

AGENDA

Senior Postholders Remuneration Committee

Wednesday 5 December 2012 at 2.00pm

- 1. Apologies**
- 2. Terms of Reference of the Committee (*RC12.01*)**
- 3. Minutes of the meeting held on 25 October 2011 (*Paper RC12.02*)**
- 4. Matters arising from the minutes of the last meeting not on the agenda**
- 5. Assessment of Senior Postholders Pay Award for the period 1 August 2012 to 31 July 2013 (*Paper RC12.03*)**
- 6. Assessment of Senior Postholders bonuses for the financial year 1 August 2011 to 31 July 2012 and proposed objectives for the financial year 1 August 2012 to 31 July 2013 (*Paper RC12.04*)**
- 7. Any other business**
- 8. Date and time of next meeting**

	PAPER NO: RC12.01
Committee:	Remuneration Committee
Date:	5 December 2012
Subject:	Terms of Reference of the Committee
Author:	Katie Boyce
Executive sponsor:	Martin Earwicker
Recommendation by the Executive:	N/A

Executive summary

	Board/Committee	Date
Matter previously considered by:	The Committee	26 November 2009
Further approval required?	no	

Communications – who should be made aware of the decision?	Members of the Committee
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	PAPER NO: RC12.02
Committee:	Remuneration Committee
Date:	5 December 2012
Subject:	Minutes of the meeting held on 25 October 2011
Author:	Katie Boyce
Executive sponsor:	Martin Earwicker
Recommendation by the Executive:	N/A

Executive summary

	Board/Committee	Date
Matter previously considered by:	Rem Com	Email communication 4/11/2011
Further approval required?	no	

Communications – who should be made aware of the decision?	Members of the Committee
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	PAPER NO: RC12.03
Committee:	Remuneration Committee
Date:	5 December 2012
Subject:	Pay Award for period 1 August 2012 to 31 July 2013
Author:	Katie Boyce
Executive sponsor:	Martin Earwicker
Recommendation by the Executive:	N/A

Executive summary

	Board/Committee	Date
Matter previously considered by:	no	
Further approval required?	no	

Communications – who should be made aware of the decision?	Senior postholders
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Assessment of Senior Postholders Pay Award for the period 1 August 2012 to 31 July 2013

The Senior Postholders salaries were last adjusted in November 2011 and reflected the backdated pay awards made to all staff. As a result of these backdated pay awards the Senior Postholders currently earn:

- Martin Earwicker - £191,332, plus pension replacement supplement of £28,860
- Bev Jullien - £151,051 (NB: The University does not pay any pension contributions for Bev Jullien)
- Phil Cardew - £120,000
- Richard Flatman - £123,974
- James Stevenson - £86,023

The attached data from the UCEA Remuneration Survey indicates that the Pro Vice Chancellors are generally within the upper decile for our competitor groups.

The Executive Director of Finance is in the average category for million plus institutions and the Secretary and Clark to the Board is in the median range for million plus institutions.

The Committee is asked to note that the pay award for all other staff for the same period is 1%.

Level 2 PVC PRO VICE CHANCELLOR

Post-92 Universities + HECs - by size of institution cont.

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 24m	6		72000	76390	79080	83850	
24m to 75m	26	83010	89550	97730	97180	104550	118030
75m to 115m	31	90000	93830	97500	103200	105970	130580
115m to 153m	29	103190	105080	111630	116150	122990	129980
153m to 190m	31	102920	107430	117200	120570	135000	135000
190m to 300m	31	92000	96310	113160	111780	116970	137400
Over 300m							

All institutions by mission group

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Russell Group	77	86830	96800	111000	111310	120740	135600
Million +	48	94750	100840	109220	111900	117150	132110
1994 Group	57	75390	85290	100850	99200	113600	119030
The University Alliance	76	89510	94750	110000	109890	120120	135000
GuildHE	16	81890	87300	95350	97240	104940	119520

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Russell Group	77	99160	104180	115300	120200	131340	140670
Million +	48	94750	100840	110280	113020	118190	132110
1994 Group	57	79610	94310	106180	105510	115030	126160
The University Alliance	76	91530	98540	110810	112760	120480	135000
GuildHE	16	81890	89690	97860	98420	104940	119520

All institutions by region

London and South East (LS)

Basic Pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	24	75000	84640	95180	93630	101250	109070
75m to 190m	54	71160	85000	97510	97790	112620	117200
Over 190m	19	88200	92110	100240	101650	113600	113740

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	24	79710	87930	97590	96260	105750	110310
75m to 190m	54	79200	89260	102920	101150	115000	117470
Over 190m	19	103310	111060	113600	115130	117770	127960

Level 2 PVC PRO VICE CHANCELLOR

All institutions by region cont.

