to providing state-of-the-art buildings and facilities for world class scholarly activities. (Left: Manchester Business School East; right: Incubator Building).

Implementing the Agenda

Implementing the *Manchester 2015 Agenda* demands energy, vision, courage and tenacity - and superb planning. The size of the gap to be bridged between the very good institution created by the merger and the virtuosity of the world's first rank universities, means that success will require not only finely calculated effectiveness in the pursuit of ambitious goals, but also high levels of organisational and financial efficiency.

Planning is nothing if not essentially practical. The *2015 Agenda* will either influence behaviour in the University profoundly, or it will have been in vain. The most obvious test of its practicality will be the extent to which, over the years, the *Agenda* shapes budgets at all levels and dictates patterns of resource allocation. A goal of attracting world class researchers to Manchester, for example, provides clear guidance to Faculties and Schools about their own more focused goals and priorities. The message is that in evaluating performance and allocating resources the University will give priority to strategies and outcomes that help to position Manchester in particular fields of research as a world leader. Conversely, less ambitious aspirations or goals that fail to contribute to the *Agenda* will be regarded (and resourced) as lower priorities.

The University operates through an annual cycle of planning and accountability that will persist, year-in, year-out, at all levels of the University, until the *Manchester 2015* vision has become a reality. The cycle involves inter-locking processes of strategic and operational planning, budgeting, implementation, performance review and accountability to stakeholders, and provides for the re-calibration of goals, strategies, targets and key performance measures when (as is inevitable) re-planning becomes necessary. The cycle also identifies the key dates in the annual calendar of the University through which the cycle will revolve.

This Planning and Accountability Cycle is described in greater detail in the final section of this document.

Companion Planning Documents

The *Manchester 2015 Agenda* envisages cognate planning processes in every Faculty and School and in the Administration of the University, and anticipates that they will likewise translate the high level vision, values, objectives, strategies and performance measures of the *Agenda* into more focused documents of their own.

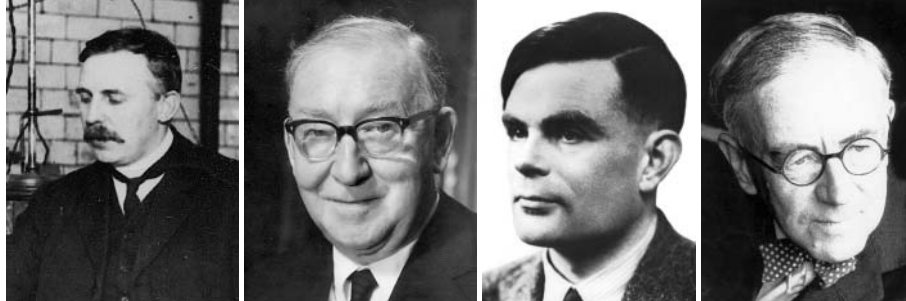
At all such levels, strategic planning will generate annual Operational Plans

designed to break longer term goals down into shorter term targets, and to align annual performance measures with longer term key performance indicators of the kind set out in the *Agenda*. As at the wider University level, Operational Plans will inform plan-based, incentive-driven budgeting in Faculties, Schools and the Administration.

The result is a suite of planning and accountability documents that reflect the various stages of the Planning and Accountability Cycle. These derivative documents, reviewed annually, will guide operational planning and management in Schools, Faculties and the Administration across the University, for they will be the templates against which priorities are established, resources allocated, progress reviewed and accountability obligations discharged.

The suite of planning documents is set out in the final section on Planning and Accountability.

Professor Alan Gilbert
President and Vice-Chancellor



A Key Performance Indicator will be success in appointing a number of internationally 'iconic' researchers to re-establish a tradition enriched by the likes of (left to right): Nobel Laureates in Physics, Ernest Rutherford and John Cockcroft, and Alan Turing and AJP Taylor, 'Giants' respectively in Mathematics and History.

Goal One

High International Standing

To establish The University of Manchester by 2015 as a world renowned centre of scholarship and research, able to match the leading universities in the world in attracting and retaining teachers, researchers and "critical mass" research teams of the highest quality, and as a higher education brand synonymous with the finest international standards of academic excellence, and with pioneering, influential and exciting research and scholarship.

Strategies

The *Manchester 2015 Agenda* is partly a positioning exercise. A first rank international reputation becomes self-sustaining in the sense that the key people attracted to such an institution by its reputation serve, through their very presence, to reinforce and enhance that reputation. The same is true for students, their families and the wider community generally. Reputation-building is a process of making and substantiating self-fulfilling prophecies. It creates genuine substance and is validated by the substance it creates.

The key strategies for enhancing the University's international reputation are:

1.1 Achieving major early successes in pursuit of the *Manchester 2015 Agenda*.

The University of Manchester has been successful in crystallising internal and external perceptions of the new institution as a major strategic shift in English higher education. Despite this early success, there is still the danger that the University of Manchester will not achieve the sustained step-change it aspires to and will default to being a very large "big civic" university. It is imperative therefore for the University to maintain the highest level of aspiration in pursuit of all of Goals 2-9 (below).

1.2 Ensuring consistency in the positioning and representation of Manchester as an international University of the highest rank.

First rank international research universities behave like first rank international research universities, jealous of their reputation, protective of their "brands", highly discriminating in the institutional partnerships they form and aware that they strengthen or undermine their national and international standing according to the ways they position themselves in relation to other institutions or clusters of institutions.

The University of Manchester is committed to maintaining constructive, value-adding relations with all other universities, especially those in Manchester and the North West, but its primary international partnerships will be with a number of the finest research universities around the world. The strategic reality is that securing deserved recognition as a great international university is the most important contribution that The University of Manchester can make to its City, its neighbouring boroughs and to England's Northwest more specifically, and to the United Kingdom generally.

1.3 Supporting academic quality improvement and research excellence through exemplary "branding", signage, public relations, community liaison, marketing and promotional activities.

While recognising that in the long run only the scholarly character, standards, values and performance of the University count for much, professional advice is being sought to assist Manchester to position itself in various crucial external constituencies as a premier international institution. The aim is to facilitate genuine "step change" in institutional performance and secure recognition of such change by external observers.

1.4 Appointing a number of internationally "iconic" scholars and research teams.

This is an enabling strategy designed to create an exemplary environment for lifting the aspirations and developing the careers of all staff, boosting institutional revenue and positioning Manchester as a destination of preference for outstanding scholars and researchers at all levels.

The strategy assumes a distinction between "iconic" and "virtuoso" appointments. The University has no higher priority than to develop virtuosity at all levels by consistently appointing excellent people and creating working environments in which such people may reach their full potential (see strategy 2.3 and 2.4). One of its essential strategies for doing this is to make a number of exemplary appointments of scholars whose virtuosity has been recognised in ways that give them iconic status within and beyond the international higher education community. The most obvious example of such iconic status is the award of a Nobel Prize for achievement in a research discipline.

While this is only one of several related human resource strategies, without it the *Manchester 2015 Agenda* is likely to be undermined.

Key Performance Indicators

- Clear evidence of improvement in the University's international and domestic standing as measured by reputable international higher education rankings.
- The presence on staff of at least five Nobel Laureates (or equivalent) by 2015, at least two of whom have full-time appointments, with three such appointments being secured by December 2007.



Nobel Laureate, Professor Joseph E. Stiglitz chairs the University's Brooks World Poverty Institute.



Professor Dame Nancy Rothwell FRS, and Professor Simon Gaskell (below), Vice-Presidents for Research, are leading the strategy for improving the University's research performance and reputation.

Goal Two

World Class Research

To establish The University of Manchester by 2015 among the 25 strongest research universities in the world on commonly accepted criteria of research excellence and performance.

Strategies

Research performance and prestige are the key drivers of reputation and standing among leading universities at the highest international level. The performance of a university in other areas is secondary, even (in many cases) to success in those other areas. For by virtue of their research standing, world class research universities attract outstanding students and teachers and, *ipso facto*, produce outstanding graduates. The point is not that The University of Manchester can leave these other activities to look after themselves; it is that, whatever else may be achieved, the *Manchester 2015 Agenda* will fail unless its research objectives are realised.

