

hefcw



**HEFCW**

**Evaluation of the impact of the merger of Cardiff University and  
the University of Wales College of Medicine**

**FINAL REPORT**

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## Contents

1. Executive summary.....	3
2. Context and terms of reference.....	5
3. Progress relating to research (Aim 1).....	8
4. Progress relating to learning and teaching, and training (Aim 2) .....	15
5. Progress relating to Welsh specific outcomes (Aim 3).....	18
6. Progress relating to the working environment for staff and students (Aim 4) ....	21
7. Lessons learnt and good practice .....	26
Appendix A. Consultees .....	33
Appendix B. Key strategic outcomes and objectives .....	34
Appendix C. Analysis of Cardiff RAE 2008 by UoA .....	54
Appendix D. Cardiff University: Research Awards and Research Income.....	57
Appendix E. Document Schedule .....	59
Appendix F. Analysis of student satisfaction by subject area.....	64
Appendix G. Comparison of merger lessons across the sector .....	65

We wish to express our thanks to the staff of the university and HEFCW who contributed of their time and insights to this review.

## 1. Executive summary

The merger between Cardiff University and the University of Wales College of Medicine (UWCM) was initiated in 2003. This report (prepared in the course of April 2010) has been prepared for the Higher Education Funding Council for Wales (HEFCW) in order to:

- Assess whether the planned key strategic outcomes of the merger have been achieved.
- Assess the extent to which, post-merger, the harmonised policies, procedures, and systems are working successfully.
- Identify any general lessons and good practice for institutions in the development and delivery of Reconfiguration and Collaboration partnerships, and in particular, the merger of HEIs.

The detailed findings are set in sections 3-7. In brief, our overall conclusion is that many of the key strategic outcomes for the merger have been or are close to being achieved and that overall the process and outcome of merger may be judged a success. In particular the merger has:

- Led to the formation of a much more resilient and sustainable institution with a shared identity and common strategy.
- Enabled an ongoing programme of major capital investment in research infrastructure the scale and scope of which would not otherwise have been possible for either HEI.
- Led to enhanced interdisciplinary research and collaboration.
- Secured and developed the provision of teaching and research in medical and related disciplines that would otherwise have been very challenging to maintain had the original institutional configuration been maintained.
- Contributed significantly to the retention and further investment in key areas of academic medical research and teaching within Wales. Research excellence is particularly notable in Psychiatry, Neuroscience and Clinical Psychology, Primary Care, other Hospital Based Clinical Subjects and Dentistry.

What has clearly been a major challenge are achieving the targets originally set for overall research performance (for example 'having a place in the top 5 HEIs in the UK') and securing target levels of income. Whilst research income has grown significantly since merger these were clearly 'stretch' targets set in a much more benign economic climate. The available data leads us to doubt whether they are now achievable (and indeed they have since been recast by the university).

There also remain several ongoing challenges to be tackled if the benefits of merger are to be fully realised. These include the need for the university to:

- Address an underlying unevenness in research excellence across Units of Assessment (UoA) as reported through the outcomes of the 2008 RAE. Four

UoA's that derived from the UWCM (Cancer Studies, Nursing and Midwifery, Infection and Immunology and Cardiovascular) performed relatively poorly when compared to the rest of the UK.

- Continue efforts to improve key aspects of the student experience especially in Medicine and Dentistry which (according to the National Student Survey (NSS)) has the second lowest level of student satisfaction in the UK.

The university is clearly alive to these issues and we have seen evidence of it having put in place processes to address them. It is also important to recognise that neither can be considered to have arisen as a result of the merger – Medical and Dentistry student satisfaction in particular is a legacy issue demanding a sustained effort if improvement is to be secured. Nevertheless they remain important issues for Cardiff to tackle. Doing so will further enhance the sustainability, quality and resilience of the merged institution.

Whilst not wishing to diminish the importance of these challenges (neither of which are unique to Cardiff) we are clear that overall the progress of the merger has been effectively managed and many of the anticipated benefits realised. Many valuable insights and lessons have also been learned through the process and we have particularly sought to distil these and insights from other institutional mergers in recent years. Key amongst these (see commentary in section 7) are:

- Strong and aligned leadership being a critical foundation for success.
- The importance of there being a strong 'educational case' for merger - as was found in the clear strategic fit between these two institutions.
- The criticality of effective and targeted communication encompassing staff, students and other stakeholders and the necessity of developing a sophisticated strategy in this regard.
- The need to engage and support students through the transition especially where there is the need to address real differences in curricula.
- Early agreement to a new senior management structure.
- The need for establishing a robust framework for managing the change process including the many activities required in the course of post-merger - with a focus upon benefits realisation being an important feature.

We recommend HEFCW draw on our full commentary in enhancing and promoting debate and reflection across the sector on the many issues raised by HEI merger.

## **2. Context and terms of reference**

### **2.1. Background and purpose of the merger**

Cardiff University and the University of Wales College of Medicine (UWCM) initiated merger in 2003, coming together formally in January 2005 as Cardiff University. The process involved the harmonisation of policies, procedures, ICT and other systems, and was largely complete by March 2006.

Some £15m of the circa £60m costs of the merger were met from HEFCW's Reconfiguration and Collaboration Fund. As part of the conditions of this support, a summative evaluation was to be completed five years on from the merger to assess the success of this, identify lessons learnt and good practice – the completion of this report satisfies this commitment.

During the process of securing funding via the Reconfiguration and Collaboration Fund, four strategic aims for the merger were agreed between the two Higher Education Institutions (HEIs), the Welsh Assembly Government (WAG) and HEFCW:

- Aim 1: To pursue research that is recognised as internationally distinguished in its quality and impact.
- Aim 2: To pursue learning and teaching together with professional training and development that are recognised as internationally distinguished in their quality and impact.
- Aim 3: To benefit society through making a significant and sustainable contribution to the health, economy, education and culture of Wales, thereby enriching and enhancing the profile of Wales in the UK and the world.
- Aim 4: To create an environment in which staff and students can achieve their full potential and within which intellectual and creative life can flourish.

The aims of the merger were summarised by a mission statement:

*“To pursue research, learning and teaching of international distinction for the benefit of Wales and the wider world.”*

### **2.2. Higher Education in Wales**

This review has been completed in an economic environment which differs greatly from that in 2003 when the merger of Cardiff University and the UWCM was initiated. Constraints upon public funding and recessionary trends are evident and are directly impacting upon the HE sector. One effect of this relevant to the review has been to further stimulate interest and consideration of the merits of collaboration and merger in higher education across the UK – amongst institutions, officials and politicians.

However collaboration between Higher Education Institutions in Wales has been the focus of active policy development for many years - it is not a new phenomena.

The Welsh Assembly Government published *Reaching Higher* in 2002 as a strategy for higher education in Wales to 2010 which identified various challenges for the sector, including the disproportionately large number of small HEIs in Wales (citing that Wales had a population of 3 million, and 13 HEIs, compared with Scotland's

population of 5 million and 14 HEIs). HEFCW's Reconfiguration and Collaboration Fund was launched shortly thereafter with the objective of supporting *"the reshaping of the sector in the interests of achieving major performance gains and enhanced competitiveness."*

In January 2009 the Wales Audit Office published a report investigating outcomes of collaboration projects in Wales. The report summarises that *'Some higher education institutions are engaging in successful collaboration projects, but overall there is room for improvement and in some areas there has been only limited progress.'* the report made a number of recommendations to the HEFCW including making the lessons learnt from collaboration to date more widely available.

The *Reaching Higher* strategy was superseded by *For Our Future*<sup>1</sup> published in November 2009 which sets out plans for how the HE system in Wales will enhance social justice and economic performance. Collaboration and merger continue to have a high profile:

*"We expect to see proposals emerging for further reconfiguration of the HE sector as a result of the realignment of funding, including institutional mergers and collaborations where this will underpin strength, capacity, and availability of high quality higher education."*

In December 2009 the Welsh Assembly Government Performance and Governance Unit published a report of the HEFCW governance review which took place in the summer of 2009<sup>2</sup>. The report includes a section commenting on HEFCW's governance in the context of 'fostering innovative delivery', including reconfiguration and collaboration, and reported a message from the higher education sector in Wales that reconfiguration and collaboration is still needed, but that this requires a strategic framework which takes note of regional contexts in Wales. Further reflections in this report include the suggestions that HEFCW may wish to consider wider dissemination of good practice relating to reconfiguration and collaboration, and further demonstration of the benefits of such activity.

The importance of collaboration is further reinforced in HEFCW's March 2010 remit letter which proposes increasing the Welsh share of the UK higher education research funding through greater collaboration amongst research intensive Welsh HEIs and introducing a regional planning and delivery system including *'tangible collaboration in back office services'* and *'eradication of unnecessary competition and duplication'*.

### **2.3. Terms of reference**

From the above it can be seen that this review of the merger of Cardiff and UWCM is both topical and timely. Its terms of reference are to:

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<sup>1</sup> <http://wales.gov.uk/docs/dcells/publications/091214hestrategyen.pdf>

<sup>2</sup>

[http://www.hefcw.ac.uk/documents/council\\_and\\_committees/council\\_papers\\_and\\_minutes/2010/10%2002%20governance%20review%20report%20annex.pdf](http://www.hefcw.ac.uk/documents/council_and_committees/council_papers_and_minutes/2010/10%2002%20governance%20review%20report%20annex.pdf)

- Assess whether the planned key strategic outcomes of the merger have been achieved and the extent to which, post-merger, the harmonised policies, procedures, and systems are working successfully (addressed in sections 3-6).
- Identify any general lessons and good practice for institutions in the development and delivery of Reconfiguration and Collaboration partnerships, and in particular, the merger of HEIs (addressed in section 7).

Our approach to meeting these requirements has comprised semi-structured interviews with relevant HEFCW and Cardiff University staff supported by a detailed desk review of salient reports and data sets provided by the Council and university. We have also conducted some limited research into the experiences and lessons learned from mergers involving other HEIs.

The next sections examine the progress that has been made towards achieving each of the four aims of the merger.

### **3. Progress relating to research (Aim 1)**

#### **3.1. Overview**

A key expectation relating to the impact of the merger was that the research portfolio of the new institution would be substantively enhanced. Four key strategic outcomes were cited in this regard:

- Achieve and maintain a place in the top 5 UK universities.
- Maintain and further develop a research infrastructure that will encourage and support research of the highest quality.
- Encourage, promote and monitor collaborative and interdisciplinary research.
- Secure a balanced research portfolio.