Rest of England (E)

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	11		92030	97200	97960	108760	
75m to 190m	72	84620	95240	106210	109630	126020	135000
Over 190m	101	90810	96800	113340	113370	120740	139500

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	11		97200	103210	111270	121230	
75m to 190m	72	90040	98510	107220	113670	126140	135560
Over 190m	101	96620	104290	115000	119340	131150	142430

Wales (W)

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	6		88070	90260	90430	91820	
75m to 190m	17	78400	85070	103730	97820	105000	114380
Over 190m	6		89910	98020	99850	109160	

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	6		88070	90260	90430	91820	
75m to 190m	17	81470	95400	103730	100790	105660	114380
Over 190m	6		97260	104180	106720	114640	

Scotland (S)

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	22	80880	95760	110340	107620	119250	126600
Over 190m	25	77180	93560	101810	101550	111000	114610

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	22	80880	97120	110340	108140	119250	126600
Over 190m	25	87050	103560	108150	115940	121110	151630

Northern Ireland (NI)

Insufficient sample

LEVEL 2 CHIEF OPERATING OFFICER

Post-92 Universities + HECs - by size of institution cont.

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 24m	8		60890	65030	75510	91020	
24m to 75m	6		81400	92680	92420	102880	
75m to 115m	11		100000	105000	112150	109620	
115m to 153m	8		104770	112160	120990	127370	
153m to 190m	8		104480	113110	114060	125060	
190m to 300m	9		123090	125000	135120	155990	
Over 300m							

All institutions by mission group

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Russell Group	11		119050	128870	136210	153000	
Million +	17	88220	101060	115330	120940	135160	158670
1994 Group	8		114780	128550	127520	137320	
The University Alliance	21	92560	100000	105000	112620	125000	136220
GuildHE							

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Russell Group	11		123110	143480	139350	156070	
Million +	17	95970	101430	120080	124610	140000	165600
1994 Group	8		116220	133470	129130	137400	
The University Alliance	21	92560	100000	105000	114170	125000	141050
GuildHE							

All institutions by region

London and South East (LS)

Basic Pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	22	87460	103650	114570	116440	133780	150860
Over 190m	6		121530	132020	130730	140390	

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	22	87460	103650	116040	117070	133780	150860
Over 190m	6		121530	140500	135990	155030	

LEVEL 2 CHIEF OPERATING OFFICER

All institutions by region cont.

Rest of England (E)

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	6		73220	90600	87230	100500	
75m to 190m	23	94580	100500	106000	117460	134500	143770
Over 190m	15	111670	118620	127140	134230	153740	162610

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	6		73330	95600	88890	102880	
75m to 190m	23	94580	100500	106000	118220	135800	143770
Over 190m	15	118340	122300	127140	137960	160260	164600

Wales (W)

Insufficient sample

Scotland (S)

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	5			106700	110610		
Over 190m							

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	5			106700	110610		
Over 190m							

Northern Ireland (NI)

Insufficient sample

LEVEL 2 SECRETARY AND REGISTRAR

Post-92 Universities + HECs - by size of institution cont.

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 24m							
24m to 75m	13	66000	70640	89660	87130	92700	112800
75m to 115m	10		73130	92120	89120	105030	
115m to 153m	9		67920	70630	82420	105770	
153m to 190m	5			105740	111310		
190m to 300m	8		84790	98510	100260	111460	
Over 300m							

All institutions by mission group

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Russell Group	17	84230	100150	140000	136250	164690	174870
Million +	17	65670	70640	87000	90620	109000	118000
1994 Group	14	89460	92690	117300	116710	137810	145490
The University Alliance	15	70400	84580	92160	99070	113710	125530
GuildHE	9		73460	90470	89320	93840	

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Russell Group	17	84230	100150	140490	136710	164690	174870
Million +	17	65670	70640	87000	90620	109000	118000
1994 Group	14	89460	92690	117800	118700	137810	145490
The University Alliance	15	70400	84580	92160	101380	114410	131760
GuildHE	9		74600	90470	90070	93840	

All institutions by region

London and South East (LS)

Basic Pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	7		58720	73460	81840	103360	
75m to 190m	15	65740	69250	88000	93980	110230	125680
Over 190m	8		90690	93800	98760	100000	

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	7		58720	74600	82000	103360	
75m to 190m	15	67500	69250	88000	94180	110230	125680
Over 190m	8		90690	94130	99740	101620	

LEVEL 2 SECRETARY AND REGISTRAR

All institutions by region cont.

