

# The University of Essex



**Institutional Performance:  
using key performance indicators to  
drive change**

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# Today's Presentation

Our Mission

Strategic Vision

Academic Vision

Integration with KPIs

Keep it Simple

## Mission

To be a globally competitive, research-intensive, student-focussed university that takes seriously its economic, social and cultural responsibilities to the Eastern region, the UK and the world.

## Strategic Vision: the region

The broad direction of travel is to build a strong, financially sustainable regional base that will:

- fulfil our academic aspirations in research and teaching
- fulfil our economic, social and cultural responsibilities to the Eastern region
- meet government aspirations on widening participation and employer engagement
- secure our position in recruitment terms

## Strategic Vision: International

The strong regional base will serve as the foundation for an international strategic alliance consisting of multilateral relations with five selected universities including one each from Africa, China, India, the USA and Australia.

## ...we are looking for:

- a means of helping to fulfil our economic, social and cultural obligations (widening participation at an international level, especially in Africa)
- shared marketing opportunities
- international research collaboration
- global influence

## Strategic Vision

In five years' time Essex will be acknowledged as a powerful regional university with global impact and an international reputation that is unparalleled for a university of our size. The University will achieve its growth through partnership and developing its multi-campus footprint. We will be advantageously placed in the world top 200 universities as defined by the THE listings.

## Academic Vision

### **Teaching and Learning**

We will recruit the best and most appropriately qualified students from the region, the UK and the world, and give them a learning and life experience that will make them enthusiastic advocates of the University.

## Academic Vision

### Research

We will establish a university-wide Institute for Research into Global Challenges that will strategically focus the university's research capacity on up to five major problems facing the world whilst continuing to encourage curiosity-driven, discipline-based research.

### Knowledge Transfer

We will consciously reach out into the world both in order to ensure our financial sustainability and to fulfil our social, economic and cultural obligations.

## Setting the direction: KPIs

### Research

- Proportion of income from research: 30%
- Proportion of research-active staff: 85%
- Average RAE rank: in the top 10 nationally for UoAs returned

### Student Experience

- Satisfaction score in NSS and SSS: 85% (mean total score 80%)
- Employment on graduation: 80%

# KPIs

## Knowledge Transfer

- Increase in income from knowledge transfer activities: 10%
- Academic staff engaged in knowledge transfer: 25%

## Financial

- Student number growth: 1 100 students
- Income growth: 5% on average of previous 3 years
- Operating surplus target: 5%

# KPIs

## International

- Five international alliances by 2013
- A place in the THE world top 200 by 2013

## Governors' perspective

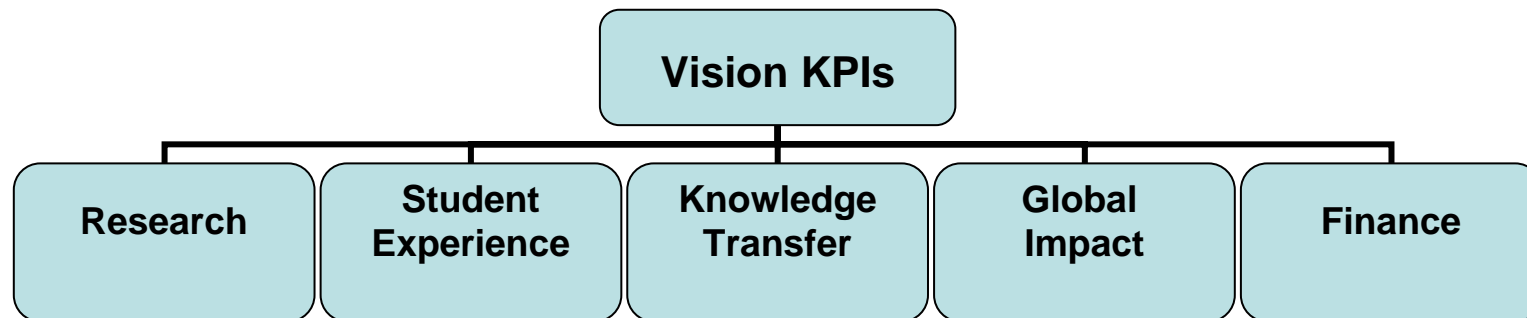
In favour of:

- Simplification of reporting
- Traffic light indicators
- Enhanced strategic engagement

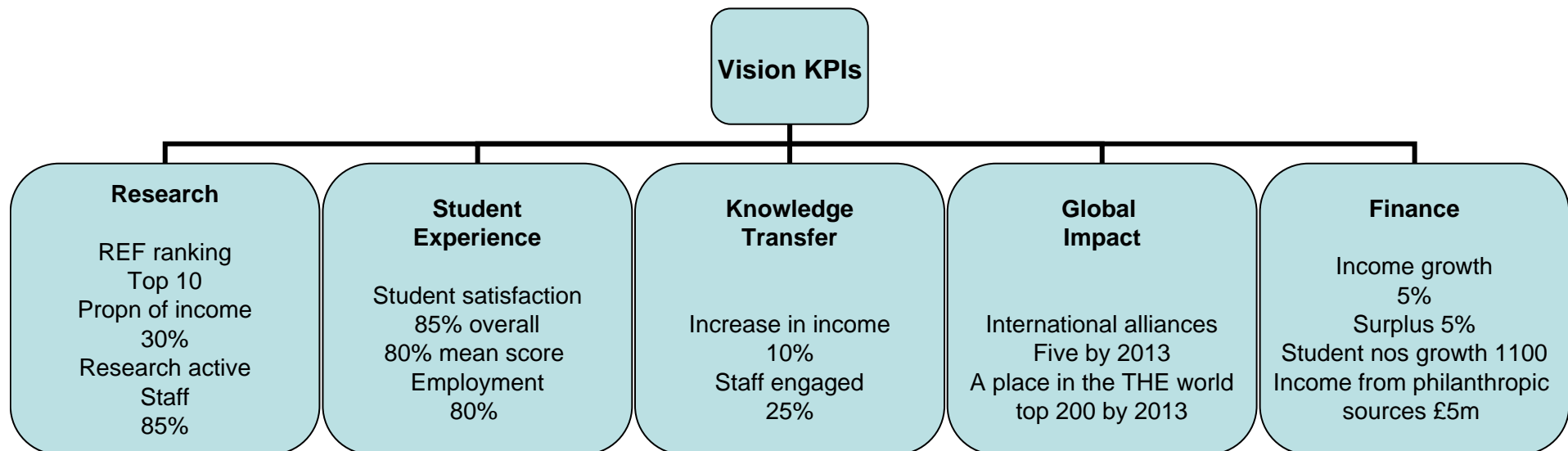
Previously:

- Very detailed annual report on PIs in Strategic Plan
- KPI papers on Research, Finance, student numbers but not linked to strategy