We explore each of these below.

#### **3.2. A place in the top 5 UK universities**

The objective of achieving a 'place in the top 5 UK universities' was set to occur by the 'Research Assessment Exercise (RAE) round after next' which equates to the 'Research Excellence Framework'<sup>3</sup> currently scheduled for 2012. Whilst it is not therefore possible to draw any conclusion as to whether this objective has been achieved progress towards its realisation can be examined.

The ranking published by the Times Higher Education (THE) makes use of 'grade-point average' to produce a weighted average of their assessment profile. Following the 2001 RAE Cardiff University was ranked 8<sup>th</sup> and UWCM 51<sup>st</sup> by this measure (rising to 7<sup>th</sup> and 48<sup>th</sup> respectively when only universities are included). Following the 2008 RAE the now merged University was ranked 22<sup>nd</sup>.

One feature of the grade point average measure is that it does not take account of the volume of staff submitted (which is reflected in formula driven research funding). Research Fortnight has developed a method of presenting the 2008 RAE outcomes based on both excellence and volume. This it has called 'research power' and under this measure Cardiff was ranked 16<sup>th</sup> in 2008 (having been 15<sup>th</sup> in 2001). The university has also produced and publicised its own version of a 'research power' analysis on its website which places the institution 15<sup>th</sup> in 2008 (equivalent figures for 2001 are not presented).

Overall this data makes it clear that Cardiff had yet to achieve its aim for achieving a place in the top 5 UK universities. Furthermore the trajectory between 2001 and 2008 (irrespective of which measurement system is used) would suggest that the present trajectory means it will be very challenging for the university to achieve this goal by 2012.

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<sup>3</sup> Whilst the objective ref a place in the top 5 UK universities was made based on the continuation of the 2001 format of RAE assessment (which has now substantially changed) we would judge the outcome of the Research Excellence Framework (REF) to be its relevant equivalent.

This should not be interpreted as a criticism of the university's performance. The 'counterfactual' - what would have happened if the merger had not proceeded, cannot be known for certain but it is difficult to conceive of it leading to a stronger performance than that actually secured given the synergistic benefits of merger identified elsewhere in this review. We would also observe that the utility of such a target may also be called into question as it did and does not directly tie into the levels of performance that were to be required of individual schools – the key building blocks of overall institutional performance.

### **3.2.1. Performance at the level of Unit of Assessment**

Given the limitations of an overall institutional measure we have therefore sought to understand what further insights may be drawn from Cardiff's research performance in the period since merger through examining HEFCW data at the level of Unit of Assessment (UoA).

The university reports that almost 60% of all research undertaken was assessed as 3\* or 4\* in the 2008 RAE exercise. We have drawn upon this data to determine the percentage of Cardiff submissions for each UoA which had achieved a 3\* or 4\* assessment, and compared this to the UK average, a figure presenting our detailed findings is at Appendix C.

In summary a number of areas that would have previously been submitted by the former UWCM perform well above the UK average, specifically:

- Psychiatry, Neuroscience and Clinical Psychology.
- Primary Care and Other Community Based Clinical.
- Other Hospital Based Clinical Subjects.
- Dentistry.

Conversely there are also four UoA's that would previously have been submitted by the former UWCM that perform well below the UK average, specifically:

- Cancer Studies.
- Nursing and Midwifery.
- Infection and Immunology.
- Cardiovascular.

This analysis is clearly suggestive as to where the university should be seeking to focus improvement activity and also reinforces, in our view, the value of establishing school level performance metrics as part of any overall institutional target for improvement.

### **3.2.2. Postgraduate student performance**

As part of assessing its research performance we are also aware that the university has set targets relating to the recruitment of postgraduate research students and had benchmarked itself against other Russell Group institutions.

Our analysis indicates that these targets have yet to be met though we understand this area remains an important priority for the institution and as such features in the university's 'strategy map' to 2012.

### **3.3. Research infrastructure**

The realisation of this strategic outcome is being achieved primarily through the university's flagship capital investment programme, 'Campus Horizons' and is ongoing at the time of this review.

The university is clear that its ability to leverage the necessary investment to deliver the programme has been materially enhanced by the merger to the point whereby it would not otherwise have been possible on anything like the present scale.

This initiative has drawn on both Welsh and UK capital funding to both re-develop the existing campus, and to build a new campus, Maindy Park which will accommodate primarily research-related activities. We understand this will include buildings specifically for research, and for postgraduate provision.

The university anticipates that these arrangements will help further realise the interdisciplinary research benefits of merger. Library infrastructure has also been enhanced through funding from the university and the Wolfson Foundation, the Cochrane Building on the Heath Park (health provision) campus will also include a new library.

The university has identified benefits to the former UWCM which are attributable to the merger. These include access to a broader range of professional support from a central technology transfer support function which had not previously existed at UWCM (UWCM being dependent on just one individual).

A specific support-division relating to advanced research computing services has also now been established and ICT infrastructure to support research at the university has been enhanced through completion of the Modern IT Working Environment (MWE) allowing portal access to university information resources, systems and business processes.

Overall therefore we judge there to be substantive and substantial progress in realising the ambition of an enhanced research infrastructure.

### **3.4. Collaborative and interdisciplinary research**

A key means for the realisation of this strategic outcome has been the introduction and appointment of six 'Link Chairs'. These individuals were appointed during the course of 2005-06. Each has a defined responsibility for engendering interdisciplinary research. A wide range of areas of research interest at the university are covered by these roles, and all Link Chairs were returned in the 2008 RAE.

We have explored the emerging impact of this approach and the university has provided a list of research funding secured through the work of the Link Chairs. This indicates the work of the Link Chairs has secured over £15 million in research grants involving researchers from 14 of the university's 28 academic schools. A studentship scheme also offers opportunities for PhD students to work full-time on interdisciplinary research projects at the university.

The university has also cited its success in securing funding for the first Medical Research Council (MRC) centre in Wales as being a tangible consequence of merger (although the Centre for Neuropsychiatric Genetics & Genomics is led from the School of Medicine, this involves researchers from across the merged institution).

The re-development of the present campus and the creation of the Maindy Park 'research campus' has also presented the university with the opportunity of co-locating research institutes as a further stimulus to increased interdisciplinary research.

### **3.5. A balanced research portfolio**

Prior to merger Cardiff was notable in being one of the few Russell Group institutions (excepting the LSE) to not have a medical school. A key strategic outcome of the merger was to secure a more balanced research portfolio by reference to income sources.

The university in common with other HEIs monitors both research award (funding awarded within a period), and research income (funding which can be drawn down / spent within a period) and we have examined the available data to understand present performance and recent trends.

One means by which Cardiff has aimed to secure a more balanced research portfolio was through increasing the level of support from research councils. To this end it set a target for increasing the level of support received from Research Councils to 2.25% of market share by 2010/11. We have drawn upon two sources of information to assess progress in this area:

- HESA data as at 2008/09 (the latest available) indicates Cardiff is yet to achieve this objective with a share of 1.77% (representing 52.7% of the Wales total)<sup>4</sup>.
- Data published by RCUK for the proportion of Research Council 'Standard Grant Expenditure' by institution and by Research Council for their 2008-09 financial year (to 31 March 2009) which indicates that Cardiff University received 2.02% of UK Standard Grants for this particular period (representing 60.5% of the Welsh total)<sup>5</sup>.

The university is also continuing to seek growth in its research income (research income targets for each School were set at merger, and have now been replaced by research award targets). Income from research councils has steadily increased year-

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<sup>4</sup> Percentage values taken from a statement provided by Cardiff University.

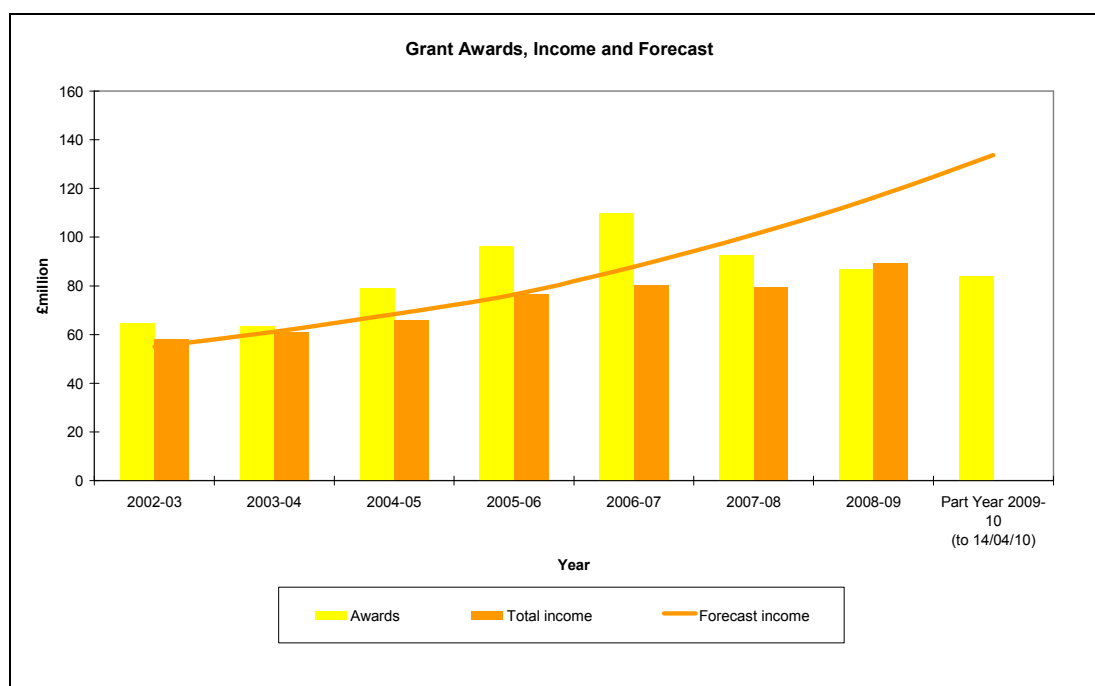
<sup>5</sup> Analysis provided by Cardiff University. Source data: <http://www.rcuk.ac.uk/cmsweb/downloads/rcuk/documents/rcgrantspend.pdf>. Note that this data includes an entry for 'University of Wales College of Medicine', which would appear to be an error given that the merger had taken place prior to the 2008-09 financial year. The value of Standard Grant Spend for UWCM included in the dataset has been excluded from the percentage figures for Cardiff University quoted above.

on-year from £17.3 million pre-merger (2003-4) to £27.1 million in 2008-09 and research income for the merged institution has also increased overall since merger.