Rest of England (E)

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	10		73510	90410	88910	92560	
75m to 190m	18	67750	87480	99650	99190	110000	137060
Over 190m	23	84320	104790	132020	132810	164600	178290

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m	10		74910	90410	89470	92560	
75m to 190m	18	67750	87490	102630	99600	110000	137060
Over 190m	23	84320	112020	132940	135140	164760	179040

Wales (W)

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	5			91420	99500		
Over 190m							

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	5			91420	99500		
Over 190m							

Scotland (S)

Basic pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	5			106700	110610		
Over 190m							

Total pay

	Sample	LD	LQ	Med	Av	UQ	UD
Up to 75m							
75m to 190m	5			106700	110610		
Over 190m							

Northern Ireland (NI)

Insufficient sample

	PAPER NO:	
Board/Committee:	Remuneration Committee	
Date:	22 nd November 2012	
Paper title:	Executive Remuneration	
Author:	Martin Earwicker	
Executive sponsor:	Martin Earwicker	
Recommendation by the Executive:	<p>The Board is requested to note the information contained within. The information relates to the Targets for 2012/13 and the Achievements for 2011/12 for the Executive Members of staff.</p> <p>The Remuneration Committee is invited to review the achievements and assessment of performance for 2011/12 and targets proposed for 2012/13.</p>	
Aspect of the Corporate Plan to which this will help deliver?		
Matter previously considered by:		On:
Further approval required?		On:
Communications – who should be made aware of the decision?		

Board	Remuneration Committee
Date	22 nd November 2012
Name	Richard Flatman
Background	Part 1 – Targets for 2012/13 Part 2 – Summary of Achievements for 2011/12 Part 3 – overall Assessment of Rating Part 4 – Overall Rating
Author	Martin Earwicker

RICHARD FLATMAN

Part 1 – Targets for 2012/13

Strategy link	Objective/KPI	Date to be achieved
Continued tight control of University finances	Surplus in line with budget before exceptionals (£7m) subject to potential adjustment to forecasts to reflect mid-year budget review	31 July 2013 31 December 2012
	Effective process for mid-year budget review	31 July 2013
	Control of net fee < £7,500	Ongoing – 31 July 2013
	Regular communication of financial performance and challenges	
Robust systems of financial control and risk management	Implement change proposal for new payroll team structure	31 July 2013
	Effective implementation of Midland Trent payroll system	31 March 2013
	Compliance with auto enrolment legislation	31 July 2013
	New defined contribution pension scheme operational	31 July 2013
	Introduce concept of risk appetite into our risk processes	31 May 2013 31 July 2013
	No significant reportable instances of fraud.	
Improved financial Planning and reporting	Successful recruitment of new Financial Planning Manager	30 November 2012
	Improved costing through implementation of workload planning tool	31 July 2013
	Effective implementation of full cost allocation including agreement of principles, development of model and embedding into regular financial reports.	31 March 2013

Effective investment/business case approval process:	Improved guidance	31 January 2013
	Tailored training for staff	31 January 2013
	Improvements to sharepoint tracking system	31 March 2013
	Simple process for business plans to come to Executive in structured manner.	31 December 2012
Supporting excellence through Procurement Services	Deliver cashable savings of £600k in 2012/13	31 July 2013
	Contract database in place and accessible by contract managers University wide	31 July 2013
	Effective implementation of the VfM working group and enhanced VfM reporting to Executive/Audit committee.	31 December 2012
Fees and bursaries	Successful move/transition to Student Life Centre	31 December 2012
	Timely processing of data/invoicing of students to provide early clarity on income and inform mid-year budget review	30 November 2012
	Fees for 13/14 published by 30 November 2012.	30 November 2012
ICT	Strategy and plans developed, aligned to business need, and approved by Executive	28 February 2013
	New governance structure established	31 January 2013
	SLA established and KPIs that properly match perceptions/focus on business need	31 January 2013

RICHARD FLATMAN

Part 2 – Summary of Achievements for 2011/12

Summary of Achievements over the past year in relation to Job Requirements, Objectives and Key Performance Indicators (KPIs):

Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)	Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)	Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)
<p><i>Tight control of finances and enhanced culture of financial awareness.</i></p> <ul style="list-style-type: none"> • <i>Surplus in line with budget £1.4m before exceptionals</i> • <i>Continued greater delegation to department level, including enhanced reporting at department level to mirror planned organisational structure changes</i> • <i>Regular communication of financial performance and challenges.</i> <p><i>By:31/7/12</i></p>	A	<p>Another year of strong financial performance. Latest management accounts show full year forecast surplus before exceptionals of £5m+, well ahead of budget £1.4m.</p> <p>Management accounts pack re-structured to provide greater detail at department level and additional segmental analysis. Positive feedback at all levels in terms of quality of reports.</p> <p>Continued communication at all levels of financial position/challenge including regular presentations to Board/Executive/department and via staff development programme.</p>
<p><i>Respond to the current financial uncertainty through:</i></p> <ul style="list-style-type: none"> • <i>Continued regular</i> 	A	<p>Significant challenge for current year given scale of change and high level of uncertainty. However, regular review/update</p>

Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)	Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)	Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)
<p>development of robust financial forecasts/models which demonstrate a clear path to future financial sustainability</p> <ul style="list-style-type: none"> Financial data to support ongoing decisions on pricing in the new fees landscape Providing clarity on future efficiencies. <p>By 31/3/2012</p>		<p>of 5 year forecasts throughout the year has resulted in:</p> <ul style="list-style-type: none"> 5 YR forecasts approved by Executive, Board and HEFCE Scenario analysis completed in response to recruitment risk Forecasts demonstrate clear path to financial sustainability and retain 5% baseline surplus. Lower recruitment scenarios also demonstrate surplus position continued analysis of efficiency although strategically the focus has switched to income generation
<p>Continue the process of delivering change in the Finance Department. Review, plan and implement change as required to the Financial Control team including:</p> <ul style="list-style-type: none"> New structure as required, removing any remaining duplicate finance posts across the University Implementation of the agreed optimal payroll solution Further streamlining of 	A	<ul style="list-style-type: none"> All Finance posts are now within the Finance department Payroll solution agreed, specified, tendered and installation process begun. Alongside new system, new structure of payroll team agreed and consultation begun Specific process improvements implemented eg online payment, revised, improved instalment options. More generic process improvement project in progress with external project management support focused on reducing

<p>Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)</p>	<p>Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)</p>	<p>Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)</p>
<p>systems/processes as required</p> <ul style="list-style-type: none"> Improved cashflow reporting. <p>By: 31/7/2012</p>		<p>volumes of cash, improved bank reconciliation processes, reducing manual input, streamlining interfaces and improved management of queries.</p> <ul style="list-style-type: none"> - Cashflow reporting now integrated within Cognos.
<p>Enhance financial planning and reporting systems including:</p> <ul style="list-style-type: none"> Integrated I&E, balance sheet and cashflow, and Effective tracking and approval processes for new capital and revenue investment/business cases. <p>By: 31/7/2012</p>	<p>A</p>	<ul style="list-style-type: none"> - A five year I&E forecast has been developed using Cognos Enterprise Planning. - This can be used for forward planning by the university and also produces the outputs in the format required - Using Cognos Enterprise Planning allows for a much more robust model than could previously be produced in Excel. - The model is updated from the latest forecast on Agresso and allows scenario planning around student numbers, staff costs, investments, etc etc. Again, this is a lot easier than trying to do this through Excel. - The five year I&E forecast links into a five year monthly Balance Sheet and Cashflow forecast. - This also produces the outputs in the format required by HEFCE for the annual return. - The cashflow forecast assists in decisions around the

Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)	Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)	Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)
		<p>timing of large estates capital investment and allows an understanding of the cash implications of the new funding regime</p> <ul style="list-style-type: none"> - Automated process now introduced for business case approval via sharepoint and guidance issued. Improvements are required and system improvements will be made at the next sharepoint upgrade.
<p><i>Delivering the new corporate procurement strategy including:</i></p> <ul style="list-style-type: none"> • <i>Identify cashable savings of £1m in 2011/12</i> • <i>Mandated use of reliable corporate contracts</i> • <i>Regular reporting of procurement progress at Executive and departmental level.</i> <p><i>By 31/7/2012</i></p>	A	<p>Significant progress made. Team re-branded as procurement services and strategy agreed.</p> <p>Key achievements include:</p> <ul style="list-style-type: none"> - cashable savings of £2.6m identified (target £1m) of which 11/12 payback £400k. Has helped contribute to strong University financial performance - procurement staff re-titled category managers and category managers assigned to 24 key spend categories with agreed format for reporting/web updates - VfM working group established with strategic focus on VfM for students - 25 areas of University spend now mandated with 6 new areas added in 11/12 including agency staff, post and ESBE travel - continued improvements on automation of processes

Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)	Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)	Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)
		including requisition and order processing - procurement regulations updated to ensure involvement of team at earliest stages of procurement cycle - enhanced reporting of procurement achievements
<i>Review and analyse options for future delivery /structure of ICT services following departure of the current Director of ICT. Implement optimal solution as agreed. By 31/7/2012</i>	A	<ul style="list-style-type: none"> - Active involvement in leadership of department following departure of both Director of ICT and Acting Director - independent review commissioned from Gartner. Key recommendations in terms of structure (service towers) implemented as part of transitional arrangements following departure of Jim Nottingham - re-organisation of technician support in year so included within ICT rather than faculty/department - re-focused leadership role to that of CIO and recruited to the new leadership position

RICHARD FLATMAN

Part 3 – Overall Assessment of Rating

Performance Rating (choose an item): Effective
Reviewer comments to support rating:
<p>Richard has continued to exercise firm control of the University’s finances during a turbulent year caused by the Government’s changes to university funding, and achieved a good end of year result substantially ahead of budget. His scenario planning has been most helpful in helping the Board and Executive to understand the future financial landscape and the decisions about fee setting.</p> <p>He is happiest when concentrating on his core financial responsibilities and finds a happy medium between taking the strategic view and oversight of day to day matters. Although he willingly took on ICT he has perhaps found this activity less satisfying than his financial duties. Richard has had to cope with some unwelcome staff matters including replacing the ICT director, one of his finance lead staff as well as concerns over control in the payroll department. He has addressed these properly and effectively.</p> <p>He has been very successful in reinventing the procurement function which is demonstrating excellent results in efficiency savings and improved rigour of our procurement.</p> <p>Richard is diligent, professional and displays high integrity.</p>