The key strategies for establishing Manchester as a first rank research University are:

2.1 Building a world class research profile.

The University has many outstanding academic and support staff. Its sheer size



and the quality and breadth of its research activity make it an internationally significant research institution. It also has in the John Rylands University Library one of the world's great research libraries, which holds more than 4 million printed books, some 40,000 e-journals, 500,000 e-books, several hundred databases, and many special collections. The University needs to build on these strengths and ensure that, in terms of research power and impact, it becomes one of the world's leading universities even if, in per capita terms, it remains significantly less research intensive than the best universities in the world.

A priority in research planning at all levels is, through outstanding appointments and by developing the potential of existing staff, to reconfigure Manchester's research profile to match those of Oxbridge, Imperial College and the foremost institutions in the US and Asia in the quality and consistency of research performance across the institution and in the funding available for such research.

2.2 Encouraging and enabling current staff to reach their full potential.

Priority is being given to supporting distinguished scholars already in the University, encouraging outstanding young researchers and providing all those capable of world class research performance with opportunities to realise their full potential.

2.3 Emphasising excellence in appointments.

The University will only appoint people who are at or have the potential to reach the international first rank, choosing always to leave positions unfilled rather than breach this principle.

2.4 Achieving international research leadership in selected areas.

In pursuit of its 2015 goals the University will establish and sustain genuine international research leadership in five or six research fields, together with the capability to contribute to cutting edge research partnerships, nationally and internationally in 20-25 further areas. International research leadership, in this context, is indicated by discoveries shaping the international research agenda, by presence of world

renowned researchers and "critical mass" research teams able to attract world class researchers from other universities and create nurseries for outstanding young researchers trained internally.

While continuing to support all researchers conducting internationally significant research, the University will identify and give priority to fields of research in which it has the potential to develop such international research leadership. Through plan-based, incentive-driven budgeting it will support such "critical mass" concentrations of world class research capability with targeted appointments and strategic investments in infrastructure.

This strategic imperative is likely to drive major strategic shifts of resources to Faculties and Schools securing such virtuoso scholars and establishing such concentrations of research excellence.

2.5 Demonstrating "step change" research improvement in the 2008 RAE.

Not an end in itself, this is an important intermediate strategy in the sense that the University will be judged harshly unless the RAE demonstrates significant progress by 2008.

Key Performance Indicators

- Annual increase in the University's share of the world's high impact research publications.
- Achieving annual increases in external grant income consistent with a doubling of such income (in real terms) by 2015.
- Annual increases in total audited research expenditure (TARE) consistent with the trebling of such expenditure by 2015.
- Achieving annual increases in the number of postgraduate research students successfully completing their programme within the specified period consistent with doubling the number of completions by 2015.

Encouraging technology transfer through licencing and “spin-out” companies such as Renovo, established by Professor Mark Ferguson to build on his pioneering University research into wound-healing.



Goal Three Exemplary Knowledge and Technology Transfer

To contribute to economic development regionally, nationally and internationally, and greatly to increase opportunities for the University and its staff and students to benefit from the commercialisation and application of the knowledge, expertise and intellectual property (IP) that they develop in the University.



Professor Rod Coombs, Vice-President for Innovation and Economic Development, is leading the way for the University to unlock maximum technological potential from its research, providing great benefits for society and for the staff who create the IP.

Strategies

First rank international universities are characterized by having very strong collaborative research agendas with major companies, and by being major sources of invention, intellectual property, licenses, and spin-out companies. These activities have a strong positive effect on the vitality and innovativeness of the overall research portfolio of such universities. They also help such universities to recruit the best staff, to motivate their staff, and to generate additional income. The University of Manchester sees this approach as central to its mission.

The key strategies are:

3.1 To develop exemplary IP policies and practices and place the University in the forefront of best practice in knowledge and technology transfer.

In pursuing the *Manchester 2015 Agenda*, the University is giving high priority to creating competitive advantages based on IP policies designed to make it a preferred destination for innovators and creators of intellectual property.

3.2 To engage in translational research, innovation and the pre-commercial development of IP.

The University is pursuing systematic, mutually-beneficial engagement with research-based industries, and seeks to operate with levels of effectiveness, efficiency and responsiveness that will make it a preferred partner for major national and international companies.

3.3 To adapt the University's recognition and reward systems to reflect high priority being attached to success in applied research, innovation and knowledge transfer.

In modifying promotion and remuneration criteria to drive this strategy, care will have to be taken to maintain the imperative to engage in exemplary teaching and virtuoso fundamental research.

Key Performance Indicator

- Annual increases of 10% between 2004 and 2015 in the value of third party investments in university spin-out companies and in the number and value of licence deals done with third parties.
- To increase the proportion of our research grant income which comes through industrial sponsorship from its level of 8% in 2004 to 20% by 2015.



The University provides excellent learning environments, pre-eminent among which is the John Rylands Library, one of the largest and best resourced in the UK. It also provides internationally renowned computing facilities.

Goal Four

Excellent Teaching and Learning

To provide students with teachers, learning environments, teaching and learning infrastructure and support services equal to the best in the world.

Strategies

The national and international standing of world class research universities makes them magnets for outstanding students, and is strengthened by the satisfaction and success their graduates derive from their association with the University. Conversely, such universities place their reputations at risk if the student experience they offer fails to match the high expectations of the students they attract.

In order to attract, educate and support outstanding students, the University is giving high strategic priority to:



Today, our worldwide community of 200,000 graduates can be found in top positions in business, sport, politics, the media and the arts.

4.1 Enhancing the Manchester student experience.

The University of Manchester is committed to providing its students with outstanding, well-supported teachers, superb learning environments, attractive residential options, excellent student support services and the opportunity to develop key employability skills central to their future success. The student experience is further enhanced through the significant collections of the Manchester Museum, the Whitworth Art Gallery and the John Rylands University Library, which offers seamless use of a superb array of electronic, print and manuscript resources.

4.2 Encouraging and rewarding excellence, innovation and creativity in teaching and learning.

In its employment and promotion policies and procedures, the University values, supports and rewards excellent teachers.

4.3 Enriching teaching and learning through the provision of highly interactive on-line learning environments drawing on international best practice in e-learning.

The University recognises the need to ensure that the learning environments it provides for students are enriched as the pedagogical and technological potential of e-learning evolves. The primary aim is to enrich campus-based learning, but the University also recognises the importance of developing its global profile through world class on-line off-campus learning programmes. The University is committed to assisting creators of on-line courseware to benefit from the commercial exploitation of their IP.

4.4 Encouraging and rewarding excellence in supporting the student experience.

The University values highly all staff engaged in student recruitment and admissions, in meeting the information, health, counselling and welfare requirements of students, or in enhancing the quality of the Manchester student

experience more generally, including those staff who maintain and service lecture theatres, laboratories and recreational environments, and those responsible for the provision and oversight of student accommodation.

4.5 Listening to students.

The University collects valid, independent student feedback both on the quality of teaching and learning in every programme it offers and on the broader student experience, and gives the Students' Union and other student representatives opportunities to monitor and evaluate University responses to such feedback.

Key Performance Indicators

- Annual improvements in student satisfaction with the quality of teaching they receive and of the learning environment they experience in Manchester.
- Sustained high levels of satisfaction among key employers with the quality of Manchester graduates, as measured by properly validated employer satisfaction surveys.
- Annual increases each year until 2015 in the number of students enrolled on on-line programmes.

University staff and students are working in partnership with local schools and colleges to encourage participation in higher education from under-represented groups in the community.



Goal Five

Widening Participation

To make The University of Manchester the UK's most accessible research-intensive university by providing international students from economically deprived backgrounds and home students from traditionally under-represented sections of society with a supportive learning environment in an inclusive and welcoming University community.

Strategies

The University is committed to going well beyond progressive national policy settings favouring widening participation, and plans greatly to increase opportunities for students of outstanding potential from traditionally under-represented social groups to enrol in its programmes. By making this commitment to inclusivity a priority, Manchester plans to be a leader in the national widening participation agenda.

Strategic priority is being given to:

5.1 Pursuing exemplary fair recruitment and admissions policies and procedures.

The University will seek to develop and implement fair and transparent admissions policies and criteria allowing it to identify and recruit students of outstanding achievement and potential from all educational backgrounds.

5.2 Developing generous, merit-based and needs-focused bursary and scholarship programmes.

The purpose of such programmes is to provide access to the University to outstanding students irrespective of background or financial situation, and to offer them a clear incentive to choose Manchester.