However, this trend needs to be viewed in the context of changes in research award. It is of note that while research award generally increased year on year between 2003-04 and 2006-07, the period 2006-07 to 2008-09 witnessed a gradual reduction in the level of awards from Research Councils, UK Government, UK Industry Commerce and Public Corporations. Whilst this has been slightly offset by a modest increase in the level of awards from UK Local and Health Authorities and 'Other Sources and EU Other' funding from the European Commission, Charities, and 'Other Overseas' has remained relatively static. The university reports that this trend is in fact reversing, and has stated that the total awards for the partial 2009-10 financial year to 14<sup>th</sup> April 2010 total £84.2 million, with known 'pending' awards taking the May 2010 total to over £108 million – higher than the total for the 2008-09 financial year. Furthermore the university is confident that by the end of the 2009-10 financial year the previous award peak of £110 million for the 2006-07 financial year will have been exceeded.

Clearly there is a lag in the increase or decrease in research awards directly impacting upon research income. The pattern of decrease in award, followed by an anticipated recent increase may be reflected in the level of research income over the coming years. Detailed information on the changes in research income and award is provided at Appendix D which is further summarised in Figure 1 overleaf which shows 'forecast income' (derived from the merger business case) in addition to total income.

**Figure 1: Research Awards, Income, and Forecast Income<sup>6</sup>**



We have explored the implications and background to these trends with the university which has observed that:

- The forecast income was derived from a comparative analysis of research income at institutions with a similar research portfolio to the areas that would be enhanced in the new post-merger Cardiff University – however with hindsight, the lag time to translate the academic benefits of merger to bottom line research income was underestimated.
- The more challenging economic circumstances are a key reason for the more recent reduction in research awards.

The projected forecast for future research income was clearly a very stretching target (as visibly demonstrated in the Figure above). The reduction in research awards to 2008-09 together with the continuingly difficult economic climate would indicate the

<sup>6</sup> The original forecast included capital grant (SRIF/JIF) funding as was the convention at the time, and this funding is therefore included in the 'total income' figures and 'forecast income' shown. It should be noted that SRIF capital funding was effectively replaced by the Research Capital Investment Fund from 2008-09 which is not included in the income figures shown. HEFCW circular W08/8HE ([http://www.hefcw.ac.uk/documents/publications/circulars/circulars\\_2008/W08%2008HE\\_circ.pdf](http://www.hefcw.ac.uk/documents/publications/circulars/circulars_2008/W08%2008HE_circ.pdf)) indicates that Research Capital Investment Funding for 2008-09 for Cardiff University was just under £11 million. If this figure were to be included in the 2008-09 research income shown in Figure 1, then the gap between income and that forecast reduces from circa £27 million to circa £16 million.

forecast research income target is now probably unachievable (and indeed the university have recast their forecast in relation to this original target).

### **3.6. Conclusion**

The university is presently ranked as 15<sup>th</sup> under the research power measure (or 22<sup>nd</sup> if using the Times Higher grade point average measure). The university's aim to achieve the strategic outcome to 'achieve and maintain a place in the top 5 UK universities' by the date of the REF (2012) will be very challenging to achieve, made more so by the present economic climate – and as already noted the originally forecast income from research is almost certainly unachievable.

The university's significant capital investment programme to enhance research infrastructure through the flagship Campus Horizons programme is a notable ongoing development. The institution is clear that were it not for the merger it could not have attracted the level of investment it has secured to date.

The increase in interdisciplinary research enabled through the appointment of 'Link Chairs' as leading academic staff responsible for engendering interdisciplinary research is also a key feature of the university's approach to enhancing research excellence. Information provided indicates that the Chairs have secured over £15 million in research grants involving researchers from 14 of the university's academic schools. The university is also clear that merger was a significant factor in it successfully securing funding for the first MRC centre in Wales.

Whilst research income (funds drawn down / spent) has generally increased year on year since merger, it is of note that research award (funding awarded) has reduced in recent years – although there are signs that this trend is reversing. While research income has increased since merger, in recent years the growth achieved is substantially below that forecast in the original business case – a forecast which would now appear unachievable in the present economic climate.

The target of increasing the level of support received from Research Councils to 2.25% of market share by 2010/11 may be achievable based on the RCUK figure of 2.02% share for 2008/09.

In concluding this analysis and commentary we must also note the difficulty of establishing the 'counterfactual' i.e. what would have occurred without merger and what performance characteristics each HEI would have had if they had continued as autonomous entities.

Institutional consultees to this review are clear that the merged institution is definitely more resilient and has enabled both the retention and development of key research and teaching capabilities that might otherwise have been lost. Certainly it is difficult to envisage either HEI securing the levels of investment secured for the new research infrastructure or putting in place the increasingly successful 'Link Chairs'.

## **4. Progress relating to learning and teaching, and training (Aim 2)**

Through merger the university expected to make improvements relating to three key strategic outcomes:

- Developing a shared culture of learning and teaching.
- Ensuring the university's academic standards befit a research led institution.
- Further developing the quality of the postgraduate student experience.

### **4.1. Culture of learning and teaching**

The specific objective further defining this outcome is to 'explore and articulate the relationship between research and teaching'.

The university initially made funding available to schools to support innovative projects in this area, and implemented an Information Literacy Strategy. The university considers this to be an ongoing priority and it is featured as such within the 2009-10–2013-14 strategy map.

The most recent activity in this area relates to further implementation of the institution's Learning and Teaching strategy – including funding for a pilot scheme providing opportunities for undergraduates to work on research projects with consideration now being given to embedding this as a wider practice within schools.

Realisation of this objective is also being supported through the estates strategy – we understand the new medical education building on the Heath Park campus (the Cochrane Building) will allow the School of Medicine in particular to offer students increased opportunities for contact with different healthcare disciplines (through co-location) and create opportunities for inter-professional learning.

Concerns arose about the probity of examination outcomes in the School of Medicine in 2008/09 (one of the five merged Schools). The specific issues, including the use of more than one candidate number, were investigated fully by the University and reported on to the General Medical Council. It is clear that the issues were not related to the merger; more probably they arose from the complexities of the undergraduate programme itself. Those outcomes from the investigation which have an institution-wide impact are being addressed by the University as part of the implementation of broader assessment policy and procedures. In addition, an increased level of targeted support has been put in place to remedy the local areas of concern that were identified.

In terms of procedures to enhance the culture of learning and teaching, the university undertakes an ongoing programme of events, activities and dissemination methods through which staff across the university come together to consider learning and teaching matters and the enhancement of the student experience.

## **4.2. Academic standards that benefit a research led institution**

### **4.2.1. Institutional review**

The principle evidence relevant to the realisation of this outcome is to be found in the QAA review of Spring 2008 where the university received the assessment that 'confidence can be placed in the soundness of the institution's current and likely future management of the quality of its academic programmes and the academic standards of its awards'. The review highlighted areas of good practice in relation to:

- Linking the staff research activity to teaching and other student learning opportunities.
- The inclusion of students at all levels of the institutional decision making structure, and that students are referred to as 'members' of the university, rather than 'customers'.
- The ongoing work between the university and the Students' Union to develop the learning experience.

Less positively the reviewers observed that although the university operates a process of internal Quality Process Review with each school every 5 – 7 years, in many cases this was occurring towards the 7 year end of this window and is in some cases longer - in part caused by planned delays to reviews due to the merger. Consequently the reviewers recommended that these cycles of internal review should always take place as specified within university procedure documentation.

The QAA also recommended that policies and procedures relating to collaborative provision are reviewed in particular to mitigate particular risks associated with this area of provision. The reviewers noted that prior to merger Cardiff University offered very little provision in this area, but that several collaborative programmes are now provided which were transferred from the former UWCM.

Overall therefore the QAA review is positive whilst indicating some areas for attention which may be directly linked to the impact of the merger process.

## **4.3. The postgraduate student experience**

Through merger the university aimed to develop the quality of the postgraduate student experience, particularly through enhancing training and support for this group and the university is now embarking on a review of the Graduate Schools in line with its project management framework.

The primary means by which the university offers training and support to postgraduate students is through their approach to implementing the Concordat to Support the Career Development of Researchers. This has involved identification of a set of actions approved by relevant committees and production of an implementation checklist for schools to complete and report on progress. The Graduate Schools and Graduate Centre continues to run the Research Students' Skills Development Programme (RSSDP), with student participation rates increasing since 2007.

The university participated in the Higher Education Academy Postgraduate Research Experience Survey (PRES) in 2007 and 2008. The results indicates that Cardiff

compares at least as well as Russell Group comparators (84% of postgraduate research student state their overall experience was as expected or better than expected) and better in some areas such as opportunities to develop research skills and infrastructure. However, as there is no equivalent baseline data pre-merger it is not possible to judge whether this represents a positive trend.

#### **4.4. Conclusion**

Realisation of the aim relating to Learning and Teaching encompasses a wide range of complementary activities which by definition do not readily lend themselves to a quantitative assessment or measurement.

Through the institution's Learning and Teaching strategy, the university is articulating the relationship between teaching and research. Estates developments will allow the School of Medicine in particular to offer students increased opportunities for contact with different healthcare disciplines (through co-location) and create opportunities for inter-professional learning.

The university's mechanisms for securing academic quality and standards have secured a positive outcome in the most recent QAA review (May 2008). Other issues raised by the QAA review can be associated with the merger process but do not represent material deficiencies in practice or approach.

## 5. Progress relating to Welsh specific outcomes (Aim 3)

There are two strategic outcomes in this area:

- Promoting activities which are consistent with the university's mission and strategies which will help the Welsh Assembly Government address particular problems in Wales, and to contribute to policy development in Wales.
- Playing a pivotal role in the development and provision of health and social care in Wales.

### 5.1. Contributing to policy development in Wales

We have reviewed the university's strategy and discussed prospective future strategic priorities to understand how it has to date and in future proposes to contribute to the realisation of this outcome.

Cardiff has drawn on the priorities identified in *For Our Future* to map where it contributes to these priorities and where additional effort can be focussed. We understand that it intends to feature plans to address any gaps through the annual submission of its Strategic plan to HEFCW in the summer of 2010.

