Alexis Cornish, University of Edinburgh, May 2010

Strategy InfoKit Pilot: University of Edinburgh

Case Study Report

Executive Summary

In the context of our well-embedded 4-year Strategic Plan, we are reviewing our complementary, pre-existing, Balanced Scorecard set of performance indicators.

The key outcome from this review will be a single corporate performance report presenting 12 new performance indicators alongside our 33 existing Strategic Plan targets. The corporate performance report will be sortable by a number of dimensions including Balanced Scorecard perspective (stakeholder, financial etc), Risk Register and Scottish Government Performance Framework, as well as, principally, our Strategic Plan. Performance categories allocated to indicators and targets at each reporting point will be decided using a new pre-determined set of parameters, drafted for each individual measure.

1. The issue

The University of Edinburgh introduced a Balanced Scorecard performance measurement tool in 2002. For a number of years the scorecard had a high profile on our website (http://www.planning.ed.ac.uk/Strategic_Planning/BalancedScorecard.htm), however it was last reviewed in 2005/06. In the context of our current Strategic Plan 2008-12, it was determined that the time was opportune to further review our scorecard's indicators and to enhance our approach to determining, and reporting on, performance against the indicators and targets in our Balanced Scorecard and Strategic Plan.

Context and Drivers

Whilst we felt we had made significant progress in recent years in embedding strategic planning as a fully integrated part of our governance processes, which had strong connections with our annual planning cycle, we now wished to give more thought to our approach to monitoring our performance using indicators and targets. We feel we are well down the line of strategic planning and are now focusing our efforts on demonstrating implementation of our plan, and achieving effective engagement in this process.

We had in place a corporate Balanced Scorecard performance measurement tool. This sat alongside our Strategic Plan, but to date had been reviewed and reported on, on a separate, less predetermined, cycle. There was overlap between the 32 indicators in our scorecard and the 33 targets in our current Strategic Plan, and we considered the two ways of monitoring performance to be complementary. However, we realised there may be ways to bring the two monitoring tools and processes closer together and to make the connections more transparent. We specifically wished to review and enhance our processes for determining the 'performance status' ascribed to each of our indicators and targets. This was of particular significance in terms of their presentation to Court, our governing body; the Scottish Funding Council; and on our website. Without adequate

performance measurement systems and an effective, transparent, process of reviewing the outcomes of these, the University is at risk of failing to identify areas of inefficiency or to capitalise on areas of success. Taking these factors, plus experience gained since the 2005/06 review of our Balanced Scorecard, into account, it was considered opportune to review the Balanced Scorecard indicators for their ongoing relevance and contiguity with the current Strategic Plan.

The significance of Edinburgh's success in establishing, maintaining and developing our Balanced Scorecard as a high profile project was apparent through the internal level of interest, but also through the external recognition it had generated:

- At Edinburgh, the balanced scorecard approach had been embraced, with all major units routinely reporting on key performance indicators as an integral part of our annual planning process, plus the incorporation of SMART targets in our most recent two strategic plans.
- Within the sector, our balanced scorecard was recognised as an area of good practice in the CHEMS report (October 2004) to the CUC on: Good Practice in Six Areas of the Governance of Higher Education Institutions. We have received numerous enquiries and visits from other UK and international institutions interested in developing their own scorecards, and from students preparing theses on management techniques.
- Principally as a result of the open approach we adopted, whereby we made our full scorecard available via our website, our scorecard and our experience in implementing it had also attracted interest from outwith the HE sector.

The planned review also provided us with an opportunity to consider the alignment of the University's performance measurement systems in the context of the forthcoming outcome agreements, to be introduced by the Scottish Funding Council as part of the process of ensuring alignment of higher education institution's strategies with the Scottish Government's Performance Measurement Framework. We were particularly interested in drawing on the approach taken by the Scottish Government in determining the performance status of their Purpose Targets and National Indicators, as set out in 'Scotland Performs': (http://www.scotland.gov.uk/About/scotPerforms).

Aims

The key aims of the review were to achieve alignment between our Balanced Scorecard's 32 indicators and our most recent Strategic Plan 2008 – 2012, with its 33 targets, by:
- testing the robustness of all existing indicators and, where necessary, suggesting amendments/removals/additions;
- developing a more robust methodology for determining the performance status of each Balanced Scorecard indicator and Strategic Plan target; and
- determining congruence between our Strategic Plan and complementary scorecard, the Scottish Funding Council's Corporate Plan, and the Scottish Government's National Indicators.

As part of the review it was our intention to:
- review scorecards and performance reporting approaches at other universities/ organisations;
- reconsider (and if necessary expand) descriptive text for each indicator retained, and develop from fresh for any new added;
- consider options for improving our web and printed scorecard presentation, a process which was to include a review of proprietary Balanced Scorecard presentation tools;
- consult key stakeholders (particularly but not exclusively indicator 'owners'); and
- map the connections between our Balanced Scorecard and:
  - o our Strategic Plan 2008-12, and in doing so identify (and if necessary explain) gaps in mapping either way;

- o our International Collaboration indicators – a project we initiated, linked to our Balanced Scorecard, involving Melbourne University and the University of British Columbia;
- o indicators in other high level University of Edinburgh strategies – finance, estates, community relations, internationalisation, equality and diversity, disability, Edinburgh Campaign; and
- o indicators in College and Support Group annual plans.

Role of Court

As a key objective of the original Balanced Scorecard was to satisfy the needs of Court members for their role in governing the University, obtaining Court's initial input to and approval for the suggested approach and then of the agreed indicators is essential. Since its first publication in 2002, Court members have had a number of opportunities to comment on our scorecard's indicators and on what they show. Overview analysis of performance has been presented to Court annually using a 'traffic light' approach: for each indicator (supported by available Russell Group comparative data) performance was categorised into one of four categories (improving, limited change/trend unclear, no progress/deteriorating, or unable to assess). As timeseries data were built up, it became more straightforward to determine the trends for each indicator. However, in the absence of agreed targets/benchmarks for all indicators, the performance category allocation process remained somewhat subjective. To date, it was undertaken principally for illustrative purposes and to facilitate discussion. We were very keen to strengthen and make more transparent our process for determining performance categories. Indeed, we were under pressure to meet the increasing demands of our Court members for full and objective information on the University's performance, in relation to our stated strategic objectives, as well as in the context of our competitor institutions.

Role of others within the University

Although Governance and Strategic Planning staff oversaw the Balanced Scorecard, input was sought from a range of individuals around the University. Each indicator had a designated 'owner' and data provider. The in-depth understanding these key staff brought ensured clarity on definitions and appropriate highlighting of caveats. The high profile of the scorecard, and the early decision to publish it on our website (and subsequently in our FOI Publication Scheme), served to encourage data providers to supply data timeously. The attention paid by senior managers to the scorecard, certainly in the initial period after it was published, prompted some of the indicator owners/data providers to further investigate issues around their indicators such that, in several cases, the scorecard was expanded to contain data for secondary measures. It was, however, clear that there was a need to take a fresh look at the scorecard indicators, as well as the strategic plan targets, to ensure the gathering of performance data was not just serving corporate governance requirements, but that it was also providing added value which both benefited indicator 'owners' but more importantly resulted in real change where required. One key outcome we are seeking through the project is greater clarity on who is overall responsible for our *performance* against each indicator and target, over and above who is responsible for providing the data. We hope that, through effective consultation, followed by taking a clear approach to reporting, we can make these lines of responsibility more transparent.

2. Our approach

We have a well-established and widely understood Strategic Plan. Our institutional mission and vision statements were thoroughly reviewed as part of the process of developing our most recent Strategic Plan 2008-12. As such, for this Balanced Scorecard review project, we have principally made use of the **managing strategic activity** and **monitoring** sections of JISC's Strategy infoKit, most notably the sections relating to the development of KPIs and to monitoring progress. We

have also begun to draw on the 'consultation' guidance, set out in the earlier **Mission, Vision and Values** stage of the infoKit, applying this as relevant to our project. We are particularly motivated by the wide-ranging techniques for consultation described in the infoKit and have begun to make use of some of the examples given to hopefully allow us to achieve a true 'strategic conversation' between ourselves and our stakeholders. In addition, we have referred to the JISC Balanced Scorecard and SMART Targets tools and techniques, plus have taken the CUC Report on the implementation of KPIs, referenced from the infoKit, into account.

3. Success factors

The prominence of the University's Strategic Plan has increased significantly since we moved to a 4 year planning cycle in 2004. The structure and contents of our plan are now fully integrated with our annual planning process and the Strategic Plan is now widely understood to be the cornerstone around which longer-term cross-cutting University strategies must be developed. The targets contained within the plan have also risen in standing such that it has become increasingly clear that our annual report on progress against these has begun to eclipse equivalent reports on performance against the University's Balanced Scorecard, which itself pre-dates the Strategic Plan.