5.3 Supporting students from non-traditional backgrounds.

The University is seeking to ensure that, irrespective of their backgrounds, all students admitted have access to flexible, responsive support programmes and learning environments enabling them to complete their studies successfully

5.4 Developing outreach activities encouraging widening participation.

The University is committed to raising awareness of the benefits of higher education among school pupils, further education students, teachers and parents, and to working with primary and secondary schools in Greater Manchester to promote wider participation in higher education generally.

Key Performance Indicators

- To invest progressively in the provision of merit-based "Equity" bursaries and scholarships for home students from traditionally underrepresented sections of society.
- To invest progressively in "Equity and Merit" scholarships for qualified students from economically deprived backgrounds in developing countries.
- Annual increases in the number of students from traditionally underrepresented groups benefiting from programmes supporting progression to research-intensive universities.



Internal consultation, communication and engagement remain priority areas for the University.

Goal Six

Empowering Collegiality

To maintain The University of Manchester as a collegial community to which staff of the highest calibre are attracted, and within which all staff, whatever their roles or functions, may be proud of their University, are able to identify with its aspirations and are informed, enabled and encouraged to take appropriate responsibility for its direction, development and management.

Strategies

Without opportunities for meaningful input into strategic and operational management the staff of the University will not be mobilised around the *Manchester 2015 Agenda*. High priority is therefore being given to internal consultation, communication and engagement promising to secure acceptance and, wherever possible, “ownership” of key change processes.

The University is committed to:

6.1 Making Manchester a people-oriented institution in which the interests, needs, concerns, achievements and satisfaction of staff are given high priority in the 2015 Agenda.

The aim is not to value people independently of the purposes and goals of the University, but rather to recognise that without the support and engagement of staff at all levels, talk of purposes and goals remains but hollow rhetoric in a university.

6.2 Ensuring that the primary organisational structures of the University facilitate effective two-way communication.

Collegiality depends essentially on the effectiveness of the mainstream policy-making and associational structures of the University - its Schools, Faculties, Senate and Planning and Resources Committee - both in transmitting information from other levels in the University and in providing opportunities for genuine engagement in decision-making. All staff are encouraged to engage in the consultative and communications processes operating at the School level, and, through Schools, to be deeply involved in the life of their Faculties. At the Faculty level, Vice-Presidents and Deans are responsible for ensuring that, through Schools, all staff are provided with regular, timely information about the plans, activities and performance of the University. The representative processes of the Senate, the Planning and Resources Committee and the Board have also been designed to provide genuine channels for systematic two-way communication throughout the University.

6.3 Providing for the systematic, intensive engagement of key staff in the annual planning, budgeting, reporting and accountability cycle of the University.

All academic support and general staff are encouraged to participate in the management processes and contribute to the continuous improvement of the University as an institution of higher learning and research, whether as members of the Administration or as members of staff in Faculties or Schools.

6.4 Conducting regular, independent staff satisfaction surveys.

The aim is to provide all staff with opportunities confidentially to evaluate the efficiency, effectiveness and standards of employment practice of the University at all levels and in relation to all its functions, and to use the feedback provided to improve levels of performance.

6.5 Making the University an exemplary employer, and to position it as a destination of preference within higher education, nationally and internationally.

The University will create and maintain competitive conditions of employment, and ensure that all members of staff are provided with clear job descriptions, high quality supervision and excellent opportunities for career development.

6.6 Facilitating equal employment opportunities.

The University is committed to values and policies supporting racial and gender equity in employment and advancement, and to providing all staff, whatever their background, with support enabling them to realise their full potential.

Key Performance Indicators

- Progressive improvement in levels of staff satisfaction, as measured by trend analysis from a well-designed, biennial survey.
- Progressive improvements in equality of opportunity in all areas as measured by the diversity of the University's staff profile.



Goal Seven

Efficient, Effective Management

To maintain management systems, processes and services at all levels of the University that are open, supportive and empowering, responsive to academic needs, strategically focused and exemplary in meeting all internal and external obligations and responsibilities, and able to provide the University with a competitive advantage in its pursuit of the *Manchester 2015 Agenda*.

Strategies

The University of Manchester recognises the importance of efficient, effective management in providing a competitive advantage in the 21st Century Higher Education sector. Its size also provides potential for significant economies of scale and cost efficiencies, which must be fully realised.

The key management improvement strategies are:

7.1 Developing and maintaining simple, flat management structures with a minimum of hierarchy in supervisory and reporting relationships.

The University has established a framework in which it is possible to avoid the traditional higher education “trade off” between the twin imperatives of efficiency and the need to maximise opportunities for collegial engagement in decision-making.

7.2 Devolving responsibility and accountability to promote collegiality, efficiency and effectiveness.

Responsibility and accountability are being devolved to those levels of the University where there is maximum knowledge of the issues and immediate responsibility for managing the consequences of decisions being taken. As a corollary of this approach to devolution, care is being taken to provide those likely to be most affected by particular decisions with opportunities to help shape those decisions.

7.3 Maintaining a rational, simple committee system.

By linking respect for the primary importance of School and Faculty decision-making with clear, straightforward reporting lines from the Senate and the Planning and Resources Committee to Board Committees and the Board itself, the University seeks to combine efficient policy development and review capabilities with enhanced opportunities for meaningful input from all levels into the University's decision-making processes.



Albert McMenemy, Registrar and Secretary, is leading the administrative team that will support the efficient and effective management and governance of the University.



The three Vice-Presidents and Deans (left to right): Professor Alistair Ulph, Faculty of Humanities; Professor John Perkins, Faculty of Engineering and Physical Sciences; and Professor Alan North, Faculty of Life Sciences and Faculty of Medical and Human Sciences.

7.4 Establishing an exemplary planning culture based on a cycle of systematic planning and re-planning, regular performance reviews and rigorous accountability at all levels, and a commitment to continuous improvement.

Such planning will be thoroughly practical, flexible, responsive to feed-back from staff, students and other stakeholders, and able to adapt swiftly to changes in operating environments. By operating as the primary determinant of budget priorities, and emphasising performance against plan as the primary measure of progress, it will facilitate focused commitment to the *Manchester 2015 Agenda*.

7.5 Maintaining “best practice” standards of financial management and accountability.

The University attaches the very highest priority to managing financial resources and capital assets efficiently and effectively, and to regular, systematic accountability to the Board of Governors through its Finance, Audit, and Risk Committees. There is a commitment to outstanding systems and people and to proper working relationships with internal and external auditors. Additional external expertise is called in as necessary to ensure good practice in exercising due diligence and in the management of major projects.

7.6 Establishing effective processes for the systematic identification and prudent management of risk in all areas of the University’s activities.

The aims are (i) to develop and operate effectively with risk management policies, processes, procedures and monitoring regimes that comply with all relevant legal and regulatory requirements and consistently meet the highest standards of duty of care and management responsibility; and (ii) to provide the Board of Governors, through its Risk Committee, with current information about the risk profile of the University and with appropriate assurance that risks are being well managed across the organisation. To meet these aims, the University’s Internal Auditors will provide annual assurance that the University is managing its risks prudently, through full compliance with all legal and public policy obligations, the maintenance of a comprehensive, up-to-date Risk Register and effective systems and processes for reviewing, evaluating and managing risk at all levels.

7.7 Creating and sustaining a client-centred service culture within the University

The aim is to ensure that in all its contacts with external clients and the wider public, and in its treatment of its own staff and students, the University is a responsive, constructive, helpful organisation, committed to the highest possible levels of service, and to continuously improving the processes and practices through which it manages all its human relationships.

Key Performance Indicators

- Annual improvement in levels of satisfaction with the quality, effectiveness and efficiency of leadership and management in the University Administration, at all levels.
- Reduction in the cost of administration as a percentage of total expenditure.
- Annual assurance to the Board (via Finance Committee) of effective financial management and control through analysis of key financial performance and sustainability indicators
- Receipt by the Risk Committee of the Board of Governors in December each year of assurance by the University’s Internal Auditors that the University is maintaining prudential risk management, including full compliance with all legal and public policy obligations, the maintenance of a comprehensive, up-to-date Risk Register and effective systems and processes for reviewing and evaluating risk management at all levels.

The University is overseeing the largest estates programme in British higher education history. Increasing the University's resource base is essential to realising the vision to be one of the world's leading research-intensive institutions.