## KPIs from University Vision the top five



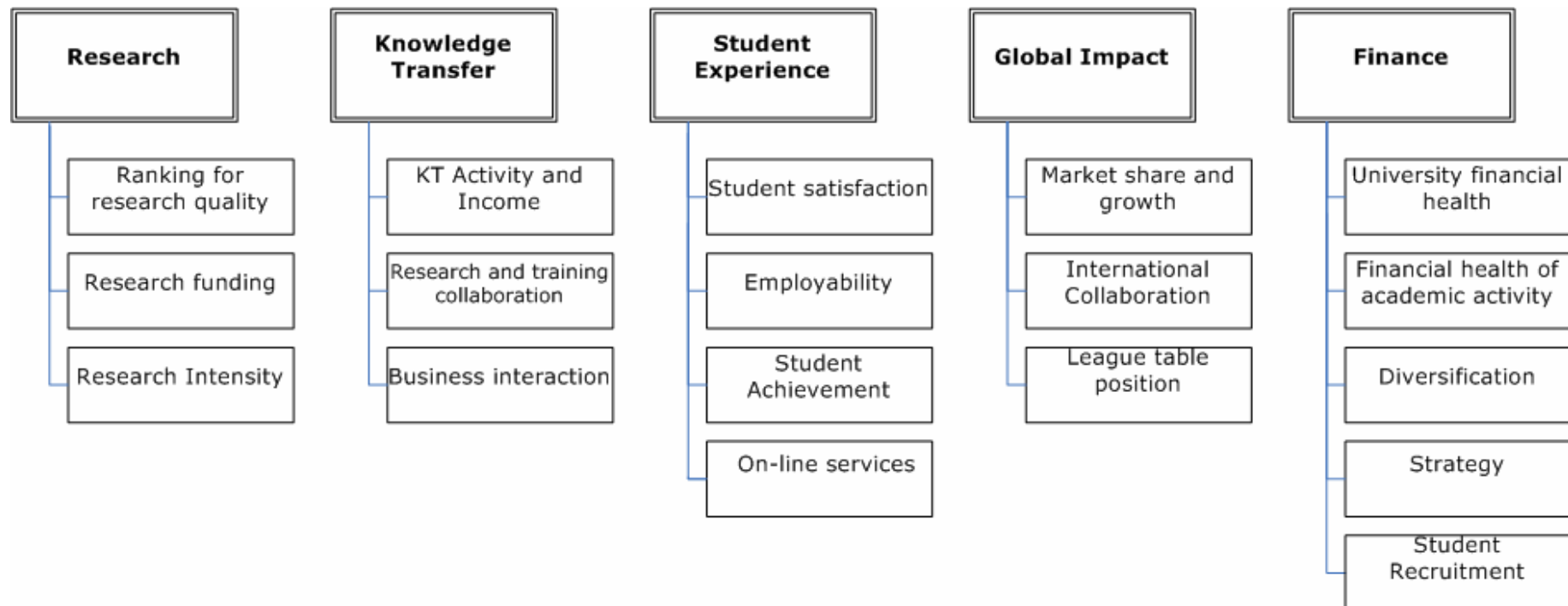
## Quantitative assessment



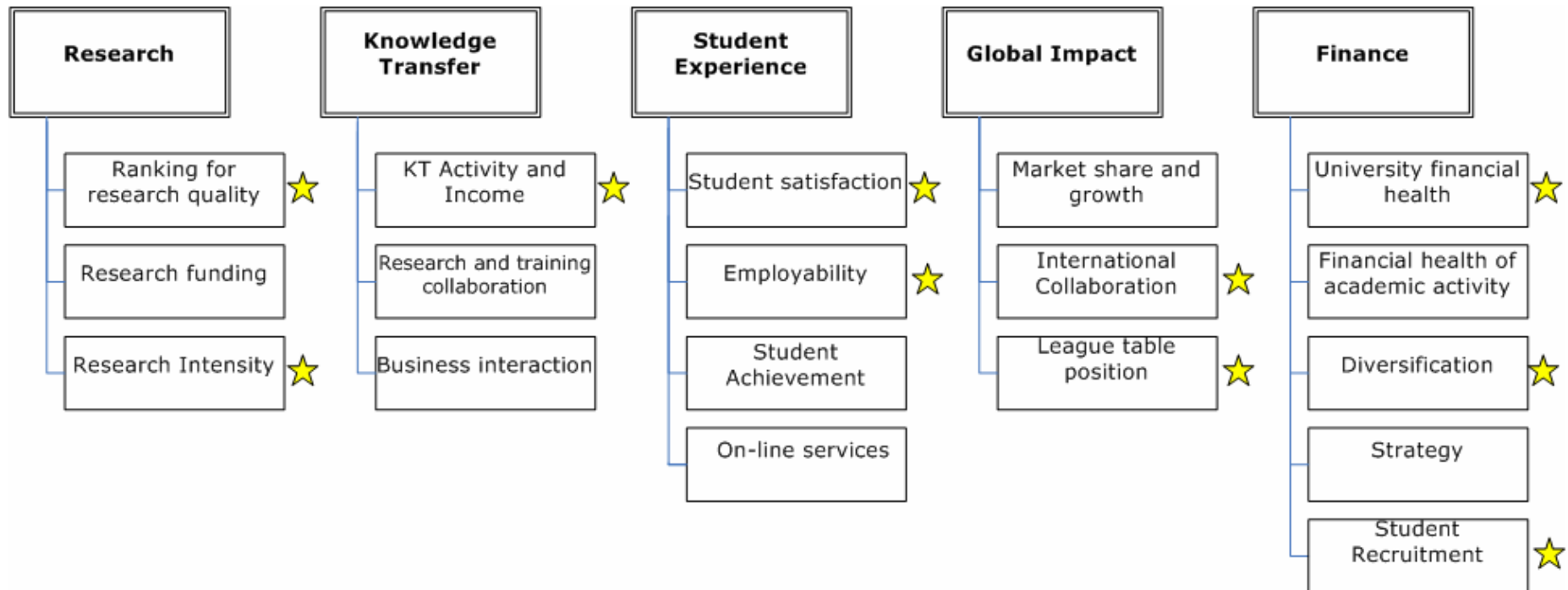
## Integration with Strategic Plan

- Detailed strategic plan approved 2006
- Wider scope than the top five (five additional KPIs)
- Contains additional underlying/ supporting PIs relevant to the top five
- Useful cross-check and in building a more complete picture of performance

## KPI Framework – the top five



## Mapping to Vision



## Assessing Performance

- Quantitative measurements
- Qualitative judgements
- Important to use lead indicators
- Ownership
- Challenge process

## Ownership

- **Individual** – head of professional service score PIs
- **Collective** – sharing of scoring, discussion and challenge
- **Senior Management** – further challenge, and check for consistency
- **Faculties** – unpacking KPIs at faculty level; customising targets, under PVC leadership