The university considers that a particular contribution to the WAG priorities is made through its Innovation and Engagement Strategy. In particular:

- Supporting a buoyant economy through such projects as Fusion IP<sup>7</sup> and Cardiff University Innovation Network (CUIN)<sup>8</sup>.
- Delivering social justice (relating to flexible provision, widening access to professions and regional planning & delivery), for example as the home of the Welsh for Adults Centre for Cardiff and Vale of Glamorgan<sup>9</sup>. A specific merger-related example cited by the university is the development of a new entry route into the MBBCh Medicine degree<sup>10</sup>.

The university identifies alignment with WAG science policy through such institutions as the MRC Centre for Neuropsychiatric Genetics and Genomic<sup>11</sup>s, being the sector lead for the Low Carbon Research Institute<sup>12</sup>, and investment in the Sustainable Places Research Institute.

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<sup>7</sup> <http://www.fusionip.co.uk/>

<sup>8</sup> <http://www.innovation-network.org.uk/>

<sup>9</sup> <http://www.cardiff.ac.uk/learnwelsh/>

<sup>10</sup> This route was developed in collaboration with the University of Glamorgan as a pathway for Glamorgan BSc Medical Sciences students to study medicine, with the first cohort of students due to start in 2011/12.

<sup>11</sup> <http://medicine.cf.ac.uk/en/research/research-groups/mrc-centre/>

<sup>12</sup> <http://www.lcri.org.uk/>

The university also considers that continuing professional development opportunities for health professionals in Wales have been enhanced through the work of individual schools to increase provision and opportunities for continuing professional development (CPD). One example cited is that of the School of Dentistry which has developed two new part-time MSc programmes targeted at the profession. Building on such school level work, the university is now reviewing lifelong learning and continual personal and professional development within the university with the ambition of producing a new strategy for the future delivery of continuing professional development.

## **5.2. Playing a pivotal role in the development and provision of health and social care in Wales**

The main evidence in respect the university's roles in this regard comprises the ongoing teaching, research, and clinical activity of its health related schools<sup>13</sup>.

We have explored the range of activities taking place and the degree of collaborative engagement that is in place and planned for the future. The work of the university's National Health Service (NHS) Liaison Unit is a key feature of the institution's approach and operates to facilitate good relationships between the institution and its NHS partners, particularly in the shared delivery of medical and healthcare education.

In its submission to the review the university also identified the following 'merger specific' examples of where it judges a significant contribution to the future development and provision of health care in Wales is made:

- A School of Medicine Link Chair is working in collaboration with researchers across 6 Cardiff Schools. This work includes investigation of how patients can be actively involved in decision making and communication.
- A number of public health related research projects which involve collaboration between schools which were previously in separate institutions<sup>14</sup>.

Since the completion of the merger process further other salient examples include:

- The Strategic Health Alliance for Research and Education (SHARE) project, a collaboration with Bangor University, Betsi Cadwalder University Local Health Board and Cardiff and Vale University Health Board.
- The development of an all-Wales Academic Health Science Collaboration strategy for the National Institute of Social Care and Health Research (NISCHR), WAG.

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<sup>13</sup> Medical, Dentistry, Nursing & Midwifery, Healthcare, Psychology, Pharmacy, Optometry, and Postgraduate Medical & Dental Education.

<sup>14</sup> This work is profiled in a Cardiff University research article: <http://www.cardiff.ac.uk/research/spotlight/publichealth/profile.html>

### **5.3. Conclusion**

Clearly the direct and indirect contribution of the university to both policy development and health care in Wales is both material and continues to develop.

There is also clear complementarity across many of the goals of WAG and those Cardiff must necessarily pursue as a leading international research intensive institution. The university has cited to us particular synergies with the WAG priorities through its Innovation and Engagement Strategy and science policies of the Assembly are also supported through a number of relevant university centres and institutes. Nevertheless there is clearly more that can be achieved.

The university has particularly cited the work of individual schools in enhancing the delivery of continuing professional development for health professionals as being an important area for further development – and is, we are told, to develop a future strategy in this area.

## **6. Progress relating to the working environment for staff and students (Aim 4)**

The four key strategic outcomes relating to this aim include enhancements relating to:

- Recruiting, retaining, motivating and developing staff to the highest professional standards.
- Enhancing the student experience and provide opportunities for student involvement in the development of the university.
- Ensuring that the Estates Strategy is consistent with the university's mission and strategies.
- Ensuring the university's mission and aims are underpinned by an effective and efficient structure.

### **6.1. Recruiting, retaining, motivating and developing staff**

The university has implemented an institution-wide initiative to improve working life for all staff at the university. 'Positive Working Environment' aims to support staff and has included the university's first all staff attitude survey following this survey work has been taking place to address the issues and concerns raised. 79% of respondents to this survey reported that they are satisfied overall when *'taking everything into account'*. The survey also identifies a number of priorities for the institution looking forward including:

- Better communication inside and between departments. This was a significantly higher priority for staff in Architecture, Pharmacy and Engineering.
- Straightforward processes that trust you to do your job - this was particularly strong amongst Medical and Academic research staff.

One of the objectives relating to this outcome was to *'enhance the university environment through performance management and leadership'*. The university has told us that it is addressing this through the provision of Leadership and Management Development opportunities available to staff including:

- Three Leadership and Management Development Programmes targeted at research team leaders, senior managerial professional and specialist staff and first line managers.
- A number of short courses offered through the Staff Development Programme and to Research Staff through the Research Staff Career Development Skills Programme.

An initial target to obtain Investors in People status for the university has been revised to 2010 from the original target date of 2007, however during the interim period the university has encouraged individual parts of the institution to pursue Investors in People status. The outcome of the 2010 assessment will be known in January 2011 following 3 stages of assessment beginning in June 2010.

## 6.2. Enhancing the student experience

The university has evidently been proactive in addressing and enhancing the wider student experience (and indeed had an established improvement programme in place covering the whole of the university before the advent of the NSS).

Following the National Student Survey (NSS), the university (in common with all other HEIs) has focused its improvement efforts on those aspects reported as being underperforming areas of NSS. This has been particularly necessary in respect of Medicine and Dentistry where student satisfaction levels with the overall quality of the course is relatively low compared to other institutions within the UK. Results of the National Student Survey (NSS) available via the Unistats website<sup>15</sup> indicate that 'Medicine and Dentistry' has the second lowest level of student satisfaction in the UK. This is 3<sup>rd</sup> lowest for Medicine (of 30 institutions where sufficient data is available) and joint lowest for Dentistry (of 13 where sufficient data is available). The more detailed content of the survey shows that there are particular issues relating to assessment and feedback; and in the organisation of the programme.<sup>16</sup>

The NSS was first undertaken in 2005, in the academic year following merger, and each year has included the question '*Overall, I am satisfied with the quality of the course*'. Respondents are able to indicate the extent to which they agree with this on a 5 point scale, with 1 the least positive, and 5 the most. The mean score for 'Medicine and Dentistry' for Cardiff University in 2005 was 3.80, and in 2009 this was 3.63 indicating that there has been a modest reduction in the level of overall satisfaction.

To contextualise this analysis we have examined overall satisfaction (Appendix F) levels across a range of subjects across the university – it is important to note that Cardiff University overall performs very well, with all subject areas apart from Medicine, Dentistry, and Biology in the top quartile of satisfaction level.

In addition to the improvement activities cited above (and following merger) the university also undertook the implementation of a Student Communications Strategy and work in this area involved the development of 'Project Q' in partnership with the Students' Union to understand the scope of engagement with the student body and enhance this. The implementation of this strategy is ongoing and has led to the introduction of a Student Communication Group chaired by the Pro-Vice Chancellor (PVC) Education and Students. Student engagement within the university was commended by the QAA in the 2008 institution review report. Particular actions relating to improving student satisfaction include the following:

- The medical school set up a review group to focus on addressing issues which result in the negative elements of NSS feedback, the pace of the work of this group has been accelerated following the examination error issues as

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<sup>15</sup> <http://unistats.direct.gov.uk/>

<sup>16</sup> Several reasons for this may exist and it is not the purpose for this report to perform a detailed analysis though several consultees have cited the relatively rapid expansion in student numbers in the period having possibly been one contributory factor coupled with the changing NHS environment which has meant that some registrars and senior house officers having less time to engage in teaching.

reported to the GMC in 2009 (refer to section 4.2.2). Outcomes of this have included the instigation of a Question and Answer session for students facilitated by academic staff.

- This review group is also focussing on communication issues and ensuring that the school are implementing all the recommendations made following an internal investigation into the examination errors. Improvements to assessment and feedback are included within the work of this group, however this aspect is also subject to a university-wide improvement project driven from the academic committee level.
- A new post has also been created, a new *Dean of Medical Education* has been appointed with effect from May 2010 with a particular remit to review the current medical degree programme.
- The School of Dentistry also set up a review group chaired by the Head of the School, this work includes a series of student focus groups. The school also issued its own questionnaire at the induction session for each year and then reported back to the students with a phased action plan. A number of changes to teaching arrangements and timetabling have also been introduced as a result.

Other important elements in enhancing the student experience cited by the university include:

- An extension to the UWCM students of a number of student support services provided by both Cardiff University and the CU Students' Union that either hadn't existed in UWCM or had been very small, e.g. careers advisory services.
- Wider ranging student advisory service and counselling support.
- Improved Students' Union provision.
- Access to the full range of university facilities and services.

The university also anticipates the recent estate developments providing better infrastructure and resources for these students will have an impact on satisfaction levels.

### **6.3. Ensuring that the Estates Strategy is consistent with the university's mission and strategies**

Through merger the university aimed to continue to develop the estates strategy of the merged institution to make creative use of existing and future additional space. The university believes the level of capital investment, particularly in terms of the health-related areas would not have been possible without merger.

The university has continued to implement its estates strategy with the 'Campus Horizons' programme as the flagship programme of capital investment. This programme includes the development of a new research-focussed campus and refurbishment of the existing estate. If conversion of existing space for academic use is included, then the university will meet the target for 20,000 square meters of additional space by 2010.

#### 6.4. Ensuring the university's mission and aims are underpinned by an effective and efficient structure

The financial issues experienced by the former UWCM have in part been addressed by the enhancement of budget allocation processes as used by the pre-merger Cardiff University. The methodology used is based on the principal of 'what you earn is what you get', and has in part resulted in a robust financial status for the merged institution. The university's financial management system is currently being changed under 'Project Arian'.