Part 4 – Overall Rating

Overall rating	7 / 10
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Board	Remuneration Committee
Date	22 nd November 2012
Name	Bev Jullien
Background	Part 1 – Targets for 2012/13 Part 2 – Summary of Achievements for 2011/12 Part 3 – Overall Assessment of Rating Part 4 – Overall Rating
Author	Martin Earwicker

BEV JULLIEN**Part 1 – Targets for 2012/13**

Faculty/Department Strategy link	Individual Objectives and KPIs for the next year	Date to be achieved
Click here to enter text.	<i>Ensure that S2 targets for 12-13 are met, and realistic recruitment targets for 13-14 across all sectors are set and met</i>	31/07/2013
Click here to enter text.	<i>Ensure that University Enterprise is fully up and running, with lead projects delivering and processes with the Faculties functioning to create a “pull” for growth</i>	31/07/2013
Click here to enter text.	<i>Ensure that the Terraces project is completed such that it is occupied with a programme of activities in place for 13/14</i>	31/07/2013
Click here to enter text.	<i>Ensure that a step-change strategy is developed for International, and implementation started (including establishment of the China Centre in the Old Library, and leveraging of the CI for international development)</i>	31/07/2013
Click here to enter text.	<i>Ensure that a full review of Post Graduate is completed, to deliver improvements for 13/14 and a plan to deliver medium-longterm growth</i>	31/07/2013
Click here to enter text.	<i>Ensure that strategic portfolio review is completed, which enables organisational change to accelerate the pace of University transformation to achieve upper quartile competitor group performance</i>	31/07/2013

BEV JULLIEN

Part 2 – Summary of Achievements for 2011/12

Summary of Achievements over the past year in relation to Job Requirements, Objectives and Key Performance Indicators (KPIs):

<p>Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)</p>	<p>Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)</p>	<p>Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)</p>
<p>To ensure the University meets its Sept 12 UG recruitment targets and is on track for S2 targets</p>	<p>PA</p>	<p>Have ensured a step-change in approach to recruitment, building on last year, going across all Faculties and ensuring close collaboration with Registry. Much more extensive portfolio of activities, including tailoring to different market needs; much tighter monitoring and use of scorecard to track and identify challenges; significant increase in PR and social media.specific campaign for EU; “no stone unturned” approach; delivered and ensured implementation of case for extra resource; started new B2B approach for sponsored students.Started</p>

<p>Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)</p>	<p>Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)</p>	<p>Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)</p>
		<p>community events for PT ; Clear sharing of risks , probabilities and mitigations. Campaign continuing through clearing</p>
<p>To ensure University meets Sept 12 PG targets, and is on track for S2 targets</p>	<p>A</p>	<p>Tracking to target. Much more pro-active approach with faculties and registry. Bespoke campaigns for course clusters;</p>

<p>Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)</p>	<p>Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)</p>	<p>Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)</p>
		<p>cleaning up website routing; much tighter keep-warm . new team interviewing prospects, high conversion; targeted campaign to own final years, and also to final year students of similar universities</p>
<p>To ensure the university meets its sept 12 international recruitment targets and is on track for S2</p>	<p>A</p>	<p>Tracking to target. Much tighter operating approach with weekly meetings with Faculties and international team. Increased use of social media. Tight collaboration on “keep warm” – enquiries and offers significantly up on last year; appropriate support for students affected by LMU licence revocation</p>
<p>To ensure that the University has a robust strategy in place towards achieving 90% employability and has taken clear steps to implement</p>	<p>PA</p>	<p>Very significant progress made with both employability team and JH project, and keeping Joined up – restructure of team, location in student centre, use of</p>

<p>Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)</p>	<p>Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)</p>	<p>Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)</p>
		<p>third party to track for DLHE; strategy in place of contact with all more risky students to support into placements, working with faculties; network of companies offering placements growing; alumni network ready to leverage; “roadmap” for new starters; numeracy and literacy or all starters. In progress: proposal for senior project lead to drive accelerated change to completion alongside core team</p>
<p>To implement the “enterprising university” strategy</p>	<p>A</p>	<p>Director of enterprise in post and delivering; new SBUEL delivered to time, new chair in post; priority projects identified and being delivered; new contracts/ways of working with Faculties being finalised; student enterprise developing; new Chancellor as patron for enterprise; first VC enterprise awards for</p>

<p>Job Requirement/Objective/KPI as agreed at last review or probation (completed by reviewee)</p>	<p>Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)</p>	<p>Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)</p>
		<p>staff very well received; Terraces project on target</p>
<p>To ensure the University maximises its position in the league tables by ensuring we use correct data and do not miss opportunities to reflect good performance</p>	<p>A</p>	<p>Position in league tables has been improved, and a cross-functional team was put in place to analyse and address each parameter. Forecasts are made of positions in advance and Marketing is fully aligned. It is also highlighted where there is a need for improvement in performance internally – particularly in NSS, which is a key driver to overall ranking</p>
<p>To ensure the university meets its 11/12 enterprise targets</p>	<p>A</p>	<p>11/12 has been a year of sorting out – and clarifying accountabilities and tracking – the enterprise income targets for the University have been met</p>

BEV JULLIEN

Part 3 – Overall Assessment of Rating

Performance Rating (choose an item): Effective

Reviewer comments to support rating:

Bev has delivered a substantial performance this year. She has continued to build her confidence and now feels more comfortable with the HE environment, even if at times finding it frustrating. She has transformed her key teams who are now delivering well.