Goal Eight

Internationally Competitive Resources

To ensure that the University acquires the recurrent and capital resources necessary to be competitive at the highest international level.

Strategies

One of the most obvious weaknesses confronting The University of Manchester as it pursues the *Manchester 2015 Agenda* is a resource base that falls well short of that available in the world's leading research-intensive universities. In improving its financial competitiveness, the University recognises the importance of reducing costs and seeking efficiency savings, where appropriate, but its primary strategy must be to increase significantly the University's revenue streams, particularly its discretionary income streams.

Strategic priority is therefore being given to:

8.1 Substantially improving unit-of-resource funding.

Manchester will have to improve greatly the per capita funding it brings to the education of students, the recruitment and reward of staff (especially world class staff), the support of researchers and research teams and the development and maintenance of world class infrastructure. Monitoring progress towards key unit-of-resource targets will therefore be an important measure of progress towards the overall *Manchester 2015* objective.

8.2 Increasing the proportion of total enrolments returning the full economic cost of the educational programmes to which they relate.

Manchester will not be able to offer students an outstanding educational experience or achieve the research standing to which it aspires without strengthening its resource base by expanding educational services at full economic cost, and taking advantage of changes in Government policy on fees for domestic students.

Such a policy will have to be balanced against the widening participation imperative identified in Goal 5. Indeed, one of the reasons to seek additional funding is to enable the University to support qualified students who might otherwise be unable to obtain a place in the University for reasons of financial disadvantage.

8.3 Growing international student enrolments.

In an age of global professional workplaces and opportunities, the internationalisation of the student body enriches the learning experience for all students. A very substantial increase in international student enrolments also promises to enhance the unit-of-resource available to support student learning because, unlike home students, international students pay fees that cover the full direct and indirect costs of their education.

8.4 Creating best-practice approaches to engaging external stakeholders in fund-raising and funding partnerships.

As part of a multi-faceted approach to mobilising support for the *Manchester 2015 Agenda* within its wider constituencies, the University is developing central and Faculty-based fund-raising programmes focused on major strategic imperatives. Some of these are essentially charitable in nature, others are based on innovative funding partnerships associated with the leveraging of intellectual property created in the University.

8.5 Driving the *Manchester 2015 Agenda* through plan-based, incentive-driven budgeting and the efficient use of financial and other resources.

Because relative resource scarcity is certain to remain for the medium term a reality in comparisons between Manchester and the world class universities it seeks to emulate, a key strategic imperative is success in exploiting the resources it has far more effectively and efficiently than is normal in the higher education sector.

In the highly devolved management culture being created, the key driver of the University's overall strategic priorities, including this efficiency objective, is the use of financial incentives built into Faculty budgets. Such incentives must be sufficiently powerful to influence priority setting at all levels of the University.

Key Performance Indicator

- To increase the unit-of-resource funding of the University (defined as recurrent income from all sources per academic staff FTE) by 50 per cent in real terms by 2015.
- To increase the University's discretionary income (defined as the sum of income from fees for educational services, knowledge and technology transfer and unencumbered fund raising) consistent with a doubling of such revenue in real terms by 2015.



Vice-President Professor David Gordon, as part of his portfolio of responsibilities, oversees the University's cultural assets, and is seen here with Dr Nicholas Merriman, Director of the Manchester Museum and Dr Maria Balshaw, Director of the Whitworth Art Gallery. (From left to right: Professor David Gordon, Dr Maria Balshaw and Dr Nicholas Merriman).

Goal Nine

More Effective Service to the Community

To contribute to the development of a secure, humane, prosperous and sustainable future for human society and, beginning in its local communities in Greater Manchester, to explore opportunities to enrich the social, cultural and economic development of the communities, regions and countries in which the University works.

Strategies

To fulfil the service obligations incumbent on all great universities, and to earn the respect and support of its stakeholder communities in and beyond Manchester and England's North West, The University of Manchester is committed to promoting humane values, advocating progressive public policies, especially relating to greater educational opportunities for groups traditionally underrepresented in higher education, and to maintaining high quality cultural institutions, collections and programmes. The University also seeks to further the economic development and enrich the quality of life of the communities it serves and accepts a responsibility to pursue economic development and human rights agendas internationally.

Strategic priority is being given to:

9.1 Positioning the University as a good neighbour and a responsible corporate citizen in Manchester and in its neighbouring boroughs.

This commitment applies especially in the "knowledge corridor" along Oxford Road and around the inner-city northern campus. The University will work closely with the Oxford Road Development Partnership and its stakeholders to help transform the physical environment, enhance the cultural and retail services offered in the precinct and improve links to local schools and community groups.

9.2 Collaborating, as appropriate, with other institutions in Manchester and the North West to advance the interests of the region.

Care will need to be taken to balance this strategy against the competing imperative to position Manchester as a leading international institution whose peer institutions are the finest research universities in the world.

9.3 Encouraging staff and students to see service to the community, constructive engagement in public policy issues and the advocacy of humane values and civil rights as part of their social responsibility as members of the University.

The University seeks to do this by supporting programmes and agencies working locally, regionally and internationally to understand and alleviate poverty, racial inequality and other forms of economic, cultural and social deprivation, and, through the development of its flagship Manchester Leadership Programme and other initiatives, it seeks to ensure that these issues also inform the development of its own programmes of teaching and learning.

9.4 Maintaining the quality and raising the public profile of cultural agencies and programmes associated with the University.

Special priority is being accorded to the John Rylands Library, the Manchester Museum, the Whitworth Art Gallery, the Jodrell Bank Visitors Centre and other major cultural assets associated with the University.

9.5 Providing for regular, frequent, systematic interactions between leaders at all levels of the University and opinion leaders in its key external constituencies.

The reputation building strategies at the core of the *Manchester 2015 Agenda* place a premium on communicating, internally and externally, the scale and boldness of the vision and - as appropriate - the progress the University is making.

The threshold criterion is that all key stakeholders receive regular updates on the plans and achievements of the University, enabling them to celebrate its successes, bring sympathetic understanding to its problems and provide support for and advocacy of its objectives.

Key Performance Indicators

- Expanding opportunities through the "Manchester Leadership Programme" for students to combine formal leadership and enterprise skills training, with community work focused on the University's community engagement and widening participation agendas.
- Annual increases in, and broadening of, participation in educational programmes and public visitors to the University.

Helen Barton, Head of the Planning Support Office, oversees the annual cycle of planning, performance evaluation and reporting.



The Planning And Accountability Cycle

The preceding sections of this document have set out the University's Nine Goals and described the strategies through which the University will pursue the "step change" required to realise the *Manchester 2015 Agenda*, while also identifying the key targets and performance indicators against which progress towards the goals can be measured. This section focuses on the principles and structures which underlie the multiple responsibilities placed on the University and through which it operates, and on the practical disciplines of Accountability, Performance Evaluation and Quality Improvement without which planning is little more than an expression of hope and quality improvement remains at best haphazard.

The University and its Responsibilities

A university is an institution with fundamental responsibilities to a range of stakeholders, internal and external. In an immediate sense, its current students and staff are its primary stakeholders. More broadly, however, a university is responsible to its graduates for maintaining the quality and reputation of its awards, to the employers of its graduates for continuing to produce high quality professional employees, to those who fund it for the efficient, effective use of its resources, as well as to future generations for maintaining the integrity of the University as a key cultural and research institution and as a repository of knowledge, scholarship and higher learning.

Manchester, like all authentic universities, must be therefore uncompromising in its adherence to the scholarly values of academic freedom, rational inquiry and unqualified respect for the truth. These fundamental accountabilities transcend short-term exigencies of public opinion or public policy, and make imperative the

preservation of a significant measure of institutional autonomy.

As a major educational institution employing thousands of staff, serving many thousands of students and drawing on very considerable public funding, the University of Manchester also exercises a range of more routine responsibilities for such things as occupational health and safety, good employment practices, sound financial management, awareness of social and environmental obligations and for maintaining an amenable institutional community.

Pursuant to these responsibilities, The University of Manchester is committed to developing and maintaining governance and management practices that promote excellence and facilitate the discharge of accountability and compliance obligations.

The University has therefore established formal accountability arrangements designed to ensure (i) that its Board of Governors receives in a full and timely manner all the information it requires to discharge its wide-ranging governance responsibilities, and (ii) that all internal and external stakeholders have opportunities to remain fully informed about and engaged in the life of the University.