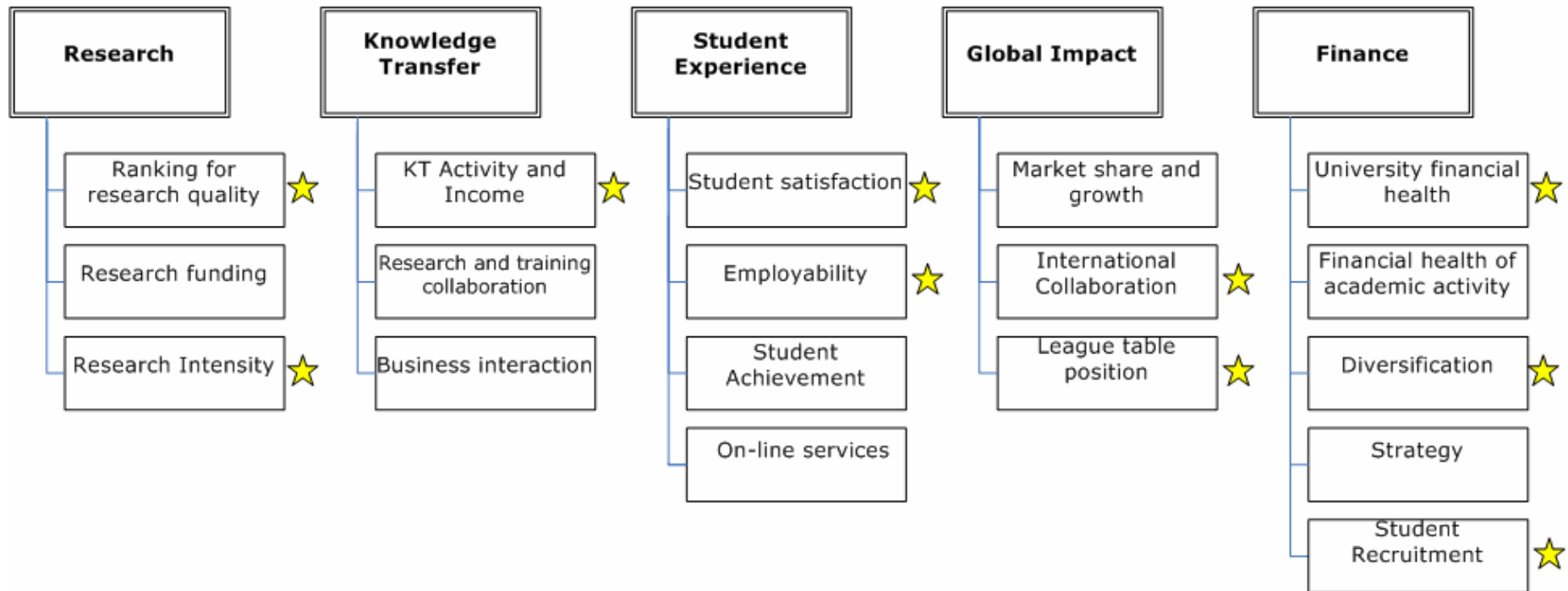
## Definitions 1 CUC Guidelines

|              |   |
|--------------|---|
| <b>Red</b>   | Problematic: serious concerns threaten this area. High risk to performance.             |
| <b>Amber</b> | Mixed: some significant concerns which could be damaging if not addressed. Medium risk. |
| <b>Green</b> | Good: this is on track, or some minor concerns which are being addressed. Low risk.     |

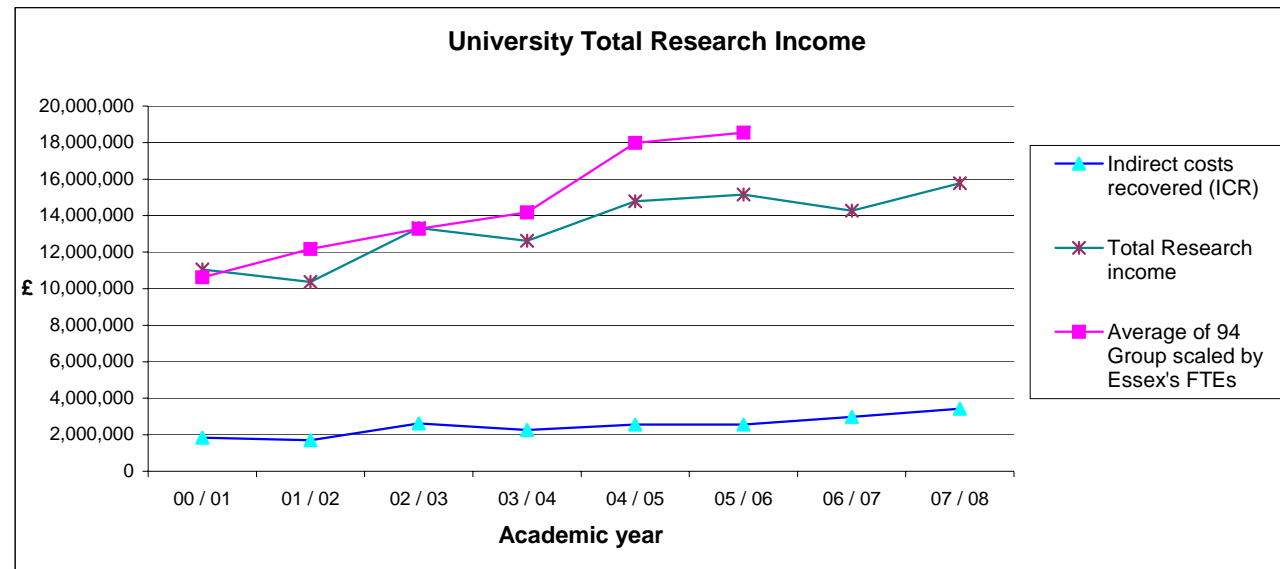
## Definitions 2

|              |  |
|--------------|--|
| <b>Red</b>   | Problematic: significant concerns and will require strong intervention to bring on track . High risk to performance. |
| <b>Amber</b> | Mixed: below expectations. Medium risk.  |
| <b>Green</b> | Good: this is on track. Low risk.  |