Performance against her targets has been good. Recruitment activity has been excellent with her new teams performing very well and in a very difficult year likely to prove an outcome better than could be expected. Although we expect a shortfall in UG it is much better than we could have hoped and PG and International are holding well. She has met her enterprise targets and established the new enterprise company and made a sound appointment for the new Director Enterprise. Our league table position has improved and her dogged determination to get the input data right has played a not insignificant part in this result.

In terms of her development, she is working on developing greater clarity and corresponding impact, in presenting her ideas in discussion.

This has been a good year for Bev. She would benefit from attending the Top Management Programme or similar to enhance her understanding of the HE sector.

Part 4 – Overall Rating

Overall Rating

7 / 10

Board	Remuneration Committee
Date	22 nd November 2012
Name	Phil Cardew
Background	Part 1 – Targets for 2012/13 Part 2 – Summary of Achievements for 2011/12 Part 3 – Overall Assessment of Rating Part 4 – Overall Rating
Author	Martin Earwicker

PHIL CARDEW

Part 1 - Targets for 2012/13

1. Deliver an integrated model of student support within the Student Centre that increases retention by an average of 10% across all areas and an increase in NSS response rates (towards 75%) and overall satisfaction (towards 90%).
2. Implement a framework of employment-focused activity that enables the University to reach a 90% target within the DLHE 'employment indicator' measure by the 2014 survey (with a target of no less than 85% in 2013).
3. Deliver a fully integrated virtual learning and teaching environment, including the implementation of Moodle within the 'MyLSBU' student portal for the beginning of the 2013/14 academic year (target date for implementation September 1st 2013).
4. Deliver accurate on-line timetables, supported by developed academic timetabling processes, within the MyLSBU student portal for the beginning of the 2013/14 academic year (target date for implementation September 1st 2013).
5. Deliver a standard set of management information reports, working across the key systems of student records, financial information, human resources information and space-management information for the beginning of the 2013/14 academic year (target date for implementation September 1st 2013).

PHIL CARDEW

Part 2 – Summary of Achievements for 2011/12

Summary of Achievements over the past year in relation to Job Requirements, Objectives and Key Performance Indicators (KPIs):

<p>Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)</p>	<p>Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)</p>	<p>Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)</p>
<p>1. To ensure that the average 1st year progression exceeds 60% across all courses for 2011/12.</p>	<p>PA</p>	<p>Progression for full-time courses averaged at 82% across the University for 2010/11 (83% AHS, 85% BUS, 82% ESBE), however, our reports skew this by including PTUG and PGT (within which no 'progression' really takes place – just movement from taught course to dissertation). I am working with colleagues to reflect these figures differently in the future.</p> <p>This aside, work we are doing on STAR initiatives, added student support, the Student Centre and Student Services, attendance monitoring, re-structuring the Students' Union etc, will undoubtedly help us to drive retention up on a year-by-year basis.</p>
<p>2. Ensure that timely success rates exceed 50% for</p>	<p>PA</p>	<p>Do not have a reliable figure yet for 2011/12 as examination boards not</p>

<p>Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)</p>	<p>Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)</p>	<p>Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)</p>
<p>2011/12.</p>		<p>completed. Have re-written regulations to ensure they maximise opportunity for early identification of failing candidates and either support or withdrawal, as appropriate.</p>
<p>3. To deliver an improvement in NSS student satisfaction to a level greater than 85% for 2011/12.</p>	<p>PA</p>	<p>We moved back up to 80% overall this year, with better scores in most categories. We have established an NSS Response Group, which I lead, which will work through areas consistently and continue to address issues (mostly still around feedback and course organisation, both of which are included within the STAR work). ESBE a particular problem and we are targeting them for additional input.</p>
<p>4. To ensure the new Registrar delivers a Registry that is effective in ensuring high data standards for all data, excepting finance data which falls to the Director of Finance. To review effectiveness of our data systems, including all student related data and timetable,</p>	<p>PA</p>	<p>Our new Registrar has been a great success and systems are developing well. We have a good and more robust team working on external reporting and, whilst not out of the woods yet, are making steady progress with a difficult area.</p>