Primary Accountabilities

In discharging its onerous responsibilities, The University of Manchester is accountable:

- To its Board of Governors for all the affairs and purposes of the University and for the proper conduct of its business;
- To Government for the public funds it receives, for the implementation of national higher education goals and priorities, and for meeting other

compliance obligations identified by Government agencies from time to time;

- To all granting bodies, Trusts, industry and higher education partners, sponsors, donors and other investors for the effective and timely discharge of any financial, contractual or other obligations entered into;
- To its graduates for the reputation and status of the awards they hold, and, in consequence, for the overall strategic development of the University;
- To its current students for providing a teaching, learning and research training environment in which teaching, supervision, support services and infrastructure are of the highest possible quality;
- To its academic and support staff for being an exemplary employer, for creating excellent working environments, providing high quality professional development and maintaining appropriate systems of recognition and remuneration;
- To its wider community, through its General Assembly, for its integrity as an institution and for the maintenance of its international reputation and standing as a centre of higher learning; and
- To the people of Manchester and North West England, for advancing the economic, social, educational and cultural welfare of its city and region.

These wide-ranging responsibilities and accountabilities are best served through the development of a client-based culture within the University. The University must seek to provide the highest quality service to its different clients and through its Planning and Accountability Cycle, ensure that these diverse needs are being met. Table One identifies the University's key clients and their needs.

Table One: Clients in The University of Manchester

Clients	Needs
The Board of Governors	Access to all information and analysis relevant to the governance, oversight and direction of the University; the timely circulation of high quality, readily useable agenda papers and supporting materials; well run meetings; opportunities for familiarisation with the full range of activities and operations in the University; access to internal and external briefings about the external higher education environment, nationally and internationally.
The Chairman of the Board	Prompt, efficient, responsive administrative and logistic support in exercising the responsibilities of the Office; frequent private briefings and up-dates on current operational and strategic developments, internal and external, relevant to the University; ready access to and support from the President and Vice-Chancellor, the Registrar and Secretary and, as necessary, other senior officers of the University.
The President and Vice-Chancellor	Prompt, efficient, responsive administrative, logistic and policy support in exercising the duties of the Chief Executive Officer of the University; priority access to support from the Registrar and Secretary, the Vice-Presidents with policy responsibilities and Heads of Administrative Directorates; high levels of accountability and support from Vice Presidents/Deans.
Vice-Presidents with Policy responsibilities	A clear mandate from the President to develop and oversee the implementation of University policy in particular areas; national higher education leadership roles in areas of expertise; mutually supportive relationships with Vice-Presidents/Deans, Faculty Associate Deans and Heads of School.
The Registrar and Secretary	Prompt, efficient, responsive support from all Administrative Directorates and Faculty Administrators; priority access to the President; a mutually supportive working relationship with all the Vice-Presidents; national leadership roles.
Vice-Presidents and Deans	A clear mandate from the President for the academic direction, oversight and management of their Faculty; full, timely access to all relevant management information; excellent support from Faculty administrators and central administrative directorates; opportunities for engagement at the highest level in the internal and external leadership and direction of the University; engagement in national higher education forums and decision making bodies; opportunities for relevant professional and personal development.
Heads of School	Well-defined roles and responsibilities; supportive relationships with Deans; relevant, accurate, timely financial and other management information; access to sound information and advice in relation to University policies and external compliance responsibilities; competent and efficient administrative support; genuine engagement in the leadership direction of the University; opportunities for professional development; ability to remain research active.
Academic and Research Staff	An environment conducive to scholarly achievement and research excellence; outstanding colleagues and students; access to internationally relevant professional development, recognition and awards; job security and workplace satisfaction; collegial engagement in the life and work of the University; the assurance of academic freedom.
Administrative and Other Support Staff	Well-defined roles and responsibilities; supportive relationships with Supervisors and colleagues; job security; workplace satisfaction and respect; a sense of engagement with the overall goals and direction of the University; opportunities for personal and professional development; recognition and advancement.

The University takes seriously its responsibility to account to its internal and external stakeholders, undertaking a series of annual and biennial Client Satisfaction Surveys



Table One: Clients in The University of Manchester

Clients	Needs
Faculties, Schools and other academic units	Access to accurate, timely management information and policy development relevant to the operation of the Faculty or School; current information about all relevant compliance obligations, liabilities or accountabilities; efficient, effective administrative and technical support; substantial operational freedom in relation to the academic planning, management and oversight of the Faculty or School; opportunities for collective engagement in the overall direction of the University.
Students	<p>Academic: Opportunities to acquire the knowledge, competences and analytical skills necessary for personal, intellectual and professional development; internationally recognised academic and professional qualifications; the intrinsic satisfactions associated with higher learning; a broad liberal education in a rich learning environment.</p> <p>General: Attractive, accurate, timely pre-enrolment information and advice; friendly, helpful advice and assistance in relation to accommodation, fees, scholarships and bursaries, loans, etc; a user-friendly student administration; access to supportive personal, health, financial and academic counselling; academic support and representation from the Students Union, a rich and enjoyable Manchester student experience generally.</p>
Employers of Graduates	World class employees with high levels of professional competence, advanced analytical skills, the ability to tackle complex problems creatively and from first principles, sound communication, leadership and teamwork skills.
Alumni	Continuing contact and support: an alma mater growing in esteem; opportunities for meaningful engagement in the life of the University.
Wider communities	Graduates with personal qualities informed by a broad, liberal educational experience, and the capacity to engage constructively and creatively in the development and improvement of their wider societies – as leaders, volunteers and politically active citizens. A University open to talent yet committed to widening participation.
Government and Government Agencies	The efficient, effective expenditure of public funding, and the proper discharge of all public policy requirements and accountability obligations.
Funding Councils. Trusts, etc	The efficient, effective use of research funds, and compliance with all contractual obligations and accountability requirements.
Professional bodies	Compliance with established criteria and standards; academics willing to engage with and assist cognate professional bodies.



The Board of Governors is a non-executive body which exercises ultimate responsibility for all the activities of the University.

The Role of the Board of Governors

The governance-management relationship in The University of Manchester operates within a legal and regulatory framework of authority, responsibility and accountability resembling that facing the Board of Directors of any public company or the trustees of many not-for-profit organisations.

Like governing Councils in other British universities, the Board of Governors is constituted as a non-executive body to exercise ultimate responsibility for all the operations and activities of the institution. It oversees the proper conduct of the University's business, and holds the President and Vice-Chancellor and, through the President and Vice-Chancellor, other senior managers, responsible for:

- Managing the University's academic and research activities in collaboration with the Senate;
- Appointing, developing, promoting and rewarding staff;
- Creating and maintaining a safe, supportive, high quality environment for the University community;
- Managing the University's finances, estates and other assets; and
- Protecting the University's charitable status.

The Board delegates to a Finance Committee and to a Remuneration Committee a range of matters arising from its responsibility to oversee the management of financial and human resources. Its Audit Committee and the Risk Committee are responsible to the Board for monitoring:

- The probity, prudence, efficiency and effectiveness of financial and estates management; and
- The effectiveness with which the University discharges its compliance obligations and manages risk.

In addition, Ordinance IX of The University of Manchester provides that, "Pursuant to Article IV of the Charter and to Statute XI (e) and (f), the Board may, on report from the Finance Committee establish or participate in such legal persons, entities, companies or other undertakings, arrangements or ventures ('subsidiary undertakings'), either alone or with other persons or bodies, as it may deem appropriate to provide services to assist in the pursuit of the Objects of the University."

The accountability of any subsidiary undertaking to the Board is through the Subsidiary Undertakings Sub-Committee that reports to the Board through Finance Committee. A Nominated Officer appointed by the Board (at present the Registrar and Secretary) is in the first instance responsible for ensuring that the interests of the University are properly represented and appropriately protected in the activities of all subsidiary undertakings. The Nominated Officer exercises continuing oversight and (where necessary) delegated executive authority in relation to subsidiary undertakings, reports as necessary (and at least annually) to the Sub-Committee on the performance of each subsidiary undertaking, on any risks to the University arising from its activities and on its compliance with a Memorandum of Understanding approved by the Finance Committee of the Board when it was established.

As a whole, the Board takes responsibility for overseeing the general direction, development, management and oversight of the University, including its success in meeting strategic objectives and planning targets.