## Mapping to Vision



Supporting Data:



**University including Data Archive & ISER**

|                                       | 00 / 01           | 01 / 02           | 02 / 03           | 03 / 04           | 04 / 05           | 05 / 06           | 06 / 07           | 07 / 08           |
|---------------------------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|-------------------|
| <i>Research income</i>                |                   |                   |                   |                   |                   |                   |                   |                   |
| Research Councils                     | 5,794,399         | 5,070,978         | 6,531,034         | 6,246,604         | 7,572,156         | 7,545,733         | 7,604,860         | 8,681,494         |
| UK central government                 | 720,072           | 630,188           | 672,763           | 885,595           | 1,123,407         | 860,276           | 810,133           | 504,056           |
| UK local authorities                  | 11,555            | 106,688           | 164,241           | 167,386           | 70,305            | 6,116             | 24,742            | 5,297             |
| Industry UK based                     | 761,228           | 605,236           | 866,801           | 691,904           | 593,552           | 501,146           | 323,024           | 260,279           |
| UK based charitable foundations       | 1,012,192         | 1,163,729         | 1,079,567         | 1,149,720         | 1,109,831         | 1,246,839         | 1,146,588         | 1,112,747         |
| European funding                      | 767,770           | 886,866           | 1,046,125         | 971,379           | 1,031,619         | 1,038,778         | 1,073,014         | 1,185,701         |
| Other overseas                        | 130,128           | 198,807           | 325,884           | 250,706           | 196,525           | 356,126           | 308,792           | 593,237           |
| Other Sources                         |                   |                   |                   |                   |                   |                   | 164,489           |                   |
| total                                 | 9,197,343         | 8,662,492         | 10,686,416        | 10,363,294        | 11,697,396        | 11,555,014        | 11,291,154        | 12,342,811        |
| <b>Indirect costs recovered (ICR)</b> | <b>1,852,111</b>  | <b>1,713,284</b>  | <b>2,628,947</b>  | <b>2,268,477</b>  | <b>3,084,441</b>  | <b>3,597,214</b>  | <b>2,977,102</b>  | <b>3,428,371</b>  |
| Indirect costs recovered (ICR)        | 1,852,111         | 1,713,284         | 2,628,947         | 2,268,477         | 2,566,661         | 2,561,657         | 2,977,102         | 3,428,371         |
| <b>Total Research income</b>          | <b>11,049,454</b> | <b>10,375,776</b> | <b>13,315,363</b> | <b>12,631,770</b> | <b>14,781,837</b> | <b>15,152,228</b> | <b>14,268,256</b> | <b>15,771,182</b> |
| Total Research income                 | 11,049,454        | 10,375,776        | 13,315,363        | 12,631,770        | 14,264,057        | 14,116,671        | 14,268,256        | 15,771,182        |
| <b>Average of 94 Group scaled by</b>  | <b>10,623,604</b> | <b>12,175,205</b> | <b>13,279,740</b> | <b>14,184,380</b> | <b>17,987,280</b> | <b>18,543,466</b> |                   |                   |
| <b>% change from previous year</b>    |                   | -6.10%            | 28.33%            | -5.13%            | 17.02%            | 2.51%             | -5.83%            | 10.53%            |

## Secondary KPIs

- National impact/ regional and community engagement
- Expanding opportunities
- Staff
- Facilities
- Management and Governance

## Summary

- Ten KPIs
- Top five for Council plus five “secondary” PIs
- Approx. 45 underlying PIs (13 of which are in the Vision document)
- Strategic Plan – narrative

## What next?

- Developing Faculty level targets and Faculty plans
- Revision to Strategic Plan
- Ensuring quality of attention- rolling programme for Council (and internally)

## What next? (cont)

- Refining (and culling) PIs- focus on lead indicators that help chart direction of travel.
- Updating targets in light of performance

## Discussion points

- Completeness of information vs quality of attention
- Honesty of assessments – importance of setting targets and traffic light definitions
- Freedom of information - risk of misinterpretation
- Ownership and embedding within the University