<p>Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)</p>	<p>Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)</p>	<p>Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)</p>
<p>and implement improvements to ensure they are fit for purpose, reliable, accurate, timely and useable to staff and students and external agencies. To ensure data feeding into league tables correctly represents the University's performance.</p>		<p>I am confident that we have achieved a higher level of accuracy this year and that systems are in place to knock this issue on the head in the next 12-15 months.</p>
<p>5. Ensure the new Students' Centre is open on time and within budget and meets the needs of the University in time for the enrolment and orientation session for 2012/13</p>	<p>PA</p>	<p>All my side of the service will be ready to go and will move into the Centre as soon as it is complete. Budget will be fine (I have kept a tight lid on changes) and delays to building work are not in my control (and not as a result of anything I have done).</p>
<p>6. Ensure that the University is able to maximise opportunities for growth in part-time student numbers by enabling effective flexible study within undergraduate programmes, supporting a growth in undergraduate student numbers of 20% in 2012/13.</p>	<p>A</p>	<p>We successfully approved a flexible study framework and faculties are implementing this. However, we have some way to go in persuading part-time applicants to apply (which is not in my area of purview). Further work this year to enable greater flexibility of movement between part-time and full-time (where regulations have already been adapted to accommodate greater</p>

Job Requirement/Objective/ KPI as agreed at last review or probation (completed by reviewee)	Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)	Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)
		flexibility).
7. To ensure that the choice and implementation of the new VLE fully meets the needs of the academic staff and students and is delivered within budget and with minimum disruption	A	New VLE approved by Academic Board and signed off by Exec. Implementation to take place over next calendar year, with additional support and training for faculties in place.

PHIL CARDEW

Part 3 – Overall Assessment of Rating

Performance Rating (choose an item):Effective

Reviewer comments to support rating:

This has been a year of sound achievement. Phil has taken to heart my advice to strengthen his team and delegate more. He has chosen well, bringing in new and competent staff and his area now looks and feels more purposeful and is demonstrably more effective.

He has addressed all his objectives with vigour and made considerable progress. For example, the new students' services organisation is up a running ahead of the new building being completed. The new Registrar has taken a firm grip and is tackling the data issues to good effect. Phil has maintained his tight control of academic quality matters and the move to 20 credits and the introduction of student tracking have been successes.

Phil has also made a determined effort to address his presentational style with his colleagues and the Board. His tendency to present too much detail and a rather overly pessimistic view is improving.

Overall, this has been a good year with significant progress across a range of issues, demonstrating not only his expertise in the academic detail but also increasingly across a broader range of management issues.

Part 4 - Overall Rating

Overall Rating

6 / 10

Board	Remuneration Committee
Date	22 nd November 2012
Name	James Stevenson
Background	Part 1 – Targets for 2012/13 Part 2 – Summary of Achievements for 2011/12 Part 3 – Achievements for 2011/12 Part 4 – Overall Rating
Author	Martin Earwicker

JAMES STEVENSON

Part 1 – Targets for 2012/13

Faculty/Department Strategy link	Individual Objectives and KPIs for the next year	Date to be achieved
GILT business plan 2012/13	<i>Continue to improve the flow of information to governors, including enhancement of the governors' sharepoint, to include seeking feedback from governors.</i>	31/07/2013
GILT business plan 2012/13	<i>Lead the team in supporting the new Chancellor and co-ordinate his involvement with the university.</i>	31/07/2013
GILT business plan 2012/13	Lead the team to act as the focal point for the University Court and lead on enhancing its membership and role.	31/03/2013
GILT business plan 2012/13	<i>Implement the new strategy for legal services, to include legal support for University Enterprise</i>	31/07/2013
GILT business plan 2012/13	Clarify and communicate a framework for legal / regulatory compliance within the university and any consequent changes to relevant university policies.	31/03/2013
GILT business plan 2012/13	<i>Lead the establishment of the governance and legal platform for University Enterprise.</i>	31/07/2013

JAMES STEVENSON**Part 2 – Summary of Achievements for 2011/12****Summary of Achievements over the past year in relation to Job Requirements, Objectives and Key Performance Indicators (KPIs):**

Job Requirement/Objective/KPI as agreed at last review or probation (completed by reviewee)	Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)	Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)
Implement conclusions from board effectiveness review of 2010. Lead on any future review in 2011/12	A	Complete
Enusre the successful implementation of the university court and educational character sub-committee of the board	A	Both delivered
Implement changes to the articles	PA	Process of review and re-drafting complete
Implement a contract authorisation process	PA	First step completed: contract database established
Develop a new strategy for legal services that improves cost effectiveness	PA	Legal budget consolidated for the first time – under budget for the year
Ensure legal and governance aspects of subsidiary company are fully understood and solutions identified	A	SBUEL re-launched at board in July 2012
Ensure SU constitution complies with legislation and protects university's position	A	Approved by board in July 2012
Ensure there is an effective procedure for student complaints, regular analysis	A	Arranged meeting with head of OIA, reported statistics on complaints to Ed Com, held meeting with Pro Deans to

Job Requirement/Objective/KPI as agreed at last review or probation (completed by reviewee)	Self-Assessment Achieved (A);Not Achieved (NA); Partially Achieved (PA)(completed by reviewee)	Giving no more than 2 examples per objective summarise achievement against each objective/KPI (completed by reviewee)
of data		establish continuous improvement culture

JAMES STEVENSON

Part 3 – Overall Assessment of Rating

Performance Rating (choose an item): Effective

Reviewer comments to support rating:

James continues to deliver good support to both the Board and the University more widely. He is professional both in his direct dealings with the Board and also with the Executive. James has high standards of integrity and ensures the University does too. He can always be relied on for sound advice, even if at times it could be delivered faster as a result of being too cautious.