The university has adopted a flat, 'collegiate' organisational structure which gives significant autonomy and responsibility to schools in return for their commitment to applying those central processes which are necessary to sustain a 'single institution'.

Following merger, an initial review of the Committee structure was completed at the end of the 2004/05 session. As a result of this review and subsequent rolling reviews, a new Academic Strategy Committee was established which the university considers ensures integration of research, learning & teaching, and innovation & engagement issues.

In terms of efficiency, the university set targets relating to the reduction of overheads relating to administration and premises. The following table shows progress in this area to 2008/09, the most recent data available.

**Figure 2: Overheads as a proportion of total expenditure**

Measure	Administration	Premises
2002/03 expenditure	7.67%	6.50%
2008/09 expenditure	6.32%	6.21%
<b>Reduction between 2002/03 – 2008/09</b>	1.35%	0.29%
Target for 2009/10	6.40%	4.80%
Difference between 2009/10 target and 2008/09 expenditure	+0.08%	-1.41%
Comment	Ahead of target	Target unlikely to be met

Reduction in administration overheads is ahead of target; however reductions are not meeting the targets in relation to premises related overheads. The university has commented that this is due to large increases in energy costs which cannot be controlled.

#### 6.5. Conclusions

Since merger the university has implemented 'Positive Working Environment' as the flagship programme to improve working conditions for staff. This has included the institution's first staff satisfaction survey, where 79% of respondents reported that they are satisfied overall when 'taking everything into account'. The university has also introduced a number of leadership development programmes.

Student satisfaction levels in both Medicine and Dentistry as reported through the NSS are relatively low compared to other institutions, and other schools within the institution. This has been a reoccurring issue and the university has a number of ongoing projects to address this issue.

The university believes the level of capital investment, particularly in terms of the health-related areas would not have been possible without merger. If conversion of existing space for academic use is included, then the university will meet the 20,000m<sup>2</sup> target for additional space by 2010.

A new Academic Strategy Committee was established which the university considers ensures integration of research, learning & teaching, and innovation & engagement issues. In addition the university has reduced administrative and premises overheads since merger, while this is 'above target' for the former, the latter has been harder to achieve due to higher than forecast energy prices.

The detailed aims of the merger were preceded by a mission statement:

*"To pursue research, learning and teaching of international distinction for the benefit of Wales and the wider world."*

The outcome associated with this mission (achieved through the formalising the merger of the two institutions) was:<sup>17</sup>

*"To establish a clear identity for the new Cardiff University".*

Also key to establishing this identity was a 'shared culture of excellence'. We have seen evidence that the university has been working towards this objective through a redevelopment of its institution strategy to 2013/14<sup>18</sup> and the establishment of a clear 'strategy map' (aka action plan) to 'transform vision into reality' through a layer of supporting values, priorities, objectives and enablers. The university has also introduced a new Strategic Investment Fund to support the implementation of its strategic aims and is cascading the implementation of its strategy through the enhancement of the strategic planning process at the school level.

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<sup>17</sup> Royal Assent in December 2004, the new merged University Charter was approved by the Privy Council in March 2005.

<sup>18</sup> <http://www.cardiff.ac.uk/plann/strategicplan/index.html>

## **7. Lessons learnt and good practice**

### **7.1. Introduction**

The purpose of this final section is to provide HEFCW with a summary of the main lessons learnt from the merger of Cardiff University and UWCM. This is presented as a summary of the lessons learnt, as identified through the interview programme with a selection of people at the merged institution and drawing upon comments contained within the interim evaluation (section 7.2).

A limited comparative analysis of the lessons learnt from the Cardiff merger to other lessons available through published reports is presented at Appendix G.

Findings from our interviews and document review are summarised in section 7.3.

### **7.2. Lessons from the university**

This section presents and summarises the insights relating to merger and lessons learnt by the university.

#### ***7.2.1. Strong and aligned leadership is a foundation for success***

The circumstances of new Vice Chancellors of both institutions coming into post at the same time was an opportunity which was capitalised upon. The individuals reached in principle agreement on the need and case for merger before coming into post and this extended to sensitive issues such as the role and future of each individual post-merger. This provided a strong basis for joint leadership of the merger process as it progressed.

In addition the leadership and active support of the respective chairs of the institution's two governing bodies has been describe as being 'pivotal' not least in engaging with both internal and external key stakeholders in the preparatory period ad thereafter.

#### ***7.2.2. A strong strategic fit between institutions overcomes barriers***

Critical to achieving buy-in was the strong strategic fit between the two institutions, and the potential for mutual benefits i.e. there was a good 'education case' for merger. Academic provision was complementary (i.e. there was minimal cross-over) which meant there was no requirement to merge schools. Cardiff University had a relatively strong financial position but lacked a medical school, while the UWCM was underperforming financially. The merged institution provided the potential for greatly enhanced research capabilities, with a planned increase in research funding, particularly in the health-related areas. This offered an opportunity for increased collaboration and administrative efficiency savings, leading to a more stable financial position overall.<sup>19</sup>

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<sup>19</sup> Prior to merger UWCM had an operating deficit for several years. In the 5 years post merger, the merged institution has operated at an average surplus of 2.92% of income - just below the HEFCW recommended 3%.

A clear understanding of the different reasons for merger was very important as this allowed planning to be undertaken to achieve the desired outcomes and support communication with internal and external stakeholders.

### ***7.2.3. Careful communication is required during the pre-merger planning and negotiation stage***

The interim evaluation in particular reports a number of lessons relating to the planning process in the build-up to and during the initial stages of merger. This includes the following observations in particular relating to communication between the key parties.

The chain of decision making during the process of reaching agreement over the proposed merger was very time consuming (involving the two institutions, WAG, and HEFCW). Any opportunities to streamline decision making relating to collaboration (within the bounds of compliance) should be taken.

The amount of funding offered for merger was less than the institutions had identified was required. The decision around how much to allocate was made at a 'late' point in the process, and a more iterative process would have avoided the resulting intense negotiation required. Early communication of process, timescale, and constraints faced by all parties should therefore be an important initial early step in any collaboration discussions. This should involve HEFCW, the institutions exploring merger, and WAG.

### ***7.2.4. Effective communication with staff is essential***

The university drew on the strong case for merger to consult and communicate with staff. This involved an 'Alliance Seminar' before detailed planning started. This included senior staff (both academic and administrative) meeting through a facilitated seminar to learn about each other (values, ambitions, external stakeholders, nature of academic activity, etc.). The members of these groups were used to generate ideas and develop plans relevant to merger, with implementation subsequently being carried forward by members of these groups in some cases. In addition a number of 'Roadshows' were held at each campus before the recommendation to merge was put to the respective Councils.

Post merger, the university considers there is great value in having academic champions to help to 're-energise' staff and be accountable for delivering the academic benefits of merger.

### ***7.2.5. The unforeseeable can have a major impact***

Two senior members of staff unfortunately passed away during the first year post-merger. This had a major impact on the management of the change programme in terms of people's emotions and energy.

### ***7.2.6. Recognise, respect and manage the differences***

Differences relating to culture, working processes and practices, terminology and language caused integration issues. Identifying these differences at an early stage and developing plans to address key areas relevant to the merger programme is seen as a significant learning point. In addition, that support has to be ongoing well

beyond the effective date of merger, to ensure that understanding and commitment is built and that effective support remains in place for the smaller unit.

Students' of the former UWCM had a very strong identity based on the status of UWCM as a separate institution. Manifestations of this identity included a number of traditions and institutions, such as sports clubs and other student activity groups.

Upon reflection the university considers that the issues of integrating this identity within a much larger institution were not fully considered, and that the legitimate distinct interests of students from a smaller institution merging with a larger institution needed to be more fully recognised and respected. This is particularly acute for medical students, as these students are distinct in many ways – for example, the relatively long length of medicine programmes, the high level of contact hours, and a larger number of practical placements and assessments.

#### ***7.2.7. Supporting students through the transition is essential***

The university has identified that maintaining the student voice regarding integration/bridging issues in the early post-merger years is very important. During the merger several key groups were formed including:

- A Student Reference Group.
- Student representation on merger groups.
- A Students' Union merger group.

The level of student satisfaction in both Medicine and Dentistry as evidenced through the National Student Survey remains low compared to other institutions, with particular issues around communication, the smooth running of programmes, and assessment and feedback. The university had considered that these issues were due to a level of dissatisfaction with the merger, however these issues appear to pre-date merger. The learning point is the need to find ways to ensure that the student view is properly articulated regardless of difficulties which may be experienced in gaining representation through 'normal channels'.

The university has since put a number of structures and projects in place in partnership with the Students' Union to improve the student experience. These include the appointment of a Healthcare Student Integration Officer and the development of the estate which is soon to provide the Medical School with new accommodation.

#### ***7.2.8. Effective use of resources during organisational change management is essential***

The university identified that if the benefits associated with increased research output were to be realised, the barriers to new professional relationships between relevant staff from previously separate institutions would need to be bridged. To overcome this, five 'Link Chairs' were appointed as senior research academic staff with a particular responsibility for encouraging interdisciplinary research across the institution. The university considers this structure was key in bridging interests between different academic areas and promoting interdisciplinary work between colleagues.

Early agreement on the management structure of the merged organisation has been identified as a strength of the merger and should be one of the first areas to be agreed. However the appointment of the individuals to fill senior roles proved challenging and the university benefited from outside facilitation of this process. Some consultees have told us that with the benefit of hindsight they would press for a full appointments exercise.

The merger process was supported by a properly resourced and effective project management framework and such a framework should underpin any future merger project. The university ensured that those individuals who would be required to 'deliver the future' were actively involved in the programme of change leading up to and following merger.

### **7.2.9. Benefits can take time to deliver**

What may have been under-estimated was the extent to which change would need continuing support post-merger and the time it would take to fully embed changes and realise all anticipated benefits. Re-energising academic staff beyond the formal date of merger to work towards the benefits of merger is one key area.

The Students' Union also considers that the full benefits of merger for students are still to be delivered and that consistent levels of Union services are not yet available across university sites – though we note that students at the Heath Site have access to the same University and Students' Union services as students at the Cathays Site (though their location might not always be where students would like). Financial constraints inevitably play a part in this respect especially when efficiencies are also being sought through the merger process.

One further constraint on realising business benefits relates to institutional structure and the decision to continue with Cardiff's pre-existing organisational model. Some consultees believe that further material benefits will be secured if and when this structure is subject to further reconfiguration.