Management Accountabilities

In The University of Manchester, management operates according to the following principles:

- All external reporting obligations are discharged either through the Board of Governors or on the basis of specific Board delegations;
- Except at the level of the Board of Governors or its Committees, responsibility and accountability rest finally with designated individuals, never with a committee;
- The University does not operate through joint governance-management committees including senior managers and lay members of the Board of Governors, except in particular circumstances where there is no significant risk of Board members becoming compromised in their responsibility to exercise independent judgement in relation to management decisions, advice or processes;
- Each member of staff has a clearly identified supervisor, understands the rights, responsibilities and obligations associated with his or her role in the University, and participates in an annual process of performance review;
- All staff with management responsibilities (Heads of Schools, Vice-Presidents and Deans, general staff managers and senior executive managers) work to clear operational goals, targets, performance measures and reporting obligations;
- All formal reporting requirements are coordinated through the Registrar and Secretary, so as to avoid duplication in the preparation and collection of information;
- Wherever possible, internal reporting schedules and management information systems are designed to feed into major external reporting requirements, thereby obviating or minimising the need for additional preparation to meet external requirements; and
- Substantial financial commitments or other decisions involving significant financial or other risk are taken only on the basis of proper business planning informed by detailed risk assessments and independent due diligence reviews.

The Planning and Accountability Cycle

In addition to the regular monitoring of management performance and planning outcomes at successive meetings of the Board of Governors and its Committees, the University operates through an annual round of planning, performance evaluation and reporting.

Each annual cycle culminates in replanning at all levels designed to consolidate quality improvements and recalibrate planning goals, targets and performance indices, taking account of progress (or lack of it) to date and changes in the external operational environment. These interlocking cycles of planning, budgeting, reporting, quality improvement and re-planning are depicted in Figure One and elaborated in the Tables that follow.

The University's annual Planning Cycle, through which the University reviews its strategic plans and develops successive annual operational plans at all levels, is

coupled with an annual Accountability Cycle through which performance against planning targets is reported and progress towards the overall *Manchester 2015* objectives evaluated. These formal processes and cycles enable the University to discharge its accountability to the Board of Governors and to its various external stakeholders. They also enable the Performance and Development Review process, which focuses on individual objectives and performance, to be conducted within the context of the University's strategic vision.

Because the University must comply with an externally-determined schedule of reporting obligations to external agencies, including HEFCE and other funding bodies, these linked Planning and Accountability Cycles establish a timetable of internal reporting designed to meet the requirements of that schedule.

Figure One

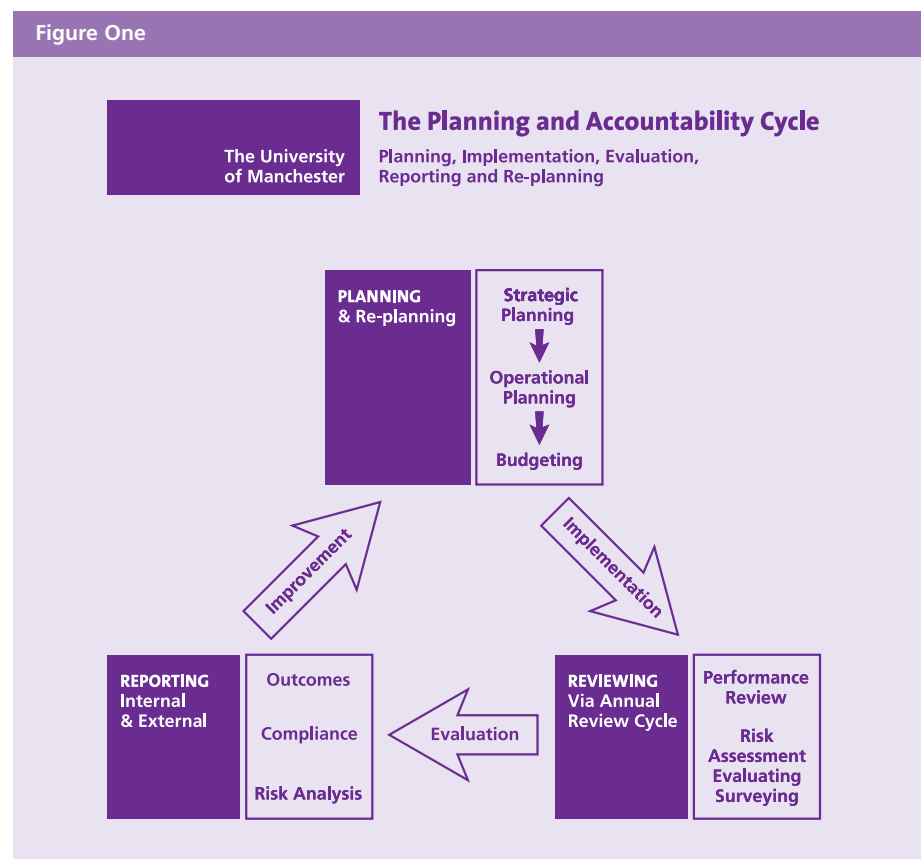


Table Two: Planning and Accountability Cycle – Key Strategic Plans

Towards Manchester 2015: The Strategic Plan of The University of Manchester

Derivative Strategic Plans, updated by December each year, reflecting sectional perspectives on the Manchester 2015 Agenda:

The Faculty of Engineering and Physical Sciences Strategic Plan

The Faculty of Humanities Strategic Plan

The Faculty of Life Sciences Strategic Plan

The Faculty of Medical and Human Sciences Strategic Plan.

The Administration Strategy

The Policy Vice-Presidents will produce Framework documents which will provide, at a University level within their respective area of responsibility, a policy context to assist in the preparation of the five Derivative Plans.

Table Three: Planning and Accountability – Key Operational Plans

Towards Manchester 2015: The Operational Plan of The University of Manchester

Derivative Operational Plans, drafted as working documents by December each year, supporting the derivative Strategic Plans.

The Faculty of Engineering and Physical Sciences Operational Plan

The Faculty of Humanities Operational Plan

The Faculty of Life Sciences Operational Plan

The Faculty of Medical and Human Sciences Operational Plan

The Administration Operational Plan

The Policy Vice-Presidents will provide advice, intelligence and data sources, as appropriate, to assist in the preparation of the five Derivative Operational Plans.

Planning and Budgeting

Planning is a practical discipline operating at all levels of the University. The *Manchester 2015 Agenda* is the University's Strategic Plan, and as such is the cardinal planning document through which the Board of Governors sets the strategic agenda for the University. Informed by a stock-take of the previous year's performance and an annual wide-ranging review of emerging external developments and challenges, the *2015 Agenda* will be reviewed at the Board's Planning and Accountability Conference, held in March each year. It may be expected to evolve only in relation to the overall direction of the University or new and emerging external challenges. Strategic planning at all other levels of the University, and strategies developed by specific academic areas and academic support units, are derived from the

Agenda and expected to reflect the Goals and Strategies set out in it.

Table Two describes the suite of derivative plans translating the institutional perspective of *Towards Manchester 2015* into the more focused perspectives of Faculties and their Schools, as well as management portfolios.

Strategic plans are of little practical value in themselves. Strategies need to be translated into the kinds of operational objectives, targets, priorities and performance measures that can inform day-to-day decision-making. This is true at all levels of the University. Like any organisation shaped by myriad individual choices and decisions, the University needs a well understood, generally accepted framework of agreed objectives and priorities to inform its day-to-day development in a rational and strategic manner. The strategic task of "creating the

preferred future" is thus an incremental process of small step improvements and gradual progress towards ambitious goals.

As Table Three indicates, the University annually translates *Towards Manchester 2015* into a series of operational plans which support the implementation of the Strategic Plans.

The Operational Plans of Schools, Faculties and the Administration are the templates against which the annual Operational Performance Reviews described in Table Four are conducted. They do this because they set out as precisely as possible the operational priorities of the School, Faculty or the Administration to which they relate and provide the blueprint for its annual budget.