James, whilst slightly overly formal in his management style and just occasionally slightly “short” with some of his staff, nevertheless leads an effective and happy team. His commitment to the University is excellent.

Part 4 – Overall Rating

Overall Rating	5 / 10
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Board	Remuneration Committee
Date	22 nd November 2012
Name	Martin Earwicker
Background	Part 1 – Targets for 2012/13 Part 2a – Achievement 2011/12 Part 2b - Achievement against 2011/12 targets Part 4 – Overall Rating
Author	Martin Earwicker

MARTIN EARWICKER

Part 1- Target 2012/13

1. Successful student recruitment(numbers and financial) over the first two years of the new funding arrangements;
2. Opening of the new Student Centre and its successful operation;
3. Completion of the Terrace Renovation Project incorporating the Enterprise Centre
4. Oversee the establishment of the new financial, structural and governance arrangements for SBUEL
5. Oversee the establishment of the CI as a “model” institute including publicity and the move to the new premises funded by Hanban;
6. Develop and present to the Board proposals on the re-development of St George’s chapel site;
7. Develop confidential proposals for consideration by the Board on a possible restructure to the ESBE faculty.

MARTIN EARWICKER

Part 2a – Achievement 2011/12

OVERALL University Performance

The University achieved a surplus of £9 million (before £2.9 million terraces write down) which is significantly ahead of the budget of £1.4 million. The cash balance has also improved by some £10 million to new balance of £72 million.

The University improved its league table position again so that it is out of the bottom five of all the league tables;

The University improved its academic outcomes with proportion of students achieving good honours up by 7%;

The University has improved student satisfaction by 3% points;

The University has improved first year student progression by 3% points.

However, student employability has dropped by around 4% points in a difficult economic climate, although for graduate level jobs it is better.

Overall recruitment for 2012/13 is 9% down against last year. The main shortfall has been the part time mature students. Post graduate and international are up 6% and 8% respectively against last year; these are positive figures in the light of the economic situation and the Governments new visa restrictions. The levels of recruitment still allow a surplus of at least £2.5 million to be achieved in 2012/13.

The Registrar and team are in place and data issues are being managed to HEFCE's satisfaction.

New head of student services in place and team established and running and the Student Centre is open.

University Corporate Plan 2011-14 was published in September 2011.

The Confucius Institute has been ranked in the top 5 in the world.

THE Award for "Widening Participation initiative of the Year 2012"

MARTIN EARWICKER

Part 2b - Achievement against 2011/12 targets**Specific Targets**

1. **To ensure the University meets the strategic outcomes for student choice, student success and the enterprising University within an environment of excellence as set out in the new Corporate Plan and, specifically, delivery of all commitments listed in section 7 of the plan.**
The University has met the majority of the commitments listed in section 7 of the plan. Specifically we have substantially increased our links with local schools and colleges through our outreach programmes and developed our sponsorship of our academy school and co-sponsorship with the Sir John Cass Foundation. We have piloted blended learning techniques in Law to good effect with substantial increases in student satisfaction; we have undertaken a major new programme across the University to raise our support for employability in addition to creating a new central employability team in the new student centre; we have developed our programme of engagement with staff through formal delegations to Heads of Departments and the continued development of the Senior Manger Group; we have stepped up our support for Enterprise across the University. The reduced interest in part time modes this last year has caused us to pause on how to respond until it is better understood.
2. **To review the operational structure of the University and make recommendations to the Board.**
I conducted a review of the organisational structure of the University and made recommendations to the Board. These were not supported, but further work is underway following advice from the Board strategy days.
3. **To progress the development of the subsidiary company to allow the University to respond better both to the enterprise strategy as well as providing options for new mode of delivery in general.**
I established the Enterprise Company and recruited the Director. The company is actively building links with the academic staff and external markets and a new commercial accounting course has already been successfully established.
4. **To progress negotiations with commercial companies to explore the viability of joint venture activity that we could adopt to achieve even better cost effectiveness in delivering to students.**
I have held discussions to explore joint venture activity with external companies; to date none has been viable. However, we are in the process of outsourcing catering following on from the success of the outsourcing of our security team.
5. **Deliver the major capital projects on time, cost and quality.**
The Terraces renovation as a home for the Enterprise Centre was successfully launched and is proceeding to plan.
The Student Centre is within budget and to quality, but is late although through no fault of the University.
A new rehearsal studio and new design studio have also been completed.

Part 4 – Overall Rating

Overall Rating	/ 10
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