To complement the University's Strategic Plan and the targets it contains, the key success factors of our performance indicators, and hence of this Balanced Scorecard review project, are therefore to ensure that:

1) in the words of the Strategy InfoKit, our performance indicators 'stem directly from […] strategic plans and statements and do not operate separately and in parallel';

2) our performance indicators are well known and understood around the University community;

3) each performance indicator (and Strategic Plan target) is underpinned by a clear, objective and unequivocal set of parameters for categorising performance;

4) performance indicators and Strategic Plan targets are reported on collectively and simultaneously using a single, flexible, sortable report which is mapped to all relevant internal and external planning frameworks; and finally that,

5) new technology is embraced where appropriate to ensure performance reporting is as automatic and dynamic as possible.

With success factor 2) in mind, one of the key early decisions taken in this project by our Principal's Strategy Group has been that 'the University should review the current 32 indicators in our Balanced Scorecard with a view to moving to around 12 high-level indicators, with possible supporting sub-indicators'. This is in the context that, as presented below, our Strategic Plan is structured around 3 strategic goals, 3 enablers and 6 strategic themes; in other words, the aim is to develop a single indicator per goal/enabler/theme.
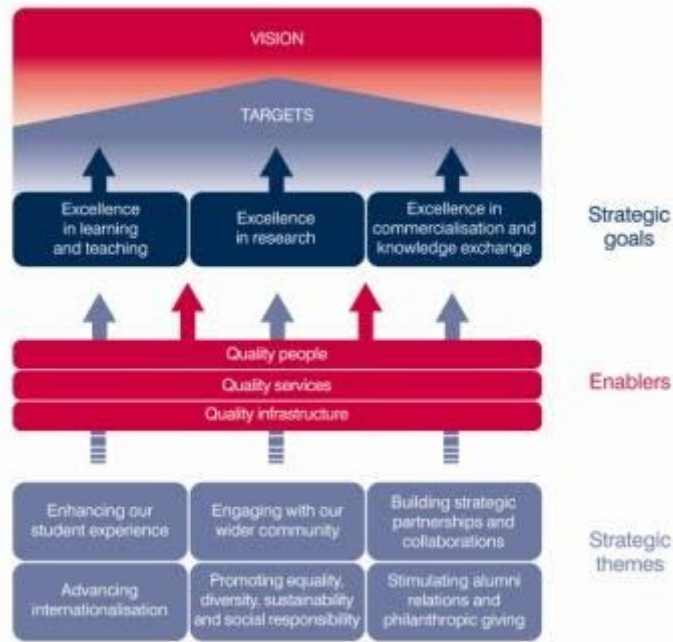
Agreeing, and subsequently raising awareness of, these 12 high-level indicators is a process which has begun, but is not yet complete. Some of the new indicators may be based on existing Balanced Scorecard indicators or indicators used elsewhere in the University as previously described. However, it is highly likely that some indicators will have to be developed from scratch. Ensuring we remain focused and retain the 'buy-in' which the Balanced Scorecard achieved, throughout this process, is key to the project's success. Additionally, ensuring the 12 indicators are directly drawn from, and support implementation of, our Strategic Plan goals/enablers/themes, as outlined above, and go on to become well known and widely understood, is crucial. As an example of the way in which we have begun to approach this task, following a discussion at a Convenor's Forum, involving key Vice Principals who are Convenors of Committees of Senate, we will focus discussions at an Away Day for the sub-committees of Senate on development of high level indicators for our first strategic goal 'Excellence in Learning and Teaching', as well as on the indicator for one of our related strategic themes 'Enhancing our Student Experience'. For each of the 12 indicators required, we will consider the best way in which to approach the initial drafting process.

With regard to success factors 1) and 4), our key corporate committees and governing body have confirmed that the principal way of viewing our indicators and targets should be in the context of the structure of our Strategic Plan. Although the balanced scorecard 'perspective' will be retained, to achieve full integration of the indicators within our strategic planning processes, we will no longer consider our Balanced Scorecard as being something which is distinct from our Strategic Plan. By retaining the ability to organise our measures by balanced scorecard perspective (organisational development, financial, stakeholder and internal business), we can ensure that we retain the ability to take a balanced view of institutional performance. We can also ensure that the 12 indicators and 33 targets are relatively evenly spread across these perspectives.

On this topic, we have taken cognisance of specific guidance in the 2008 CUC Guide on The Implementation of KPIs[1]:

- '…the Guide was not intended to suggest that all the complexity of a university either can or should be captured on one page, nor of course that high-level strategic monitoring by

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[1] http://www.bcu.ac.uk/docs/cuc/pubs/CUC_Report.pdf

governors will be the only monitoring done in the institution. The purpose, as much as anything is to help governors to ask relevant questions and to fulfil their role in high-level monitoring of institutional performance.'

- '…in the longer-term, it seems very likely that KPIs will be more helpful to governors and institutions if they are seen as an integrated part of a strategic planning process which is widely recognised in the institution. By contrast, if KPIs are seen as another layer, or a separate process for governors, they are much less likely to continue to command respect in the institution (or to continue to prove a high priority for a limited time at board meetings).'

With regard to success factors 4) and 5), it is hoped that the integration, and increasing automation, of the reporting processes for indicators and targets will allow us to create a single interactive report which maps indicators and targets to each other within the structure of the Strategic Plan; and against other key documents such as our Risk Register and the Funding Council and Government's Performance Measurement Systems. Achieving this will ensure the performance report is a much more significant aid to planning than previous tools. It will also be much more straightforward to clarify connections and highlight gaps. Finally, where we are required to demonstrate accountability, for example to the Scottish Funding Council as part of the forthcoming outcome agreements arrangements, our single corporate performance report will be a key starting point for discussions.

4. Lessons learnt

Consider strategy and performance measures in context of other key internal tools/reports (e.g. Risk Register) plus those of key external bodies (Funding Council, Government).

It is stated on page 26 of the Strategy InfoKit that 'no university or college should consider its strategy without considering those of the Government, of its funding bodies, of the local City Council and Regional Development Agency and of a number of other bodies'.

Particularly in the current financial climate with increasing uncertainty about future funding and potential political change, and having already had this in mind, we have previously spent some considerable time conducting mapping exercises to facilitate an analysis of congruence between our Strategic Plan (and performance measures contained within it/linked to it) and the plans/measures used by, for example, the Scottish Funding Council/Scottish Government. In addition, there is an internal need to cross-map against, for example, our institution-level Risk Register.

By developing a single corporate performance measurement report to present high level performance for all of our measures (indicators and targets) in a way which can be sorted and therefore viewed and analysed by any one of the various internal and external dimensions (the name we have given to e.g. the Risk Register, Scottish Government Performance Outcomes, Balanced Scorecard perspectives), we have tried to produce a single, simpler, output. Further dimensions can be incorporated as and when necessary.

Complete the KPIs: Key questions to address checklist on page 43 before and after a review.

The 'key questions to address' checklist on page 43 provides a helpful framework for developing KPIs, and could also be adapted to provide a framework for reviewing an existing set of KPIs. It provides a useful outline for use when structuring a proposal paper to senior managers on the aims of, and potential benefits brought by, KPIs.

Consider nature of your institution, the progress you have made down the 'strategic vision' path, and any possible technical issues, when selecting the consultation method(s) you will use.

We are currently considering including information on our project in an existing, though recently developed, wiki, however have some initial reservations as to whether more senior managers/governors will find this an effective means of communication/consultation, given the amount of technical engagement required for them to contribute to the development of documents through this medium. It should, however, provide a means for engaging more widely around the University community.

We have also looked into the use of googledocs for sharing our draft corporate performance report and eliciting comments on it. However, the view of our reporting spreadsheet through the googledocs platform is far from ideal and the embedded macros cease to function, such that a key feature of the report – the ability to sort indicators/targets it by dimension – no longer works.

Despite these initial misgivings we will continue to explore the use of technology to complement more traditional, including face-to-face, means of consultation. The fact that our strategic plan development process incorporated productive discussions about strategic plan targets with governors, senior managers and other staff – the majority of whom are fully engaged with the existing strategic planning and performance monitoring processes – gives us confidence that we can achieve a great deal through what might be considered more traditional consultation routes such as focus groups, Away Days and roadshows.

High-level sign-off of KPIs, identification of KPI owners and assignment of performance categories

Although we previously identified indicator owners for each of the indicators contained in our Balanced Scorecard, responsibilities for performance, and provision of data, for our Strategic Plan targets were not so clearly articulated.

In addition, although we were employing a process to assign performance categories to our Balanced Scorecard indicators and our Strategic Plan targets, these were, for good reasons, not the same, plus, the process of assigning categories was arguably subjective, since clear parameters had not been predetermined.

As part of the process of agreeing and implementing an indicator/target, we would therefore recommend that, as well as developing the necessary background supporting information covering the what, why, how often etc, that:

- the full set of indicators has agreement at the highest level;
- each measure is assigned to both a senior manager who takes responsibility for improving, and explaining changes in, performance, plus to an individual with lead responsibility for data provision (note that the latter may be a planner, or particularly for more qualitative targets, may be the senior manager); and
- performance reporting is carefully considered to ensure what constitutes improving, unchanged or deteriorating performance (or whatever terms are adopted) is unequivocal and robust.