Plan-based, incentive-driven budgeting is the final, practical expression of good planning and is informed directly by the University's strategic and operational

Table Four: Planning and Accountability – Key Annual Performance Reviews

Date	Review Title	Review Focus	Officers Responsible
October	Faculty Performance	Faculties and Schools	President and Vice-Chancellor Registrar and Secretary
October	Administrative	Registrar and Secretary and Administrative Directors	President and Vice-Chancellor Vice-President and Deans
November	Senior Executive Performance	Vice-Presidents Registrar and Secretary	President and Vice-Chancellor
December	Performance and Development Review	All members of Staff	Line Manager
January	Governance	Performance of the Board of Governors and Board Members	Chairman, Board of Governors
January	Chief Executive Performance	Appraisal of the President and Vice-Chancellor	Chairman, Board of Governors

priorities. Within the central University Budget, discretionary allocations represent judgements about the extent to which the expected outcomes will advance the *Manchester 2015 Agenda*. Faculty Budgets are expected to mirror this process, and, within Faculties, allocations to Schools should follow the same principle. As the Planning and Accountability Cycle evolves, the budget-approval process will become increasingly strategic, encompassing the operational planning processes and directing University activity.

In responding to the overall *Manchester 2015 Agenda*, the targets for each Faculty and School will take account of its own particular circumstances, disciplinary realities and aspirations. Thus, through the Planning and Accountability Cycle and the associated budgetary process, all Faculties and Schools will be contributing to the key strategic objectives and priorities of the University as a whole.

Annual Performance Reviews

Annual Performance Reviews focus on the extent to which the part of the University under review, over the previous year, has satisfied the Key Performance Indicators (KPIs) set out in its Operational Plan and, *ipso facto*, contributed to the implementation of the *2015 Agenda*. The formal reviews to be conducted annually are listed in Table Four, together with an annual review schedule.

The Annual Performance Reviews extend down to individual level through the Performance and Development Review process, a review of past year performance and future development needs. The explicit linkage of these two processes should ensure that an individual is able to relate his or her objectives to the University's strategic vision.

For the Planning and Accountability Cycle, the key management reviews are the Operational Performance Reviews of the Faculties and the Administration carried out during October and November.

Operational Performance Reviews

The Accountability Cycle provides for major, systematic reviews to be conducted during October and November each year, concentrating on the five primary activity centres of the University: the four Faculties and the University's Administration.

Each Faculty Operational Performance Review (OPR) will include detailed analysis of the operational performance of the constituent Schools (or equivalents) within the Faculty concerned. The Administration OPR will include detailed analysis of the operational performance of the Administration at Central, Faculty and School level.

In order to ensure that the Operational Performance Reviews provide a comprehensive review of performance throughout the University, there will be additional Operational Performance Reviews for areas lying outside the core structure. There will be an Operational Performance Review focusing on the University's cultural assets, the Manchester Museum and the Whitworth Art Gallery. There will also be a separate Operational Performance Review of the John Rylands University Library, reflecting the unique nature of this key academic service.

Faculty Operational Performance Reviews

The purpose of annual Faculty OPRs is to assess the progress of each Faculty towards the goals set out in *Towards Manchester 2015*. A review group consisting of the President and Vice-Chancellor, the Registrar and Secretary, the Head of the Planning Support Office, representatives from the Policy Vice-Presidents, as appropriate, the Directors of Finance and Human Resources and a student representative, will meet each Vice-President and Dean and the Heads of School [or equivalents] of the Faculty concerned.

The Review will be based on detailed analysis and evaluation of performance against the *Manchester 2015 Agenda*, primarily by measuring success in implementing Faculty and School Operational Plans and securing quality improvement during the previous twelve months. Performance against all KPIs will be monitored carefully, and account will be taken of the findings of Satisfaction Surveys of students, employers and other stakeholders.

More specifically, each Faculty OPR will be structured to permit the systematic evaluation of:

- Research performance, including performance against plans for the development of research within Schools and Research Institutes, success in securing competitive grant income and industry funding, major research achievements, and research training.
- The quality of teaching and learning, including feedback from students about the quality of the Manchester student experience, the incidence and management of student complaints and appeals, evidence of student satisfaction with formal teaching programmes and with the quality of academic support, changes (if any) in course structure and pedagogy, developments in on-line learning and graduate (PGR and PGT) education.
- Engagement with the community, including evidence of engagement with external stakeholders generally, of engagement in the Manchester Leadership Programme and in widening participation activities.
- The quality of management and administration within Faculties and Schools.
- The effectiveness of internal and external communications. The Review Team will be interested in evidence of pervasive, meaningful engagement of staff at all levels in collegial discussion and decision-making.
- Risk management. The Review Team will expect the Faculty to have identified the strategic risks it faces and the actions required to mitigate such risks. The Review Team will also expect to receive reassurance of compliance with the University's internal and external control processes, building upon the regular compliance reports made to the Board of Governors.
- Financial management. The Review Team will expect to receive confirmation of success in managing to plan and operating within budget, and evidence that resources are being used effectively and efficiently.
- Human Resource management. The Review Team will seek assurances that good practice is being maintained in relation to appointments, promotions, equality and diversity, staff induction, development and training, the holding and documentation of staff meetings and evidence of appropriate follow-up in relation to decisions taken.
- Performance in relation to key University strategic and operational goals, including the meeting of successive annual targets in relation to:
 - international student recruitment,
 - postgraduate research student numbers and completion,
 - research income growth,
 - strategic appointments, and
 - cost effectiveness.

In reviewing performance against Goals 1, 3, and 8 of *Towards Manchester 2015*, the Review will draw on evidence and evaluation provided by the relevant Policy Vice-Presidents and, via the Registrar and Secretary, the Administration.

The Operational Performance Review of the Administration

The purpose of the annual Administration OPR is to assess the quality, effectiveness and efficiency of administrative support provided by the Administration for the educational, research and scholarly purposes of the University and its community engagements. The Review Group will consist of the President and Vice-Chancellor, the Vice-Presidents and Deans, a Policy Vice-President, the Associate Vice-President for Equality and Diversity and the Head of the Planning Support Office.

In assessing performance against the Operational Plan, the primary focus will be on the effectiveness and efficiency of the Administration as a client-focused operation committed to promoting academic excellence in the Faculties, Schools and Research Institutes of the University.

Each Administration OPR will be structured to permit the systematic evaluation of:

- The success of the Registrar and Secretary and his senior managers in establishing, maintaining and improving an efficient, effective, devolved Administration, and a responsive, client-oriented administrative culture. The Review Group will seek to satisfy itself that administrative practices and priorities reflect strategic and operational imperatives arising from the *2015 Agenda* and that performance against plan is being monitored regularly.
- Progress in reducing the overall cost of administration in the University as a proportion of total expenditure, including evidence that authority, responsibility and accountability are effectively apportioned between Schools, Faculties and central Administrative Directorates and that innovative approaches to the design and delivery of administrative services are implemented.
- The quality of workplace practices and procedures. The Review Group will evaluate evidence about client satisfaction, the incidence of complaints and the quality of complaints management, the appropriateness of administrative policies and procedures, efforts to eliminate bureaucratic complexity and “red tape”, opportunities for career development at all levels of the Administration, workplace morale and the quality of commitment to the University’s goals and priorities.
- The quality of management systems, processes and procedures. The Review Group will evaluate evidence of efficiency gains, cost-effectiveness, robustness, responsiveness to client needs and value-adding in relation to the quality, relevance and timeliness of management information.
- Risk management and compliance. The Review Team will expect the Administration to have identified the strategic risks it faces and the actions required to mitigate such risks. The Review Group will seek to satisfy itself that in all Directorates, legal obligations which affect the compliance framework are being discharged in a proper and timely manner.
- The quality of administration in Faculty and Schools in support of the academic priorities of the University.
- Financial management. The Review Group will require convincing evidence of good practice in relation to financial reporting, probity, auditing and compliance, and of success in supporting the strategic development of the University.
- Student services. The Review Group will evaluate evidence of high quality and continuing quality improvement in relation to student administration and support. It will focus particularly on evidence relating to response times, usage rates of particular services, student feedback about the quality of support offered, the incidence of complaints and appeals, and, where available, comparisons with best practice in student services elsewhere.
- Human resource management. The Review Group will evaluate evidence about responsiveness to clients, the efficiency and effectiveness of appointments and promotions processes, the promotion of equality and diversity, the range, quality and take-up of professional development opportunities, the incidence of complaints and appeals arising from HR practices and the resolutions of such complaints and appeals.
- Estates management. The Review Group will wish to satisfy itself that all regulatory and compliance obligations are fully and properly met, all projects within the University’s ambitious capital development programme are managed on time and within budget, there is access to reliable external project monitoring, users are closely involved in the specification, design and delivery of projects, an overall Estates Plan reflecting the University’s 2015 goals and aspirations is maintained, and minor works and routine maintenance are completed in an efficient and responsive manner.
- Information and Communications Technology support. The Review Group will ensure that the benefits for improved service and customer satisfaction deriving from the implementation of the new IT systems, covering HR and Payroll, Finance and Student Administration and Support, are fully realised.
- Commercial and Residential services. The Review Group will look for confirmation that these services are being managed on a financially sustainable basis, but will also require assurance that, in the development and implementation of accommodation and related strategies, over-riding priority is given to the health, safety and security of students and staff, and that the cultural traditions and distinctiveness of established Halls of Residence are respected.