## **7.3. Conclusion**

In this section we summarise the lessons learnt from the merger of Cardiff University and the UWCM and draw on our comparative analysis from other mergers (Appendix G) to make suggestions for how these lessons should be considered by the HEFCW and the wider higher education sector.

The following lessons have been identified:

- Strong and aligned leadership is a foundation for success (7.2.1).
- A strong strategic fit between institutions overcomes barriers (7.2.2).
- Careful communication is required during the pre-merger planning and negotiation stage (7.2.3).
- Effective communication with staff is essential (7.2.4).
- The unforeseeable can have a major impact (7.2.5).
- Recognise, respect and manage the differences (7.2.6).

- Supporting students through the transition is essential (7.2.7).
- Effective use of resources during organisational change management is essential (7.2.8).
- Benefits can take time to deliver (7.2.9).

Each of these is discussed in the following table:

**Figure 3: Summary of lessons learnt**

<b>Strong and aligned leadership is a foundation for success (7.2.1)</b>
<p>Agreement between heads of institution in the initial phases has been identified as a major enabling factor. This should involve agreement in all key areas including:</p> <p>The case for merger, including the key benefits.</p> <p>The potential roles of the individuals in a new merged institution.</p> <p>The initial stakeholder communication process.</p> <p>Once the initial merger proposal has been taken to the governing bodies, it is important that there is clear agreement of the key issues and principles to support the successful delivery of any subsequent detailed work.</p>
<b>A strong strategic fit between institutions overcomes barriers (7.2.2)</b>
<p>Strategic fit between institutions considering merger helps make a strong case to take this forward, and achieve buy-in from students, staff, funders, and other stakeholders. Strategic considerations may include the following:</p> <ul style="list-style-type: none"> <li>• The potential to improve or stabilise the financial position of one or more of the partners.</li> <li>• The extent to which academic provision is complementary (how much overlap is there). Minimal overlap can encourage merger in that it creates opportunities for interdisciplinary teaching and research, or for increasing research income through collaboration. A certain degree of overlap may also encourage merger as a route to efficiency savings. Minimal overlap is likely to avoid some of the hurdles to merger.</li> </ul> <p>There are likely to be a large number of other strategic considerations – however the above were particularly relevant to the Cardiff merger.</p>
<b>Careful communication is required during the pre-merger planning and negotiation stage (7.2.3)</b>
<p>Opportunities to streamline the decision making process between pre-merger institutions, and funders (within the bounds of compliance) should be taken. This may involve a structured process of decision making and negotiation, with key milestones – such as determining the amount of funding available to support merger - clearly identified.</p>
<b>Effective communication with staff is essential (7.2.4)</b>
<p>Seminars and conference style events are a practical way to communicate with staff prior to and during the merger process. Such events can be used to communicate the case for merger to staff, and generate ideas to enhance the process and likelihood of achieving the expected benefits. 'Champions' within each academic area and service department of the institution can help to achieve buy-in also.</p>
<b>The unforeseeable can have a major impact (7.2.5)</b>
<p>Some of the risks to successful merger have a low probability, but if they materialise can have a major impact on the merger the process. An example of this may be the unexpected serious illness of key staff.</p>
<b>Recognise, respect and manage the differences (7.2.6)</b>
<p>It is important to recognise any differences between the brands and student population identity from previously distinct institutions. It is also important to consider the brand of the new merged institution and ensure that no positive associations with this are lost following merger. Also the need to maintain certain student institutions, such as sports clubs should be considered carefully. In addition, ongoing support will be needed by the 'smaller' unit to ensure effective integration.</p>

**Supporting students through the transition is essential (7.2.7)**

Particularly in the case of a smaller institution merging with a larger institution, there is the need to consider the practical implications for students, especially if the curriculum is very distinct in nature to the rest of the enlarged institution. This may require the appointment of a dedicated officer to implement appropriate consultation and projects.

**Effective use of resources during organisational change management is essential (7.2.8)**

A project management framework is an important tool in the delivery of a merger. This should extend from the initial stages to post-merger benefits management, and should involve individuals who are required to deliver these benefits following merger.

In addition, the early agreement of the new senior management structure should be an important feature of the initial detailed work once merger has been agreed. This may include the appointment of specific staff to encourage collaboration between areas of the institution that were previously distinct organisations – this may be particularly relevant if the benefits of merger relate to increased interdisciplinary research.

**Benefits can take time to deliver (7.2.9)**

The level of ongoing change management required to deliver the expected benefits of merger can be underestimated. The continuation of a project management framework with a specific focus of benefits realisation should be an important feature of the post-merger phase.

## **Appendix A. Consultees**

The following individuals participated in consultative interviews:

- Scott Allin, Deputy Director, Finance, Cardiff University
- Jill Bedford, Director, Registry & Academic Services, Cardiff University
- Prof Peter Blood, Deputy Vice Chancellor, Cardiff University
- Dr Ewen Brierley, Senior Strategic Development Manager, HEFCW
- Ed Carey, President, Students Union, Cardiff University
- Louise Casella, Director, Strategic Development, Cardiff University
- Dr David Grant, Vice Chancellor, Cardiff University
- Prof Stephen Tomlinson, Proctor, Cardiff University
- Prof Philip Gummett, Chief Executive, HEFCW
- Celia Hunt, Head of Strategy, Learning & Funding, HEFCW
- Dr Sue Hybart, Director, Planning Division, Cardiff University
- Geraint Jones, Director, Research & Commercial Development, Cardiff University
- Prof Malcolm Jones, PVC, Health & Estates, Cardiff University
- Jack Navien, Healthcare Student Integration Officer, Cardiff University
- Michaela Nield, University & Academic Affairs Officer, Cardiff University
- Chris Turner, Director, Registry, Governance & Students, Cardiff University

## Appendix B. Key strategic outcomes and objectives

The following tables present Cardiff University's observations relating to progress against the strategic outcomes and key objectives of merger.

**Mission: To pursue research, learning and teaching of international distinction for the benefit of Wales and the wider world.**

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
0.1	To establish a clear identity for the new Cardiff University.	Complete full merger and approval of merged University Charter.	The merger between Cardiff University and the College of Medicine was formalised by Royal Assent and the associated Act of Parliament from 1 December 2004. The Supplemental Charter and revised statutes were approved, in the name of Cardiff University, by the Privy Council on 11 March 2005. This act also confirmed the University's secession from the University of Wales.	see 2007
0.2		Develop a shared culture of excellence.	The University Committees Review started in November 2005 and current progress is viewed as a considerable success by all involved. The former UWCM has benefited from more rigorous Strategy deployment, management information systems and other processes to create a common culture of excellence. This achievement has underpinned all of the matters reported under each of the aims.	<p>During 2007 the University undertook a lot of work to identify the key strategic issues that it needed to address in order to meet its vision. This work has resulted in a new Strategy for the University which incorporates a Strategy Map which represents a coherent map of action to help transform vision into reality. The new Strategy is underpinned by a new Strategic Investment Fund which ensures that all investment is supporting strategic aims. (Evidence: Strategy)</p> <p>The School Strategic Planning process has been strengthened by the establishment of a School Strategic Planning Group led by the Deputy Vice-Chancellor and comprising mainly Heads of Schools. This Group ensures that School plans are robust and fit for purpose and aligned to the University Strategy. (Evidence: Strategic Plan submission to HEFCW July 2009)</p>

**Aim 1 To pursue research that is recognised as internationally distinguished in its quality and impact.**

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
1.1	To achieve and maintain a place in the top 5 UK universities.	Increase the scores for all Units of Assessment in the 2007 RAE.	<p>The target date for achieving a top 5 placing is the RAE round after next, i.e. 2010. It is probable that the relevant league table will be discontinued and so this measure will no longer be available for monitoring. The sub-objective, to develop institution-wide RAE targets, has been fully realised with all Schools having specific RAE targets.</p> <p>A further sub-objective regarding the assessment of all academic staff is progressing. An initial assessment has been completed on schedule and the outcomes will be taken forward to the RAE submission.</p>	<p>The latest Research Assessment Exercise (2008) shows that world-leading research is being undertaken throughout Cardiff University. Almost 60 per cent of all research at Cardiff University was assessed as world-leading or internationally excellent – 4* and 3* the top two categories of assessment. Changes in Assessment methods mean that results are not directly comparable with those of last time but it is already clear that the merger between the University and the Wales College of Medicine is producing many research benefits.</p> <p>Due to the change in the RAE assessment, as a progression from school target-setting, internal thresholds were set to determine what research would be included in the 2008 RAE submission. It is anticipated that the benefits of merger relating to research quality in units of assessment most relevant to the merger (health and biosciences) will be most pronounced in the 2012 REF.</p> <p>Cardiff was ranked 7th by graded average in 2001 and the University of Wales College of Medicine 48th by the same measure. Combined and ranked on that basis we would have been c22nd in 2001. Based on Research Power we are ranked 15th this time - reflecting the new enlarged university and the consolidation that has taken place. (Evidence: RAE 2008 website and the Research pages of the University's website)</p> <p>The assessment of all academic staff was completed successfully and was used to help develop the internal threshold for</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
				determining the 2008 REF submissions. The University is now preparing for REF and 2 Schools have been involved in the HEFCE pilot of the impact proposals.
1.2		Achieve/exceed school-based targets for increases in research income based upon external benchmarks.	<p>Target setting was extended to Heath Park Schools on schedule and research grant funding growth is in line with the business plan. The Research Committee has established a Research Performance Indicators Group to consider Key Performance Indicators (KPIs) to deliver the Research Strategy.</p> <p>Records of research applications for each School are updated and reviewed on a monthly basis.</p>	<p>Target-setting at School level is now based on research awards. Overall targets have necessarily been revised to take account of the different economic climate that universities now compete within. There is also emphasis on improving success rates, including the increased use of internal peer review. (Evidence: Research award and income data)</p> <p>The overall research income forecast included in the business plan was developed through a comparative analysis of the research income received by HEIs in areas which would be enhanced through merger (health and biosciences). With hindsight the forecast would have been more accurate if it had included a greater lag time following award of funds.</p>
1.3		Achieve/exceed targets for PGR recruitment based upon external benchmarks.	<p>PGR targets were set on time, benchmarked against other Russell Group universities and universities with high RAE scores in 2001.</p> <p>Work on targets for PGR recruitment and PhD studentships is ongoing as is work on management information for Graduate Development Committee that will include statistics relating to this area.</p>	<p>The targets referred to in the interim evaluation haven't been met at this stage, however this is an ongoing priority for the university and is reflected in the priorities in the university's strategy map.</p> <p>The University has launched its President's Scholarships. An additional 72 full RCUK-rate PhD scholarships are being offered by the University over the next two years as part of a new £4M investment to coincide with the inauguration of Professor Sir Martin Evans (Nobel Prize for Medicine 2007) as Cardiff's new President. (Evidence: University website). School targets for PGR recruitment are currently being updated.</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
1.4		Increase number of research grant applications, particularly to research councils and major charities, for large programme grants. (See also Priority 1.8)	Ambition to support grant application process only partially achieved but applications are up by approximately 50% between 2005/06 and 2006/07 nevertheless. The objective to monitor application/success rate has been achieved on time.	Merger was a significant factor in the University's ability to win the first MRC Centre in Wales. The MRC Centre for Neuropsychiatric Genetics & Genomics is led from the School of Medicine but also involves researchers from across the University. The university has moved towards monitoring the number of successful applications rather than simply the number submitted. The University continues to encourage applications for large value interdisciplinary awards (e.g. the MRC Centre) which was a key objective of merger particularly in the bio-medical area.