On the latter point, we are working to develop two sets of parameters for each of our indicators/targets:

- one set to be followed for **interim reports** (which has a little more flexibility for quantitative targets, to allow for uneven achievement over the period covered) – to be used to determine whether performance is on track or not;
- plus another much more rigid set to be followed for the **final report,** at which point it is determined whether a target has been met or not.

Keep it simple – clear terminology and a small number of measures

Whilst it may seem attractive to have in place 'dashboards, scorecards, KPIs and advanced drill-down capabilities', as described in an example on page 54, there is a potential risk that people become turned off and/or confused by varying terminology. This is something we have encountered previously when reporting separately on our Balanced Scorecard vs our Strategic Plan.

To counteract this problem, we have drawn on a number of sources to develop our own definitions as follows:

- Indicators and targets are complementary measures used for performance monitoring:
  - Indicators are numbers or ratios which can show relative change over time.
  - Quantitative targets are values we would like indicators to achieve by a given time.
  - Some indicators are monitored without there being a specific target (e.g. female percentage of new academic appointments).
  - Some (qualitative) targets are not based on a numerical indicator.

By adopting a single flexible/sortable report showing indicators and targets (measures), these can be grouped by balanced scorecard perspectives, or indeed mapped and organised around our Strategic Plan or our Risk Register. Similarly, it would be possible to present performance in the form of a dashboard, or simply to show each measure in a simple one-page report format, with performance categories applied.

By breaking down and explaining performance measurement in this way, we hope to make it easier to understand. And by restricting our high level performance reporting to 12 main indicators, plus our pre-existing 33 targets, we hope to facilitate extremely focused discussions on where our efforts to improve performance need to be expended.

5. Recommendations to JISC infoNet

- **Assessing your institutions 'fitness for purpose' (p28)** – the survey results reported in this section, where respondents cited organisational infrastructure over external pressures as topping their list of institutional concerns, do not correspond with our experience. Similarly, at the bottom of p36, it is stated that '44% of those institutions who responded update or renew their strategic plans on an annual basis'. Whilst this may have been their response to the question posed, we would argue that the plans they have been updating annually cannot be, by definition, strategic. These differences between the survey results and our own experience may be due to either the composition of the group surveyed, or the timing of the survey in 2008 (pre-economic crisis). Either way, we would suggest that this section of the infoKit should be revisited in order to keep it fit for purpose in 2010 and the future.

- **Expressing your KPIs (p40)** – it is stated here that 'KPIs can be viewed as SMART targets'. Although the infoKit goes on to suggest that they can, and probably should, follow the same principles, it might help avoid terminology confusion if it was made clear that indicators and targets are complementary but different. For example, to state more explicitly that KPIs, or indicators, are number or ratios, for which organisations may, or may not, set targets.

6. Outputs

Attached are the following outputs produced thus far as part of this ongoing project:

- **Appendix 1**: Mapping of University's Strategic Plan 2008-12 to the Scottish Government's National Performance Framework

- **Appendix 2**: Mapping of University's Strategic Plan 2008-12 to the Scottish Funding Council's Corporate Plan 2009-12

- **Appendix 3**: Corporate Performance Measurement Proposal: Paper to University of Edinburgh Court 24th May 2010

- **Appendix 4**: Example of draft performance category parameters

Mapping of University of Edinburgh Strategic Plan 2008-12 to the

**Scottish Government's National Performance Framework**

1. Background

The Scottish Government published its National Performance Framework in November 2007 as Chapter 8 of the Scottish Budget Spending Review 2007[2]. The University of Edinburgh published its Strategic Plan for the period 2008-12 in September 2008. The structure of each of these documents is set out below.

Scottish Government's National performance framework

University of Edinburgh's Strategic Plan 2008-12

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[2] http://www.scotland.gov.uk/Publications/2007/11/13092240/0
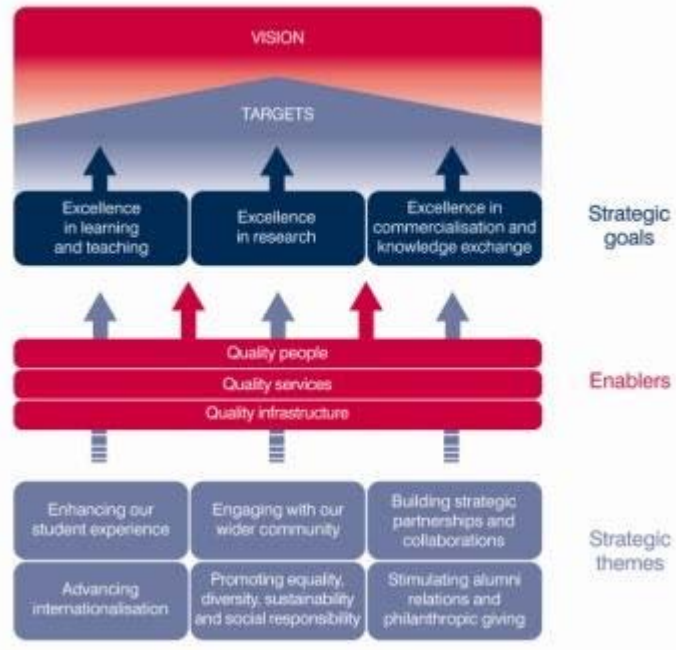
The Report of the Joint Future Thinking Taskforce on Universities[3], published in November 2008, set out the way in which Universities are expected to contribute towards the achievement of the Scottish Government's Purpose. Paragraph 1.15 provides more detail:

*"Universities already contribute and will expect to continue to contribute significantly to making Scotland a more prosperous place. In future, though, the Scottish Government will expect the university sector to demonstrate more explicitly how the funding it receives from the Government contributes to delivering against the National Outcomes, thereby ensuring there is alignment of publicly funded activity against the Scottish Government's Purpose – its vision for **the whole of Scotland** – as set out in the National Performance Framework. In turn the sector, delivering outcomes so aligned, will continue to receive public resources at a level to help to keep it nationally and internationally competitive. These arrangements also respect the universities' autonomy as bodies which depend only in part on direct funding from the Scottish Government."*

As one of the UK's largest and most comprehensive universities, with a strong international profile, our contribution to Scotland and its prosperity is considerable. Our graduates, who ultimately become our global ambassadors, are rounded citizens with broad and flexible skills equipped to contribute to a global economy and to vibrant, caring and cultured democratic societies. We undertake pioneering research and exchange knowledge to the benefit of society as a whole. We are a significant employer with strong connections with, among many others, the NHS, the Scottish Government and the City of Edinburgh Council. We have a large and complex estate and our wide-ranging direct and indirect activities impact significantly on the local, regional and national economy. By playing a leading role in enhancing public understanding of educational, scientific and cultural developments and by contributing fully to our local and wider community, we directly and indirectly influence policy makers.

Against this background, we have reviewed the University's current Strategic Plan against the content of the Government's National Performance Framework in order to demonstrate the significant contribution the University is making towards achievement of the Scottish Government's Purpose and National Outcomes.

2. Purpose

Each part of the Government's National Performance Framework is directed towards, and contributes to, a single overarching Purpose:

Purpose

"*To focus government and public services on creating a more successful country, with opportunities for all of Scotland to flourish, through increasing economic sustainable growth*".

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[3] http://www.scotland.gov.uk/Resource/Doc/82254/0069165.pdf

Whilst it is set in a more global context, the University's Vision and Mission – in particular the latter bullet point of the mission – are consistent with the Government's Purpose statement.

Our Vision

To shape the future by attracting and developing the world's most promising students and outstanding staff.

Our Mission

The mission of our University is the creation, dissemination and curation of knowledge. As a world-leading centre of academic excellence we aim to:

- *enhance our position as one of the world's leading research and teaching universities and to measure our performance against the highest international standards*
- *provide the highest quality learning and teaching environment for the greater wellbeing of our students and deliver an outstanding educational portfolio*
- *produce graduates fully equipped to achieve the highest personal and professional standards*
- ***make a significant, sustainable and socially responsible contribution to Scotland, the UK and the world, promoting health and economic and cultural wellbeing.***

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3. Purpose Targets

The Government's National Performance Framework identified a set of nine purpose targets. Our contribution to the achievement of these, as set out in our Strategic Plan 2008-12 objectives[4], is presented in the table below:

Scottish Government's Purpose Targets		UoE's contribution as set out in Strategic Plan 2008-12 objectives
Indicator	**Target**	
Economic Growth (GDP)	• To raise the GDP growth rate to the UK level by 2011 • To match the growth rate of small independent EU countries by 2017	• Strategic goal: Excellence in learning and teaching: contribute to the development of a high-skill economy in support of key national priorities • Strategic goal: Excellence in commercialisation and knowledge exchange: embed a culture of commercialisation and enterprise; exploit ideas for commercial application; and stimulate innovation and benefit the Scottish economy • Strategic theme: Building strategic partnerships and collaborations: enhance our capacity and competitiveness; and contribute more effectively to national and international priorities
Productivity	• To rank in the top quartile for productivity amongst our key trading partners in the OECD by 2017	

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[4] Each of the University's 3 goals, 3 enablers and 6 strategic themes are structured around an aim and series of objectives, strategies and targets. For the purposes of this mapping exercise we have focused our attention on our objectives, principally as these are expected to remain essentially the same over time, whereas the strategies and targets are expected to be modified in response to changes in the external and internal environments. The objectives represent the 'what' of what we want to achieve through our strategic plan.