The Operational Performance Review Process

The Review Group conducting the OPRs will be supported by the Planning Support Office and will undertake detailed analysis and evaluation of the performance against the Operational Plans derived from the *Manchester 2015 Agenda*.

In conducting the review, it will take careful account of metrics derived from KPIs, the findings of Staff Satisfaction Surveys and other evidence of the quality, relevance, timeliness and cost-effectiveness of administrative services provided to students, staff and Faculty-based and School-based managers.

These annual OPRs will be essentially formative. Their outcomes will include (i) the identification of areas of emerging good practice to be consolidated and generalised over the next 12 months, (ii) the documentation of any under-performance together with agreed processes for remediation, and (iii) advice about any re-planning that seems desirable to improve the alignment of Faculty, School and Administrative Directorate plans, as appropriate, with the priorities of the *Manchester 2015 Agenda*.

From one year to the next, the focus will remain on the extent to which gaps between current performance and *Manchester 2015* targets are narrowing. Areas which require reassessment and re-planning will be identified and, where appropriate, remedial action will be specified. The Registrar and Secretary, assisted by the Planning Support Office, will be responsible for monitoring follow-up activities.

OPRs will be tightly-structured, based on data and analysis circulated in advance, organised around the University's key strategic priorities and performance issues. They will be emphatically outcome-oriented in the sense of being committed to identifying specific strategies for quality improvement and ensuring appropriate follow-up.

In advance of the Faculty OPR meetings, the Planning Support Office will co-ordinate a series of Performance Evaluation Reports providing each Faculty with data and analysis relating to the strategic and operational performance disaggregated both by School and by type of activity, including research inputs and outcomes, teaching, student support, student recruitment, financial management, client satisfaction, community engagement, and so on. Comparable reports will be prepared relating to the activities of each Administrative Directorate. The documentation and analysis will be sufficiently comprehensive and detailed to provide the Review Group with an accurate picture of how a Faculty and its constituent Schools, or the Administration and its individual Directorates, have performed over the previous year. Ideally, each OPR will reach a consensus about specific actions necessary to secure significant quality improvements, recover from current under-performance and accelerate progress towards key goals and targets.

Arrangements for the compilation of this documentation and the provision of the data will be overseen by the Planning Support Office working in collaboration with Faculty and Administration staff. By the end of September, in advance of the October OPRs, the Vice-Presidents and Deans and the Registrar and Secretary will be expected to sign off the data. The data will be presented, wherever possible, as time-series providing trend-analysis.

Having received their Performance Evaluation Reports, each Faculty and Directorate will be asked, in advance of their OPR meeting, to submit (i) a succinct report of progress towards the objectives and targets set out in its Strategic and Operational Plan, including, where appropriate, progress of associated Research Institutes, (ii) a summary of the Faculty's annual evaluation report to bring the University's quality assurance processes clearly into the Planning and Accountability Cycle and (iii) the most recent compliance proformas.

At all OPRs, a record of the meeting will be taken by a member of staff of the Planning Support Office. These will identify all follow up actions required in response to the findings of the Review.

Client Satisfaction Surveys

The University will conduct six major Surveys of key clients and stakeholders as part of its performance review. These are as follows:

- The Student Unit Survey will be conducted each session to monitor levels of satisfaction and/or dissatisfaction with the teaching, learning and learning support provided to students. In the annual Performance Reviews discussion will focus on those units falling below 0 and above 1.5 (on a scale from minus 2 to plus 2).
- The Student Satisfaction Surveys will be conducted annually. There will be separate surveys to monitor the satisfaction of undergraduate, postgraduate taught and postgraduate research students with their experience at the University.
- A Staff Satisfaction Survey will be conducted biennially with all staff employed at the University. Performance Reviews will focus on those areas where morale problems appear to exist, dissatisfaction appears serious and/or where there is obvious room for improvement or potential for building on good practice.
- Management Satisfaction Surveys will be conducted annually. These Surveys seek the views of key individuals at various levels of the organisation on the effectiveness of leadership and management across the University. There are specific tailored Surveys seeking levels of satisfaction with leadership and management of Faculties, the Administration and Policy Vice-Presidents.
- An Employer Survey will be conducted biennially to ascertain the opinions of key employers of Manchester graduates about the quality of those graduates and their preparedness for the workplace.
- A Survey of External Stakeholders will be conducted biennially to seek systematic feedback from the University's most significant external stakeholders, including local and regional business and community leaders, regional and national politicians, media representatives, heads of public sector agencies with particular links to the University, leading educationalists from the tertiary and secondary sectors, and so on. The focus will be on the levels of external understanding and support for the activities and goals of the University, and perceptions of where the University of Manchester is succeeding and where it might be expected to perform more effectively.

Table Five: Planning and Accountability Cycle – Key conferences

Date	Conference	Participants	Officers Responsible
February	Faculties And Schools Conference Objectives <ul style="list-style-type: none"> • Strategic and Operational performance review • Forward Planning • Professional Development 	<ul style="list-style-type: none"> • Heads of School • Associate Deans • Heads of Faculty Administration • Planning and Resources Committee • Senior Executive Team 	<ul style="list-style-type: none"> • President and Vice-Chancellor • Registrar and Secretary
March	Planning And Accountability Conference Objectives <ul style="list-style-type: none"> • Report on performance against previous year's Operational Plans • Review and up-dating of University Strategic Plan • Setting operational priorities for forthcoming year 	<ul style="list-style-type: none"> • Board of Governors, • Planning and Resources Committee and • Senior Executive Team 	<ul style="list-style-type: none"> • President and Vice-Chancellor • Registrar and Secretary
April	Planning And Resources Committee Budget Conference Objectives <ul style="list-style-type: none"> • Developing a plan-based budget for the following financial year • Five-year forward planning to identify key challenges 	<ul style="list-style-type: none"> • Planning and Resources Committee • Senior Executive Team 	<ul style="list-style-type: none"> • Registrar and Secretary • Director of Finance

Planning and Accountability Conferences

To complete each annual round of planning and accountability, the OPR reports and surveys will feed into a series of key annual conferences at which performance against plan in the previous year informs the beginning of a new round of planning and budgeting. Table Five lists the three key annual conferences.

The Advantages of Formal Accountability Structures

Formal accountability linked to annual cycles of planning, implementation, reporting, performance evaluation and re-planning has been developed in the University both to assist the Board in discharging its onerous responsibilities and to facilitate quality improvement at all levels of the University. It also serves to strengthen the University in other important ways.

Firstly, exemplary internal processes of planning and accountability safeguard institutional autonomy. A robust, formal accountability structure that creates a credible, consistent set of systematic and transparent internal processes is also intended to meet the needs of Government agencies and other external bodies without additional preparation. The result is a University better able to control its own destiny.

Secondly, such formal structures minimise the burden placed on academic staff by ad hoc administrative demands and reporting obligations. The Planning and Accountability Cycle has been designed to simplify, not complicate, the many reporting and compliance obligations demanded of University staff at all levels. By replacing repeated ad hoc requests for information with systematic, timely reporting processes, the accountability arrangements seek to minimise duplication in reporting.

Finally, an effective accountability structure promotes collegiality. Because it provides regular opportunities for staff and students to evaluate the programmes, activities and services offered by the University, and the quality of administrative support provided, such a structure empowers the University community. By disseminating information in a predictable form, it also helps create an environment in which devolved decision-making is possible.

The University of Manchester
Oxford Road
Manchester
M13 9PL

tel +44 (0)161 306 6000
www.manchester.ac.uk

Royal Charter Number RC000797
J1675 06.07