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
1.5	To maintain and further develop a research infrastructure that will encourage and support research of the highest quality.	Utilise Science Research Investment Fund (SRIF) and other external capital funding for maximum advantage.	Objective achieved on time with various SRIF3 projects agreed and underway and a new Estates Strategy being submitted to HEFCW.	<p>Campus Horizons is a programme of ambitious capital projects, which includes major new academic developments and an entirely new campus for the University's research. Both UK and Welsh capital funding sources have been used to support this programme. The existing campus will be upgraded and transformed, as will the information and communications technology. Maindy Park is the cornerstone of Campus Horizons and will be a phased development of buildings for research, postgraduate teaching and showcasing the University's academic excellence, including the Gateway Building and space for University Research Institute developments. The building is critical to realising the interdisciplinary research benefits of merger. (Evidence: University website)</p> <p>Advanced Research Computing @ Cardiff (ARCCA) is a new division within Cardiff University. The division provides, coordinates, supports and develops advanced research computing services for researchers at Cardiff University in a way that would not be possible if provided by individual schools. (Evidence: University website).</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
1.7		Provide leading edge library and IT/information infrastructure to support research.	The Library Review's recommendations have been translated into 60 separate projects for the next three years, some of which have already been completed. The longer term strategic plan for the Review is now being led by a Project Board chaired by a member of University Council. This includes developing the space requirement and design and costings to implement the Review's proposals.	The Modern IT Working Environment (MWE): The MWE is now delivering a portal based working environment to all users providing secure, personalised and controlled access to University information resources, systems and business processes. Further work to tap into the power of Web 2.0 technologies is underway. Other outcomes relevant to this objective include the introduction of Blackboard online, and facilities that will be available at the Cochrane Building for all Heath Park Schools.
1.9	To encourage, promote and monitor collaborative and interdisciplinary research.	Increase number of interdisciplinary applications/awards. (See also Priority 1.4)	All six appointments made under the Link Chairs Scheme are now in post although the challenge of recruitment and negotiating personal release dates meant that the original target date was missed. In addition, a Scheme has been created in which a number of 'link' PhD students are funded and which supports interdisciplinary research. The University has also approved the process for the establishment of autonomous interdisciplinary research centres and institutes.	All six Link Chairs were returned in the 2008 RAE. Appointed between 2005-2006, they have already secured over M£15 in research grants involving researchers from 14 of the University's academic schools. The Richard Whipp Studentship Scheme offered exciting opportunities for high calibre PhD students to work full-time on interdisciplinary research projects at the University. Work on University Research Institutes is now progressing and is linked with the new Gateway Building.

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
1.11	To secure a balanced research portfolio.	Avoid undue reliance on single source of funding and increase the level of support received from research councils to 2.25% of market share by 2010/11.	This is an ongoing objective which is subject to regular analysis and monitoring. The University is confident of achieving the target.	Evidence: Research income and awards by source of funding 2001/02 to 2008/09. Income from Research Councils has increased from M£17.31 pre-merger (2003/04) to M£27.18 in 2008/09. With regard to the target of increasing the level of support received from Research Councils to 2.25% of market share by 2010/11, Cardiff's share in 2008/09 (the latest data available) was 1.77% (representing 52.7% of the Wales total). The University continues to seek growth in research income and has set research award targets for each School.

**Aim 2 To pursue learning and teaching together with professional training and development that are recognised as internationally distinguished in their quality and impact**

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
2.2	To develop a shared culture of learning and teaching.	Explore and articulate the relationship between research and teaching.	There is ongoing work with Schools with funding being made available to support innovative projects in this area of activity. The Information Literacy Strategy continues to be implemented and additional activity to provide an ongoing programme of quality and innovation in learning and teaching has been undertaken to progress the overall strategic objective.	Learning and teaching priorities detailed on the Strategy Map including an educational experience informed and led by world-leading research and scholarship. Implementation of the L&T Strategy, e.g. University initiative funding has been used to pilot a scheme providing opportunities for undergraduates to work on research projects; and consideration is now being given to embedding this as normal school practice. Formats for Programme Specification were agreed in the first year of merger for all schools. The School Strategic Planning Process ensures alignment between School and University plans. In addition the Cochrane Building also offers opportunities for interprofessional education (refer to 4.5).

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
2.3	To ensure the University's academic standards befit a research-led institution.	Develop internal quality assurance and enhancement procedures that are appropriate and not burdensome.	The University has received endorsement of quality by the QAA and by professional and statutory bodies and there is annual monitoring of the Academic Quality Strategy. In addition, Cardiff submitted its Special Review Report and Supporting Evidence to the QAA in February 2006. The QAA issued the final report to institutions and HEFCW in July 2006 and Cardiff University 'passed'. A number of themes emerged during the drafting of the report which resulted in the identification of areas for further development or enhancement. These have been signalled as priority areas for Graduate Development Committee during 2006-07 and beyond and are also addressed in the Registry development plan. Some examples of good practice were identified by the QAA team, plus some recommended areas for attention and these will be pursued in the preparation for Institutional Review (scheduled for 2008).	<p>QAA Outcomes: The University has been praised by independent reviewers for its research-led teaching, its student involvement and its educational improvement strategies. The Quality Assurance Agency for Higher Education also commended the University for its investment in continuing staff development. The Agency conducted a thorough institutional review of the University's academic programmes and standards. Their report concludes "confidence can be placed in the soundness of the institution's current and likely future management" – the highest endorsement possible.</p> <p>The reviewers' report highlights a number of key University policies as examples of good practice. These included the linking of staff research activity to teaching and other student learning opportunities. The reviewers discovered from discussions with students that this is a highly valued part of the Cardiff experience. The Agency commended the way students are included at all levels of the University decision-making structure. They were struck by the way students are always described as "members" of the University rather than "customers". There was praise too for the continuing partnership between the University and Students' Union to develop the learning experience.</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
		Develop coherent, integrated and efficient policies, practices and procedures.	Good practice has been identified following merger harmonisation and there is ongoing continual improvement.	See QAA outcomes above. There is an ongoing programme of events, activities and dissemination methods through which staff across the University come together to consider learning and teaching matters and the enhancement of the student experience. These activities have helped develop a new shared culture.
2.13	To further develop the quality of the postgraduate student experience.	Enhance training provision and support for postgraduate students. (See also Priorities 1.5 to 1.7)	The Graduate Schools and Graduate Centre continue to work closely to ensure that the multiple providers within the Research Student Skills Development Programme (RSSDP) do not cause confusion for students or supervisors. Administrative structures are in place to support a co-ordinated and integrated approach. The RSSDP continues to expand and develop, with good student take up and positive evaluations of offerings. It is constantly under review. Ahead of finalising the 2006/7 programme, students and supervisors were consulted to ensure that information on any perceived gaps in provision was fed into the process. The RSSDP continues to expand and develop, with good student take up and positive evaluations of offerings. It is constantly under review. Ahead of finalising the 2006/7 programme, students and supervisors were consulted to ensure that information on any perceived gaps in provision was fed into the	<p>The Graduate Schools and Graduate Centre continues to run the Research Students' Skills Development Programme (RSSDP), which has continued to grow since 2007, as have student participation rates. Satisfaction levels of participants are very high, and the programme was commended by the QAA in the Special Review in 2007 and again by the ESRC in their January 2009 inspection visit.</p> <p>New postgraduate researchers (PGRs) and postgraduate taught students (PGTs) are surveyed as part of Project Q, which demonstrates that both PGRs and PGTs are satisfied with their initial experiences at the University. The University also participated in the Higher Education Academy Postgraduate Research Experience Survey (PRES) in 2007 and 2008. The University compares at least as well as Russell Group comparators (84% of PGRs saying their overall experience was as expected or better than expected) and better in some areas such as opportunities to develop research skills and</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
			<p>process.</p> <p>In addition the University has ensured: that structures were in place to support all early stage researchers; that all relevant future strategies and initiatives address the needs of both staff and students; and, that there were clear access points for end-users to the support available. A plan is being developed to ensure that the University approaches the training and development of all early stage researchers in an integrated and strategic way.</p>	<p>infrastructure. There is no equivalent baseline data pre-merger.</p> <p>This is covered in our approach to implementing the Concordat to Support the Career Development of Researchers. We have benchmarked our current provision and identified a set of actions (approved by both HR Committee and Research Committee). We have developed an Implementation checklist for all Schools to complete and produce a one page summary of progress, highlighting areas of good practice and those which require further development. In addition, the University is currently reviewing the Graduate Schools, in line with the Cardiff Project Management Framework practice, to identify any revisions to supporting structures to best meet the needs of research students and their supervisors and schools.</p>

**Aim 3 To benefit society through making a significant and sustainable contribution to the health, economy, education and culture of Wales, thereby enriching and enhancing the profile of Wales in the UK and the world.**