Scottish Government's Purpose Targets		UoE's contribution as set out in Strategic Plan 2008-12 objectives
Indicator	Target	
Participation	• To maintain our position on labour market participation as the top performing country in the UK and to close the gap with the top five OECD economies by 2017	• Strategic goal: Excellence in learning and teaching: contribute to the development of a high-skill economy in support of key national priorities • Strategic goal: Excellence in commercialisation and knowledge exchange: stimulate innovation and benefit the Scottish economy • Enabler: Quality people: recruit, reward, develop and retain high-performing staff • Strategic theme: Enhancing our student experience: equip students with the skills, experience and attitudes to be able to thrive, contribute and achieve their potential within the global community
Population	• To match average European (EU15) population growth over the period from 2007 to 2017, supported by increased healthy life expectancy in Scotland over this period	• Strategic goal: Excellence in research: provide holistic solutions to important global challenges • Strategic theme: Enhancing our student experience: promote student health, wellbeing and safety
Solidarity	• To increase overall income and the proportion of income earned by the three lowest income deciles as a group by 2017	• Strategic goal: Excellence in research: increase our research income • Strategic goal: Excellence in commercialisation and knowledge exchange: maximise financial and other benefits arising from knowledge exchange; stimulate innovation and benefit the Scottish economy • Strategic theme: Promoting equality, diversity, sustainability and social responsibility: increase the proportion of students from under-represented groups admitted to, and successfully completing, a programme of study • Strategic theme: Stimulating alumni relations and philanthropic giving: increase our financial contribution to equality of opportunity and widening participation activities
Cohesion	• To narrow the gap in participation between Scotland's best and worst performing regions by 2017	
Sustainability	• To reduce emissions over the period to 2011 • To reduce emissions by 80 per cent by 2050	• Strategic theme: Promoting equality, diversity, sustainability and social responsibility: increase the long-term social and environmental sustainability of all our activities; comply with and, where possible, exceed the requirements of relevant legislation

4. Strategic Objectives and National Outcomes

The Government's strategic approach 'consists not just of the Purpose but five Strategic Objectives' (wealthier and fairer, smarter, healthier, safer and stronger, greener). These, in turn,

are supported by 15 national outcomes which 'describe in more detail what the government wants to achieve over a ten year period'.

We have mapped the objectives of our strategic goals, enablers and themes, as set out in our Strategic Plan 2008-12, against the Government's national outcomes. This has been done graphically in Appendix 1 and using text to provide more detail in Appendix 2. This exercise gives the clearest indication of the contribution we are making, through delivery of our Strategic Plan, to the achievement of the objectives and outcomes of the Government's National Performance Framework.

From the table in Appendix 2, it can be seen that, for a significant proportion of the Government's national outcomes, there exists at least one complementary objective in the University's Strategic Plan. The key difference between our plan and the national framework is the context within which they are each set – where our plan is set firmly in a global context with many references to our international position and aspirations, the Government's framework has a more local, Scottish, focus.

5. Performance measurement: National Indicators and Targets

The Government is measuring progress on the national outcomes through 45 wide-ranging national indicators and targets. Through the research conducted by the University, the healthcare, educational and other professionals we train and via our outreach work and influence on policy makers, it can be seen that we directly and indirectly influence the achievement of many of these indicators and targets.

Those on which we have the most clear and direct influence are listed below:

- At least halve the gap in total research and development spending compared with the EU average by 2011
- Increase the business start-up rate
- Increase the percentage of Scottish domiciled graduates from Scottish Higher Education institutions in positive destinations
- Improve knowledge transfer from research activity at Universities
- Increase the proportion of school leavers (from Scottish publicly funded schools) in positive and sustained destinations (FE, HE, employment or training)
- Improve the quality of healthcare experience
- Reduce overall ecological footprint
- Improve the state of Scotland's Historic Buildings, monuments and environment
- Increase the proportion of journeys to work made by public or active transport
- Reduce to 1.32 million tonnes of waste sent to landfill by 2010
- Improve people's perceptions, attitudes and awareness of Scotland's reputation

The Scottish Government state that they believe the framework 'will allow us more clearly and openly to demonstrate our performance as a government and sharpen the focus of all those responsible for public services on the delivery of Scotland's priorities'. This paper demonstrates the University's significant contribution towards the achievement of these national priorities.

Alexis Cornish, Director of Planning and Deputy Secretary
Rona Smith, Senior Strategic Planner

UoE Strategic Plan 2008-12

UoE Strategic goals

Excellence in learning and teaching

Excellence in research

Excellence in commercialisation and knowledge exchange

Scottish Government National Performance Framework

National outcomes

1. We live in a Scotland that is the most attractive place for doing business in Europe
2. We realise our full economic potential with more and better employment opportunities for people
3. We are better educated, more skilled and more successful, renowned for our research and innovation
4. Our young people are successful learners, confident individuals, effective contributors and responsible citizens
5. Our children have the best start in life and are ready to succeed
6. We live longer, healthier lives
7. We have tackled the significant inequalities in Scottish society
8. We have improved the life chances for children, young people and families at risk
9. We live our lives safe from crime, disorder and danger
10. We live in well-designed, sustainable places where we are able to access the amenities and services we need
11. We have strong, resilient and supportive communities where people take responsibility for their own actions and how they affect others
12. We value and enjoy our built environment and protect it and enhance it for future generations
13. We take pride in a strong, fair and inclusive national identity
14. We reduce the local and global environmental impact of our consumption and production
15. Our public services are high quality, continually improving,

UoE Strategic themes

Enhancing our student experience

Advancing intern'n

Engaging with our wider community

UoE Strategic themes

Promoting equality, diversity, sustainability and social responsibility

Building strategic partnerships and collaborations

Stimulating alumni relations and philanthropic giving

UoE Enablers

Quality People

Quality services

Quality infrastructure

Scottish Government National Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
1. We live in a Scotland that is the most attractive place for doing business in Europe	Excellence in research	• pioneer new and emerging areas of research across the boundaries of traditional disciplines • provide holistic solutions to important global challenges
	Excellence in commercialisation and knowledge exchange	• exploit ideas for commercial application • stimulate innovation and benefit the Scottish economy • increase our international profile in these activities
	Engaging with our wider community	• continue to collaborate and interact with individuals and organisations outside the University • develop mutually beneficial strategic partnerships with private sector organisations
	Building strategic partnerships and collaborations	• enhance our capacity and competitiveness • contribute more effectively to national and international priorities
2. We realise our full economic potential with more and better employment opportunities for our people	Excellence in commercialisation and knowledge exchange	• embed a culture of commercialisation and enterprise • exploit ideas for commercial application • maximise financial and other benefits arising from exchanging knowledge • stimulate innovation and benefit the Scottish economy
	Quality people	• recruit, reward, develop and retain high-performing staff • achieve a sustainable and diverse staffing profile which meets the University's needs • embed a positive performance culture which encourages and recognises success • support staff in ways that promote and sustain positive, productive and safe work environments
	Promoting equality, diversity, sustainability and social responsibility	• make the University an employer of choice for people from all backgrounds and one which recognises and respects diversity as a positive feature of the workplace
	Building strategic partnerships and collaborations	• enhance our capacity and competitiveness • contribute more effectively to national and international priorities
3. We are better educated, more skilled and more successful, renowned for our research and innovation	Excellence in learning and teaching	• contribute to the development of a high-skill economy in support of key national priorities • support our students in being proactive, independent and reflective learners • lead the development of e-learning to pioneer innovation in teaching and assessment methods
	Excellence in research	• maintain breadth in our research base • pioneer new and emerging areas of research across the boundaries of traditional disciplines • provide holistic solutions to important global challenges

Scottish Government National Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
	Excellence in commercialisation and knowledge exchange	• exploit ideas for commercial application • stimulate innovation and benefit the Scottish economy • increase our international profile in these activities
	Advancing internationalisation	• further raise the University's international profile and reputation
	Building strategic partnerships and collaborations	• position ourselves in order to create and seize opportunities at the frontiers of new knowledge • enhance our capacity and competitiveness
4. Our young people are successful learners, confident individuals, effective contributors and responsible citizens	Excellence in learning and teaching	• support our students in being proactive, independent and reflective learners
	Excellence in commercialisation and knowledge exchange	• increase the impact of our non-commercial knowledge exchange activities
	Enhancing our student experience	• provide accessible, user-friendly and well-publicised academic and personal support and guidance • equip students with the skills, experience and attitudes to be able to thrive, contribute and achieve their potential within the global community
	Advancing internationalisation	• create an enriched environment for the University community, contributing to the formation and advancement of global citizens
	Promoting equality, diversity, sustainability and social responsibility	• incorporate equality, diversity, sustainability and social responsibility perspectives into all our activities
5. Our children have the best start in life and are ready to succeed	Promoting equality, diversity, sustainability and social responsibility	• increase the proportion of students from under-represented groups admitted to, and successfully completing, a programme of study
6. We live longer, healthier lives	Excellence in research	• pioneer new and emerging ares of research across the boundaries of traditional disciplines • provide holistic solutions to important global challenges
	Excellence in commercialisation and knowledge exchange	• stimulate innovation and benefit the Scottish economy
	Quality people	• support staff in ways that promote and sustain positive, productive and safe work environments
	Enhancing our student experience	• promote student health, wellbeing and safety

| Scottish Government National Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
	Promoting equality, diversity, sustainability and social responsibility	• increase the proportion of students from under-represented groups admitted to, and successfully completing, a programme of study • increase the long-term social and environmental sustainability of our activities
7. We have tackled the significant inequalities in Scottish society	Promoting equality, diversity, sustainability and social responsibility	• incorporate equality, diversity, sustainability and social responsibility perspectives into all our activities • increase the proportion of students from under-represented groups admitted to, and successfully completing, a programme of study • make the University an employer of choice for people from all backgrounds and one which recognises and respects diversity as a positive feature of the workplace
	Stimulating alumni relations and philanthropic giving	• increase our financial contribution to equality of opportunity and widening participation initiatives
8. We have improved the life chances for children, young people and families at risk	Excellence in research	• provide holistic solutions to important global challenges
	Promoting equality, diversity, sustainability and social responsibility	• increase the proportion of students from under-represented groups admitted to, and successfully completing, a programme of study
9. We live our lives safe from crime, disorder and danger	Quality people	• support staff in ways that promote and sustain positive, productive and safe work environments
	Enhancing our student experience	• Promote student health, wellbeing and safety
	Promoting equality, diversity, sustainability and social responsibility	• incorporate equality, diversity, sustainability and social responsibility perspectives into all our activities
10. We live in well-designed, sustainable places where we are able to access the amenities and services we need	Quality people	• support staff in ways that promote and sustain positive, productive and safe work environments
	Quality infrastructure	• provide and enhance an estate capable of supporting world-class academic activity and meeting our business needs • have the resource capability to invest in our infrastructure in sustainable ways
11. We have strong, resilient and supportive communities where people take responsibility for their own actions and how they affect	Enhancing our student experience	• foster a sense of community within the student body and with staff
	Advancing internationalisation	• create an enriched environment for the University community, contributing to the formation and advancement of global citizens

Scottish Government National Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
others	Promoting equality, diversity, sustainability and social responsibility	• incorporate equality, diversity, sustainability and social responsibility perspectives into all our activities
	Stimulating alumni relations and philanthropic giving	• create lifelong relationships with students
12. We value and enjoy our built environment and protect it and enhance it for future generations	Quality infrastructure	• provide and enhance an estate capable of supporting world-class academic activity and meeting our business needs • have the resource capability to invest in our infrastructure in sustainable ways
13. We take pride in a strong, fair and inclusive national identity	Enhancing our student experience	• foster a sense of community within the student body and with staff
	Advancing internationalisation	• promote cultural and knowledge exchange between Scotland and the rest of the world • create an enriched environment for the University community, contributing to the formation and advancement of global citizens
14. We reduce the local and global environmental impact of our consumption and production	Quality infrastructure	• manage the use of space effectively • be responsive to technological, legal and regulatory change • have the resource capability to invest in our infrastructure in sustainable ways
	Promoting equality, diversity, sustainability and social responsibility	• increase the long-term social and environmental sustainability of our activities
15. Our public services are high quality, continually improving, efficient and responsive to local people's needs	Quality services	• ensure that our services meet customers' needs and are fast, friendly and fair • deliver services which are based on an objective analysis of institutional priorities and user needs • facilitate and permeate a 'can-do' attitude and a customer-focused culture • streamline and standardise processes wherever practicable
	Building strategic partnerships and collaborations	• secure more efficient use of resources

Mapping of University of Edinburgh Strategic Plan 2008-12 to the

**Scottish Funding Council's Corporate Plan 2009-12**

1. Background

The Scottish Funding Council for Further and Higher Education (SFC) published its most recent Corporate Plan covering the period 2009-12 in June 20095. The University of Edinburgh published its Strategic Plan for the period 2008-12 in September 2008. The structure of each of these documents is set out below.

Scottish Funding Council's
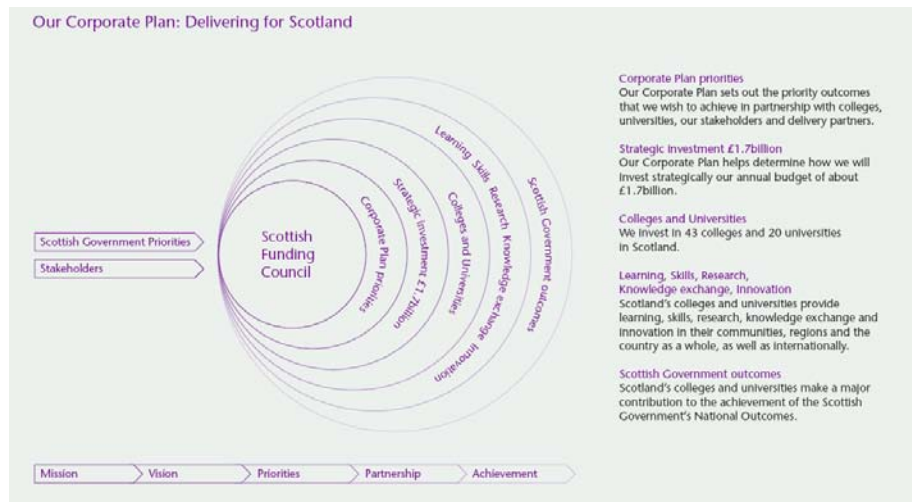
Corporate Plan

2009-12

University of Edinburgh's
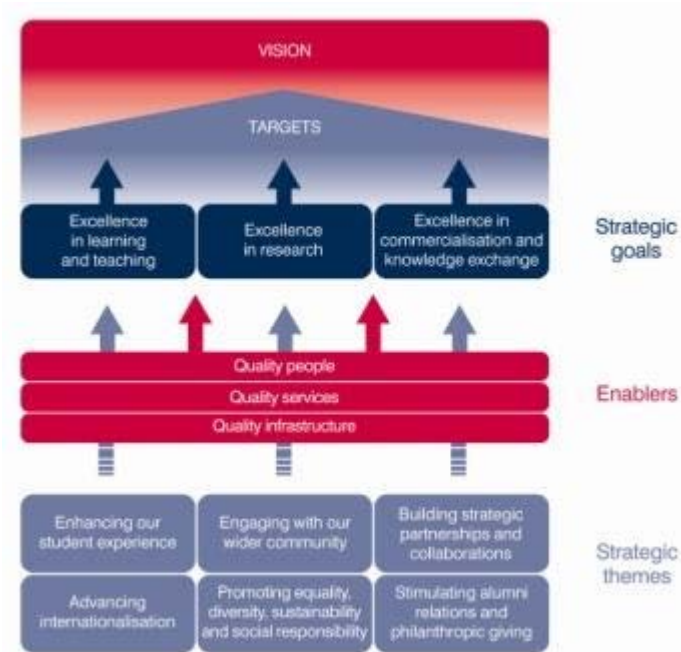
Strategic Plan

2008-12

The Chair of SFC states in his foreword that the '*Corporate Plan has been prepared in the wider context of the Government's National Performance Framework, and reflects guidance from Scottish Ministers on the outcomes they wish to see delivered from the significant public investment in further and higher education. None of the outcomes which are set out in this Plan can be delivered by the Council alone. All will require significant collaboration with other partners: colleges and universities, Scottish Government, other public bodies, and the third and private sectors.*' In addition, it is later stated that '*The Scottish Government has asked all public bodies to develop Corporate Plans which demonstrate alignment between their corporate objectives and the National Outcomes. These Plans should demonstrate how the strategic spending programmes of public bodies – both individually and collectively – are supporting the achievement of the outcomes.*'

Against this background, we have reviewed the University's current Strategic Plan against the content of SFC's Corporate Plan in order to demonstrate the significant contribution the University is making towards achievement of SFC's stated Outcomes. We previously undertook a similar mapping exercise to demonstrate the University's direct contribution towards achievement of the Scottish Government's National Outcomes – a paper presenting this review was finalised in April 2009[6] and is complementary to this paper.

One specific action identified under SFC's Outcome 7 (Effective colleges and universities) is for SFC to '*negotiate and agree outcome agreements which set out the outcomes that higher education institutions will deliver – in support of the [Scottish Government's] National Outcomes – in exchange for the public funding which the Council provides. In the first year of [SFC's] Plan, [they] intend to develop the scope of outcome agreements, the process for negotiating agreements and [to] begin negotiations on the first set of agreements*'. As at January 2010, no further information from SFC to confirm the scope and format of outcome agreements has yet been published. It is hoped, however, that this paper will provide useful preparatory background material to inform the development of the University of Edinburgh's first outcome agreement, whenever, and in whatever format, this is required.

2. Mission

In its Corporate Plan, SFC sets out its mission and vision as follows:

> **Mission**
>
> Our mission is to invest in the development of a coherent college and university system which, through enhanced learning, research and knowledge exchange, leads to improved economic, educational, social, civic, and cultural outcomes for the people of Scotland.
>
> **Vision**
>
> By the end of this Planning period our vision is for:
>
> - an enhanced level of confidence, self-reliance, motivation, knowledge, skills and capacities of all those who study at college or university – including an improved capacity for those skills to be utilised effectively;
> - colleges and universities that are part of a coherent system of lifelong learning in Scotland with improved access for students to, and progression through, further and higher education – based upon ability to learn;
> - improved knowledge exchange between universities and colleges on the one hand, and business and the public and third sectors on the other;

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[6] http://www.planning.ed.ac.uk/edin/Strategic_Planning/2008-12/MappingSplantoScotGovtPerfFwork.rtf

- enhanced and more effective relationships between colleges and universities and Scotland's priority industries;
- recognised specialism and diversity of mission among colleges and universities which provides greater choice and opportunity for students and other stakeholders;
- greater collaboration between colleges and universities which improves provision for students, delivers internationally competitive research, and drives efficiency and eliminates unnecessary duplication;
- a broad base of sustainable world-class research with high quality research taking place in all higher education institutions; and
- universities and colleges that are recognised as exemplars in the sustainable use of their resources and their commitment to sustainable development.

Whilst being set in a more outward-looking global context, and being written from the perspective of a single institution rather than part of 'a coherent system of lifelong learning', the University's Vision and Mission are not inconsistent with those set out by SFC.

Our Vision

To shape the future by attracting and developing the world's most promising students and outstanding staff.

Our Mission

The mission of our University is the creation, dissemination and curation of knowledge. As a world-leading centre of academic excellence we aim to:

- *enhance our position as one of the world's leading research and teaching universities and to measure our performance against the highest international standards*
- *provide the highest quality learning and teaching environment for the greater wellbeing of our students and deliver an outstanding educational portfolio*
- *produce graduates fully equipped to achieve the highest personal and professional standards*
- *make a significant, sustainable and socially responsible contribution to Scotland, the UK and the world, promoting health and economic and cultural wellbeing.*

3. Strategic Themes and Outcomes

SFC's Corporate Plan is structured around five strategic themes (governance and leadership, quality and enhancement, global engagement, sustainable development, and equalities), which underpin the Plan and take the form of brief statements about SFC's beliefs, priorities and commitments, plus 7 outcomes, with bullet point actions required to achieve these.

Edinburgh's contribution to the achievement of the outcomes, as set out in our Strategic Plan 2008-12 objectives7, is presented in Appendix 2. From the table in Appendix 2, it can be seen

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[7] Each of the University's 3 goals, 3 enablers and 6 strategic themes are structured around an aim and series of objectives, strategies and targets. For the purposes of this mapping exercise we have focused our attention on our objectives, principally as these are expected to remain essentially the same over time, whereas the strategies and targets are expected to be modified in response to changes in the external and internal environments. The objectives represent the 'what' of what we want to achieve through our strategic plan.

that, for all of SFC's outcomes, there exists at range of complementary objectives in the University's Strategic Plan. The same contextual difference noted between our plan and the Scottish Government's Performance Framework is again evident – whereas our plan is set firmly in a global context with many references to our international position and aspirations, the Government's, and hence SFC's, framework have a more local, Scottish, focus.

4. Performance measurement and Operational Plan

When its Corporate Plan was published, SFC stated its intention to work with the Scottish Government and other partners to develop and publish a comprehensive, performance measurement framework that would allow assessment of the effectiveness of the Plan over time. It was also stated that SFC's Plan would be underpinned by an annual Operational Plan, which would provide more detail about how SFC intended to achieve its outcomes and undertake its key business functions. SFC has indicated that it is progressing these, with further information, and opportunities to comment on draft indicators, anticipated in spring 2010.

SFC states that its Corporate Plan is a high-level strategy document which sets out the outcomes that we wish to achieve in partnership with colleges, universities, our stakeholders and delivery partners. This paper demonstrates the University of Edinburgh's significant contribution towards the achievement of these outcomes.

Alexis Cornish, Director of Planning and Deputy Secretary
Rona Smith, Senior Strategic Planner

UoE Strategic Plan 2008-12

UoE Strategic goals

Excellence in learning and teaching	Excellence in research	Excellence in commercialisation and knowledge exchange

Scottish Funding Council Corporate Plan 2009-12

Outcomes

UoE Strategic themes

Enhancing our student experience

Advancing intern'n

Engaging with our wider community

1. Employability and skills

2. Access, inclusion and progression

3. Knowledge exchange

4. Specialism and diversity

5. Collaboration

6. World class research

7. Effective colleges and universities

UoE Strategic themes

Promoting equality, diversity, sustainability and social responsibility

Building strategic partnerships and collaborations

Stimulating alumni relations and philanthropic giving

UoE Enablers

Quality People

Quality services

Quality infrastructure

SFC Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
Outcome 1. Employability and skills		
Working with Scotland's colleges, universities and other partners, we will seek a system of further and higher education in which, through the provision of high quality education and learning, students have enhanced their general and specific skills, their confidence, self-reliance, motivation, knowledge and capacities in ways that: • meet the needs of employers in Scotland, the rest of the UK and internationally, and which address the particular economic demands of this Plan period; • lead to an improved utilisation of skills in the workplace; and • contribute to improved personal, social, civic and cultural outcomes for the people of Scotland	Excellence in learning and teaching	• enhance the student learning experience, prioritising improvements in assessment and feedback • continue to enhance the quality of, and breadth and diversity in, our teaching provision • use our strengths in research to underpin how and what we teach • **contribute to the development of a high-skill economy in support of key national priorities** • support our students in being proactive, independent and reflective learners • lead the development of e-learning to pioneer innovation in teaching and assessment methods
	Excellence in commercialisation and knowledge exchange	• embed a culture of commercialisation and enterprise • **stimulate innovation and benefit the Scottish economy**
	Enhancing our student experience	• provide more inclusive and extensive social, recreational and sports facilities • **equip students with the skills, experience and attitudes to be able to thrive, contribute and achieve their potential within the global community** • promote student health, wellbeing and safety • foster a sense of community within the student body and with staff
	Promoting equality, diversity, sustainability and social responsibility	• **incorporate equality, diversity, sustainability and social responsibility perspectives into all our activities** • increase the proportion of students from under-represented groups admitted to, and successfully completing, a programme of study • increase the long-term social and environmental sustainability of our activities
	Building strategic partnerships and collaborations	• **contribute more effectively to national and international priorities**
	Advancing internationalisation	• further raise the University's international profile and reputation • promote cultural and knowledge exchange between Scotland and the rest of the world • **create an enriched environment for the University community, contributing to the formation and advancement of global citizens**
	Engaging with our wider community	• play a leading role in enhancing public understanding of educational, scientific and cultural developments • make our resources and expertise widely available • **continue to collaborate and interact with individuals and organisations outside the University**

SFC Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
Outcome 2. Access, inclusion and progression		
Working with Scotland's colleges, universities and other partners, we will seek – within the wider learning environment in Scotland, including the context of Curriculum for Excellence – a continuum of learning provision into, within and between colleges and universities which: • has multiple entry and exit points – fully mapped on to the SCQF – and which provides access to and progression through learning opportunities in ways, times and places that meet individuals' needs, including the particular needs of people seeking work in the economic downturn; • allows individuals over time to develop their skills and capacities for learning without the need for unnecessary repeated study; • is underpinned by a system of financial support for students that targets support where it is most needed, so that, as far as is practicable, opportunities to learn are determined solely by a person's capacities and ambition; and • continues to address uneven patterns of participation in education and promotes equality and diversity.	Excellence in learning and teaching	• **support our students in being proactive, independent and reflective learners** • lead the development of e-learning to pioneer innovation in teaching and assessment methods
	Enhancing our student experience	• **provide accessible, user-friendly and well-publicised academic and personal support and guidance** • **improve administrative processes for student services so that they continue to respond to student needs** • provide more inclusive and extensive social, recreational and sports facilities • **equip students with the skills, experience and attitudes to be able to thrive, contribute and achieve their potential within the global community** • promote student health, wellbeing and safety • foster a sense of community within the student body and with staff
	Promoting equality, diversity, sustainability and social responsibility	• **incorporate equality, diversity, sustainability and social responsibility perspectives into all our activities** • **increase the proportion of students from under-represented groups admitted to, and successfully completing, a programme of study** • make the University an employer of choice for people from all backgrounds and one which recognises and respects diversity as a positive feature of the workplace • increase the long-term social and environmental sustainability of our activities • comply with and, where possible, exceed the requirements of relevant legislation
	Building strategic partnerships and collaborations	• **contribute more effectively to national and international priorities** • secure more efficient use of resources
	Stimulating alumni relations and philanthropic giving	• **increase our financial contribution to equality of opportunity and widening participation initiatives**

SFC Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
Outcome 3. Knowledge Exchange		
Working with Scotland's colleges and universities, and our key delivery partners, we will aim to achieve: • an effective, demand-driven exchange of knowledge and expertise with business and public and third sector organisations, which enhances competitiveness and promotes economic growth; • the formation of new knowledge-based businesses; • easy access for small and medium-sized enterprises (SMEs) to the facilities and services of colleges and universities; and • continued investment in Scotland to exploit knowledge, develop solutions, and demonstrate applications.	Excellence in research	• maintain breadth in our research base • pioneer new and emerging areas of research across the boundaries of traditional disciplines • provide holistic solutions to important global challenges • increase our research income
	Excellence in commercialisation and knowledge exchange	• **embed a culture of commercialisation and enterprise** • **exploit ideas for commercial application** • **maximise financial and other benefits arising from exchanging knowledge** • increase the impact of our non-commercial knowledge exchange activities • **stimulate innovation and benefit the Scottish economy** • increase our international profile in these activities
	Quality infrastructure	• **generating surpluses for reinvestment** • **securing investment from external sponsors**
	Enhancing our student experience	• equip students with the skills, experience and attitudes to be able to thrive, contribute and achieve their potential within the global community
	Advancing internationalisation	• further raise the University's international profile and reputation • **promote cultural and knowledge exchange between Scotland and the rest of the world**
	Engaging with our wider community	• play a leading role in enhancing public understanding of educational, scientific and cultural developments • influence policy makers • make our resources and expertise widely available • continue to collaborate and interact with individuals and organisations outside the University • **develop mutually beneficial strategic partnerships with private sector corporations** • promote awareness of, and support for, the University
	Building strategic partnerships and collaborations	• position ourselves in order to create and seize opportunities at the frontiers of new knowledge • **reinforce and develop our strengths and areas of expertise** • **enhance our capacity and competitiveness** • **contribute more effectively to national and international priorities** • secure more efficient use of resources

SFC Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
Outcome 4. Specialism and diversity		
Working with Scotland's colleges and universities, we will seek a structure of autonomous institutions that, through specialism and diversity of mission, provides students, researchers, research investors, businesses and other stakeholders with a broad and comprehensive range of opportunities for learning, research and knowledge exchange.	Excellence in learning and teaching	• **continue to enhance the quality of, and breadth and diversity in, our teaching provision** • **use our strengths in research to underpin how and what we teach** • lead the development of e-learning to pioneer innovation in teaching and assessment methods
	Excellence in research	• **maintain breadth in our research base** • **pioneer new and emerging areas of research across the boundaries of traditional disciplines** • **provide holistic solutions to important global challenges**
	Excellence in commercialisation and knowledge exchange	• stimulate innovation and benefit the Scottish economy • **increase our international profile in these activities**
	Quality people	• recruit, reward, develop and retain high-performing staff • develop a strong international focus and awareness in all of our staff
	Enhancing our student experience	• equip students with the skills, experience and attitudes to be able to thrive, contribute and achieve their potential within the global community • **foster a sense of community within the student body and with staff**
	Advancing internationalisation	• further raise the University's international profile and reputation • promote cultural and knowledge exchange between Scotland and the rest of the world • create an enriched environment for the University community, contributing to the formation and advancement of global citizens
	Engaging with our wider community	• play a leading role in enhancing public understanding of educational, scientific and cultural developments • influence policy makers • make our resources and expertise widely available • continue to collaborate and interact with individuals and organisations outside the University • **develop mutually beneficial strategic partnerships with private sector corporations** • **promote awareness of, and support for, the University**

SFC Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
	Building strategic partnerships and collaborations	• **position ourselves in order to create and seize opportunities at the frontiers of new knowledge** • **reinforce and develop our strengths and areas of expertise** • enhance our capacity and competitiveness • contribute more effectively to national and international priorities • secure more efficient use of resources
	Stimulating alumni relations and philanthropic giving	• **build a more informed and engaged community of support** • **create lifelong relationships with students** • **enhance our ability to enable our staff and students to think big, long-term and across discipline boundaries** • increase our financial contribution to equality of opportunity and widening participation initiatives • embed fundraising into the conduct, planning and culture of academic business at all levels across the University

SFC Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
Outcome 5. Collaboration		
Working with Scotland's colleges and universities, we will support academic or institutional collaboration in different forms – whether on a geographical, subject, sectoral/cross-sectoral or other basis – where the end is to secure accessible, coherent, efficient and effective provision, internationally competitive research, and the efficient and effective operation of colleges and universities.	Excellence in research	• maintain breadth in our research base • pioneer new and emerging areas of research across the boundaries of traditional disciplines
	Quality services	• promote professional development and responsible resource management • **streamline and standardise processes wherever practicable**
	Quality infrastructure	• manage the use of space effectively
	Advancing internationalisation	• promote cultural and knowledge exchange between Scotland and the rest of the world
	Engaging with our wider community	• **make our resources and expertise widely available** • **continue to collaborate and interact with individuals and organisations outside the University** • **develop mutually beneficial strategic partnerships with private sector corporations** • promote awareness of, and support for, the University
	Building strategic partnerships and collaborations	• position ourselves in order to create and seize opportunities at the frontiers of new knowledge • reinforce and develop our strengths and areas of expertise • **enhance our capacity and competitiveness** • contribute more effectively to national and international priorities • **secure more efficient use of resources**
	Stimulating alumni relations and philanthropic giving	• enhance our ability to enable our staff and students to think big, long-term and across discipline boundaries

SFC Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
Outcome 6. World-class research		
Working with Scotland's universities, we will support a research base that: • remains highly competitive internationally; • nurtures, attracts and supports world-class and internationally excellent researchers in Scotland; and • attracts high levels of project support from research councils, charities, business and the public sector	Excellence in learning and teaching	• use our strengths in research to underpin how and what we teach
	Excellence in research	• **maintain breadth in our research base** • **pioneer new and emerging areas of research across the boundaries of traditional disciplines** • **provide holistic solutions to important global challenges** • **increase our research income**
	Quality people	• **recruit, reward, develop and retain high-performing staff** • develop a strong international focus and awareness in all of our staff
	Quality infrastructure	• provide and enhance an estate capable of supporting world-class academic activity and meeting our business needs
	Advancing internationalisation	• **further raise the University's international profile and reputation** • create an enriched environment for the University community, contributing to the formation and advancement of global citizens
	Engaging with our wider community	• continue to collaborate and interact with individuals and organisations outside the University • develop mutually beneficial strategic partnerships with private sector corporations • **promote awareness of, and support for, the University**
	Building strategic partnerships and collaborations	• position ourselves in order to create and seize opportunities at the frontiers of new knowledge • **reinforce and develop our strengths and areas of expertise** • **enhance our capacity and competitiveness** • contribute more effectively to national and international priorities • secure more efficient use of resources
	Stimulating alumni relations and philanthropic giving	• build a more informed and engaged community of support • enhance our ability to enable our staff and students to think big, long-term and across discipline boundaries • embed fundraising into the conduct, planning and culture of academic business at all levels across the University

SFC Outcomes	Corresponding UoE strategic goals, enablers and themes	Corresponding UoE objectives
Outcome 7. Effective colleges and universities		
We will support the development of college and university sectors with well led and run, financially sound colleges and universities which meet all the legal and other requirements placed upon them, including those relating to employment, diversity, equality and sustainability.	Quality people	• **support and cultivate an ethos of high-quality leadership and management** • **achieve a sustainable and diverse staffing profile which meets the University's needs** • **embed a positive performance culture which encourages and recognises success** • support staff in ways that promote and sustain positive, productive and safe work environments
	Quality services	• ensure that our services meet customers' needs and are fast, friendly and fair • **deliver services which are based on an objective analysis of institutional priorities and user needs** • **promote professional development and responsible resource management** • facilitate and permeate a 'can-do' attitude and a customer-focused culture • **utilise our professional expertise** • **streamline and standardise processes wherever practicable**
	Quality infrastructure	• provide and enhance an estate capable of supporting world-class academic activity and meeting our business needs • manage the use of space effectively • ensure business continuity as estates programmes are progressed • **be responsive to technological, legal and regulatory change** • ensure that our equipment and IT infrastructure is modern, well maintained and put to best use • **have the resource capability to invest in our infrastructure in sustainable ways**
	Promoting equality, diversity, sustainability and social responsibility	• **incorporate equality, diversity, sustainability and social responsibility perspectives into all our activities** • increase the proportion of students from under-represented groups admitted to, and successfully completing, a programme of study • **make the University an employer of choice for people from all backgrounds and one which recognises and respects diversity as a positive feature of the workplace** • **increase the long-term social and environmental sustainability of our activities** • **comply with and, where possible, exceed the requirements of relevant legislation**
	Building strategic partnerships and collaborations	• enhance our capacity and competitiveness • **secure more efficient use of resources**
	Stimulating alumni relations and philanthropic giving	• increase our financial contribution to equality of opportunity and widening participation initiatives

University of Edinburgh Court
24 May 2010
Corporate Performance Measurement: Proposal

1. Background

- The University introduced a Balanced Scorecard performance measurement tool in 2002/03. This is comprised of 32 indicators which are evenly distributed across 4 perspectives: organisational development, financial, stakeholder and internal business. Some indicators have been changed, however most remain as per the original scorecard.

- The University's current Strategic Plan 2008-12 is structured around 3 goals, which represent our business, 3 enablers which represent what we need to deliver in order to achieve our strategic goals, and 6 strategic themes which direct our approach to achieving these goals. Via the achievement of 33 targets, the aim of these goals, enablers and themes is to realise the University's Vision.

- Indicators and targets are complementary for performance monitoring:
  - Indicators are numbers or ratios which can show relative change over time.
  - Quantitative targets are values we would like indicators to achieve by a given time.
  - Some indicators are monitored without there being a specific target (e.g. female percentage of new academic appointments).
  - Some (qualitative) targets are not based on a numerical indicator.

2. Drivers for change

We now feel that there is room to consolidate and improve on the current dual corporate performance measurement systems which have been developed around the Balanced Scorecard indicators and the Strategic Plan targets:

- The prominence of the University's Strategic Plan has increased significantly since we moved to a 4 year strategic planning cycle in 2004. The structure and contents of the plan are now fully integrated with the annual planning process and the Strategic Plan is now widely understood to be the cornerstone around which longer-term cross-cutting University strategies must be developed.

- Although the Balanced Scorecard was reviewed in 2006, in the context of the Strategic Plan 2004-08, and its indicators were mapped to the then Strategic Plan, the reporting process and timing are not synchronised with those for the Strategic Plan targets. In addition, it is not always straightforward to articulate the connections, and differences, between the two performance measurement systems.

- As set out in the JISC Strategy InfoKit, to which Edinburgh provided input as an expert reviewer: 'One of the key roles of Key Performance Indicators (KPIs) is to give substance to the high level aspirations outlined in the organisation's strategic documents and in doing so to make them both more tangible to those who must make progress towards them and those whose job it is to measure progress. As such, it is important that the KPIs developed stem directly from these other strategic plans and statements and do not operate separately and in parallel to them.'

- Particularly in the current economic and political climate, there is a growing need to clearly articulate our performance in the context of our Risk Register and, in the context of forthcoming Outcome Agreements, the Government's National Planning Framework plus the Scottish Funding Council's Corporate Plan.

- Prompted in part by the various Committee of University Chairmen (CUC) reports on this subject, members of Court are taking a greater role in directing strategy and are

looking for more clearly structured and regular means of ascertaining the University's performance across a range of measures.

3. Proposal

Taking all of the above into account, our proposal is as follows:

Corporate Performance Measurement system

- Bring existing indicators and targets together to form a single set, with each individual measure categorised/tagged according to its correspondence with: the Strategic Plan goals, enablers and strategic themes; the Balanced Scorecard perspectives; the Government's Outcomes; the risks set out in the Risk Register and any other relevant planning frameworks.
- Develop a single corporate performance measurement report to present high level performance in a way in which users can interact with the report to get the presentation most suitable for their purpose: the report should be able to be sorted by any one of the above dimensions (i.e. the headings below), or indeed by performance category, and be able to be presented at its highest level on a single page, as per the following illustration:

Indicator	Target	Strategic Plan goal/ enabler/ theme	Balanced Scorecard perspective	Scottish Government National Outcome	Risk	Other dimensions as appropriate/ relevant	Performance Category
Indicator A	remain above Russ Gp median	Excellence in research	Stakeholder	9	1		🔺
Indicator B	increase by X% by 2012	Quality infrastructure	Organisational Development	4	4		🔻
Indicator C	-	Enhancing our student experience	Financial	7	8		▬
etc							

- Ensure we retain the ability to present our performance in the form of a 'Balanced Scorecard' such that the interconnections between measures can be detected and the ability to 'balance' measures across the 4 perspectives is preserved.
- For each indicator and target, develop the necessary background supporting information covering the what, why, who, how often, etc.
- Implement a robust traffic light/arrow style approach to reporting performance, underpinned by careful consideration, measure by measure, of what constitutes improving, unchanged, or deteriorating performance (or whatever terms are adopted) – if deemed appropriate, model this around Government's Performance Framework.
- Present the main performance report, as per the current Strategic Plan targets report, once a year in October, as a lead-in to the annual planning round. However, aim to update data as these become available on a year-round rolling basis, to allow more

frequent engagement by users within (and outwith?) the University, with drill-down where possible, and targeted/more frequent reporting on specific areas as required.

Indicators and targets

- Include all 33 targets in the current Strategic Plan (the targets will be reviewed and refreshed, as with all of the Strategic Plan, as part of the process for producing the next Strategic Plan).

- Undertake targeted consultation to determine which of the 32 indicators in the current Balanced Scorecard should be retained, which dropped, and which new ones introduced. Complete this work in the context of recently completed exercises to map the University's Strategic Plan to the Government's National Performance Framework and SFC's Corporate Plan, as well as in the context of the developing Outcome Agreements, the University's Risk Register and other high-level University strategies.

- Consider for each indicator whether it is appropriate to set a target/direction of travel/rate of progress, to assist in the process of determining parameters for reporting performance. Complete the same process for targets, paying particular attention to those which are qualitative.

- Consider whether any of the indicators contained with Edinburgh's international benchmarking project undertaken with Melbourne University and UBC merit inclusion.

4. Next steps

- Consult with Court on the proposed approach
- Consult with key stakeholders and data providers on indicators to retain/include
- Develop full prototype for main report plus underlying 'background/supporting info' pages per indicator/target
- Present full finalised proposals to PSG, CMG, FGPC and Court for approval

PSG, CMG and FGPC have endorsed the above approach. It was PSG's view, supported by CMG and FGPC, that the University should review the current 32 indicators, with a view to moving to around 12 high-level indicators, with possible supporting sub-indicators.

Court is invited to comment on the proposal.

Alexis R Cornish, Director of Planning and Deputy Secretary/Rona Smith, Senior Strategic Planner

Governance and Strategic Planning

13 May 2010

Examples of <u>draft</u> Performance Category Parameters for 3 Strategic Plan targets

Target 1.4 increase our headcount of taught postgraduate students by 50 per cent

INTERIM REPORTS	▲	Applies where the additional headcount per year since the baseline year exceeds the remaining headcount per year required to meet the target, by 5% or more
	▬	Applies where the additional headcount per year is within +/-5% of the remaining headcount per year required to meet the target
	▼	Applies where the additional headcount per year is greater than 5% less than the remaining headcount per year required to meet the target

FINAL REPORT	▲	Applies where our headcount of taught postgraduate students equals or exceeds 5,744 at 31 July 2012
	▬	Does not apply
	▼	Applies where our headcount of taught postgraduate students is less than 5,744 at 31 July 2012

Target 2.3 double the recorded number of skills training and development opportunities taken up by postgraduate research students

INTERIM REPORTS	▲	Applies where the additional number of skills training and development opportunities (opportunities) taken up per year exceeds the remaining opportunities per year required to meet the target, by 5% or more
	▬	Applies where the additional opportunities per year is within +/-5% of the remaining opportunities per year required to meet the target
	▼	Applies where the additional opportunities per year is greater than 5% less than the remaining opportunities per year required to meet the target

FINAL REPORT	▲	Applies where the number of skills training and development opportunities taken up by postgraduate research students in 2011/12 is equal to or greater than 5,592
	▬	Does not apply
	▼	Applies where the number of skills training and development opportunities taken up by postgraduate research students in 2011/12 is less than 5,592

Target 12.2 raise £35 million through fundraising for scholarships as part of the Edinburgh Campaign

INTERIM REPORTS	▲	Applies where the amount raised per year since the baseline year exceeds the remaining amount per year required to meet the target, by 5% or more
	▬	Applies where the amount raised per year is within +/-5% of the remaining amount per year required to meet the target
	▼	Applies where the amount raised per year is greater than 5% less than the remaining amount per year required to meet the target

FINAL REPORT	▲	Applies where we have raised a minimum of £35 million by 2011
	▬	Does not apply
	▼	Applies where we have raised less than £35 million by 2011