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
3.2	To promote activities which are consistent with the University's mission and strategies which will help the Welsh Assembly Government address particular problems in Wales, and to contribute to policy development in Wales.	Collaborate within Wales on the sector's contribution to the Welsh Assembly Government's <i>Reaching Higher</i> strategy, and on the recommendations of the <i>Knowledge Nexus Report</i> .	The University's Innovation and Engagement Strategy addresses all WAG Third Mission objectives. Examples include alignment with WAG's Science Policy, including a major contribution to Health objectives; work on sustainability projects such as BRASS; and, the support of networks for the business sector such as CUIN.	<p>The University, through delivering its Innovation &amp; Engagement Strategy in particular, contributes significantly to WAG priorities in terms of supporting a buoyant economy (e.g. Fusion IP, CUIN etc.) and to delivering Social Justice (e.g. widening access, home of the Welsh for Adults Centre for Cardiff and the Vale of Glamorgan). It is also aligned with WAG's Science Policy e.g. MRC Centre for Neuropsychiatric Genetics &amp; Genomics, the Low Carbon Research Institute, significant University investment in a Sustainable Places Research Institute.</p> <p>Since the publication of the Assembly's 'For our Future' strategy for HE in Wales, the University has been identifying where it is already significantly contributing and where it needs to take further action. These plans will be reflected in our annual submission of our Strategic Plan to HEFCW in summer 2010. A specific 'merger' example of contributing to the Assembly's social justice priority (relating to flexible provision, widening access to professions and regional planning &amp; delivery) is the new entry route that has been developed since merger onto the MBBCCh Medicine degree - the University of Glamorgan developed its BSc in Medical Sciences in collaboration with Cardiff University to provide a pathway for their students into medicine. The first cohort of students due to enter the MBBCCh by this route will be 2011/12.</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
3.4		<p>Enhance CPD provision for health professionals through enhanced access to CPD opportunities.</p>	<p>This objective is incomplete against target but progress has been made. Meetings with senior staff in most Heath Park schools have taken place took place with opportunities for collaborative development being identified as a result. It was also suggested that a cross-University plan for CPD provision for health professionals should be investigated. Discussion and plans towards this end are underway.</p> <p>A needs analysis for a Graduate and Professional Development Centre was completed in 2004/05 leading to a decision to concentrate resources on other vehicles to achieve the same aims.</p> <p>An extensive range of services to support the new training structure for doctors have been developed which are overseen by the School of Postgraduate Medical and Dental Education. These will be extended to Allied Health Professionals in the future. In addition, 38 of the 39 NHS Trust and CU locations where CU students attend on placement use the Library catalogue, and 21 of the Trust Libraries also provide connections to the full range of resources available on the CU network. All CU</p>	<p>This objective in continuous and ongoing: A review of lifelong learning and continuing personal and professional development is underway within the University - this has the remit of developing a University wide strategy (including Health) for the future delivery of CPD. This will build on the work all ready undertaken by individual schools in enhancing their CPD provision and opportunities e.g. DENTL have developed two new part-time MSc programmes targeted at the profession. There has also been an increase in CPD relating to Optometry.</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
			students (and their supervisors) have the same level of access to information wherever they are placed.	
3.5	To play a pivotal role in the development and provision of health and social care in Wales.	Close collaboration with NHS and other appropriate agencies.	The University's NHS Liaison Unit works to facilitate good relationships between the institution and its NHS partners, particularly in the shared delivery of high quality medical and healthcare education. Major collaborative proposals with the NHS and other academic partners include (i) the Wales PET Scanner Research Centre; (ii) the Clinical Research Co-ordinating Centre for Wales (CRCC Cymru); and, (iii) the Wellcome Trust Clinical Research Infrastructure Initiative. Also, the Health Policy Group provides a forum to bring together relevant participants from across academic disciplines in research, education and training, together with professionals from the health and social care sectors, to monitor developments in health policy in Wales and co-ordinate responses where appropriate.	The University's NHS Liaison Unit works to facilitate good relationships between the institution and its NHS partners, particularly in the shared delivery of high quality medical and healthcare education. The Strategic Health Alliance for Research and Education (SHARE) project, a collaboration with Bangor University, Betsi Cadwalder University Local Health Board and Cardiff and Vale University Health Board; and the development of an all-Wales Academic Health Science Collaboration strategy for the National Institute of Social Care and Health Research (NISCHR), WAG are major examples of where the University is contributing to the future development and provision of health care in Wales. Our Schools of Medicine, Dentistry, Nursing & Midwifery, Healthcare, Psychology, Pharmacy, Optometry and Postgraduate Medical & Dental Education in their on-going work continue to contribute to health and social care in Wales in terms of teaching, research and clinical work. Developments since 2004 that have been facilitated by merger are many, but specific examples include: - Professor Elwyn in the School of Medicine (Link Chair appointment) is working in collaboration with researchers across a number of Cardiff's Schools (Social Sciences, Psychology, Maths, Computing Science, Law, Dentistry) - his areas of expertise include how patients can be actively involved in decision-making and communication - the use of new communication technologies to support these goals has led to

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
				<p>interest in patient decision aids and in the impact they make on quality and patient safety. - the University is building on strengths in public health aided by increased collaboration between schools of the 2 previous institutions (including Medicine, Dentistry, Nursing &amp; Midwifery, Pharmacy, Psychology, City &amp; Regional Planning and Social Sciences. (see <a href="http://www.cardiff.ac.uk/research/spotlight/publichealth/profile.html">http://www.cardiff.ac.uk/research/spotlight/publichealth/profile.html</a>)</p>

**Aim 4 To create an environment in which staff and students can achieve their full potential and within which intellectual and creative life can flourish.**

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
4.2	To recruit, retain, motivate and develop staff of the highest professional standards.	Develop a shared culture of excellence for the University.	Ongoing and successful (see 0.2)	<p>Positive Working Environment is a university wide initiative which seeks to improve working life for all members of staff at Cardiff University wherever possible. The initiative seeks to support and develop the University's staff, providing opportunities for everybody to reach their maximum potential. (Evidence: University Website).</p> <p>Cardiff University's first Staff Attitude Survey was conducted as part of the Positive Working Environment initiative in June – July 2008. Following the results of the Staff Attitude Survey, work has been taking place across the University to address the issues and concerns that members of staff raised. (Evidence: University website)</p>
		Enhance the University environment through performance management and leadership.	<p>In terms of Performance Management, the underpinning policies are now in place and HR are working with Schools to implement and embed these activities.</p> <p>A draft outline Leadership &amp; Management Development Framework has been developed through consultation with stakeholders. From January 2006, activities have been initiated to improve the support of existing leadership and management development across the University and to integrate all initiatives into the over-arching institutional strategy on</p>	<p>There are now a number of Leadership and Management Development opportunities available within Cardiff University, in addition to external opportunities. Firstly, three Leadership and Management Development Programmes are targeted at research team leaders, senior managerial professional and specialist staff and first line managers respectively. Secondly, there are a number of short courses offered through the Staff Development Programme and to Research Staff through the Research Staff Career Development Skills Programme. Thirdly, there are also a number of other opportunities available within Cardiff University. (Evidence: University website)</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
			<p>leadership and management as it emerges. A suite of new or refreshed leadership development programmes is being introduced in 2007.</p> <p>An liP Steering Group has been established and an implementation structure is being developed to project manage the implementation of liP at Cardiff University. The target for the whole University gaining liP status is set for 2009 which has been revised from the original target date of 2007.</p>	<p>The target for the whole University to gain liP status has been revised to 2010. Due to changing pressures and priorities across the University, it was decided to continue with the policy of gaining liP status within individual parts of the institution and to set a later target date of 2010 for gaining liP as a whole institution. Assessment is in 3 waves: June 2010, Sept/Oct 2010 and Dec 2010/Jan 2011 - therefore we'll know in January 2011 whether the University has achieved full liP recognition as a single organisation.</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
4.3	To enhance the student experience and provide opportunities for student involvement in the development of the University.	Implement a Student Communications Strategy.	The Implementation Plan for the Communication (Students) Strategy is being undertaken in conjunction with the development of Project Q which aims 'to assist the University in gaining a clear insight of the scope of the existing engagement with the student body and of the means of enhancing this engagement. The University and Students' Union are currently running the Project Q online survey for new students for the second year. A detailed action plan based on feedback from the first year survey is now being applied. Actions have already taken place and include more effective communication methods being used at enrolment by both the University and Students' Union. The learning and teaching experience of postgraduate students has been explored through focussed discussion groups and headline findings will feed into the learning and teaching activities for the coming year.	<p>The Communications Strategy work is ongoing and there is a Student Communication Group chaired by the PVC Education &amp; Students. As noted earlier student involvement in University decision making was commended by the QAA in the institutional review report.</p> <p>A Student Experience Unit was established as part of the merger process but the services offered are now more mainstreamed within the Registry and have been linked with the Quality Assurance and enhancement processes. This Unit gave rise to Project Q referred to in the 2007 evaluation which is still ongoing.</p> <p>Work is ongoing to improve the levels of satisfaction reported through the NSS. The university has a monitoring group focussing on communications with students in the School of Medicine. School of Dentistry teaching arrangements including timetabling have been modified based on feedback from students.</p> <p>Both the Trevithick and Arts &amp; Social Studies libraries have seen extensive refurbishment funded by the University and the Wolfson Foundation. The new Cochrane Building on the Heath Park site will also include A new library, integrating the present Duthie and Ty Dewi Sant facilities.</p>

Ref	Key Strategic Outcomes	Key Objectives	Outcomes/Comments (from the HEFCW Interim Review Report 2007)	Final Outcomes/Comments (April 2010)
4.5	To ensure that the Estates Strategy is consistent with the University's mission and strategies.	Continue to develop the Estates Strategy to make creative use of existing and any future additional space. (See also Priority 1.5)	The Estates Strategy was submitted to HEFCW by the deadline of the end of March 2006 and the University has purchased land which will provide additional space.	<p>Campus Horizons is the University's capital investment strategy. There is a Campus Horizons Implementation Steering Group with an independent reviewer in line with the University's Project Management Framework. The Independent Reviewer reports directly to Council. The two major estates projects at present are the Maindy Gateway Building (supporting interdisciplinary research in particular) and the Cochrane Building - the successful completion of both buildings is critical to continuing to deliver the benefits of merger.</p> <p>The Cochrane Building will offer facilities to all five Healthcare Schools on the Heath Park site. The new Centre is a particular strategic key for the School of Medicine. It will give the School a "front door" and meet most of the day to day needs of its students. The increased opportunities for contact between the different healthcare disciplines will also create new opportunities for interprofessional learning and future professional collaborations. (Evidence: University website).</p> <p>If conversion of existing space for academic use is included, then the university will meet the 20,000m<sup>2</sup> target by 2010. The University is now into the next stage of developing the University Research Institutes which require the new Gateway build. This new build will be essential for delivering this further growth of capacity and world-leading reputation.</p>

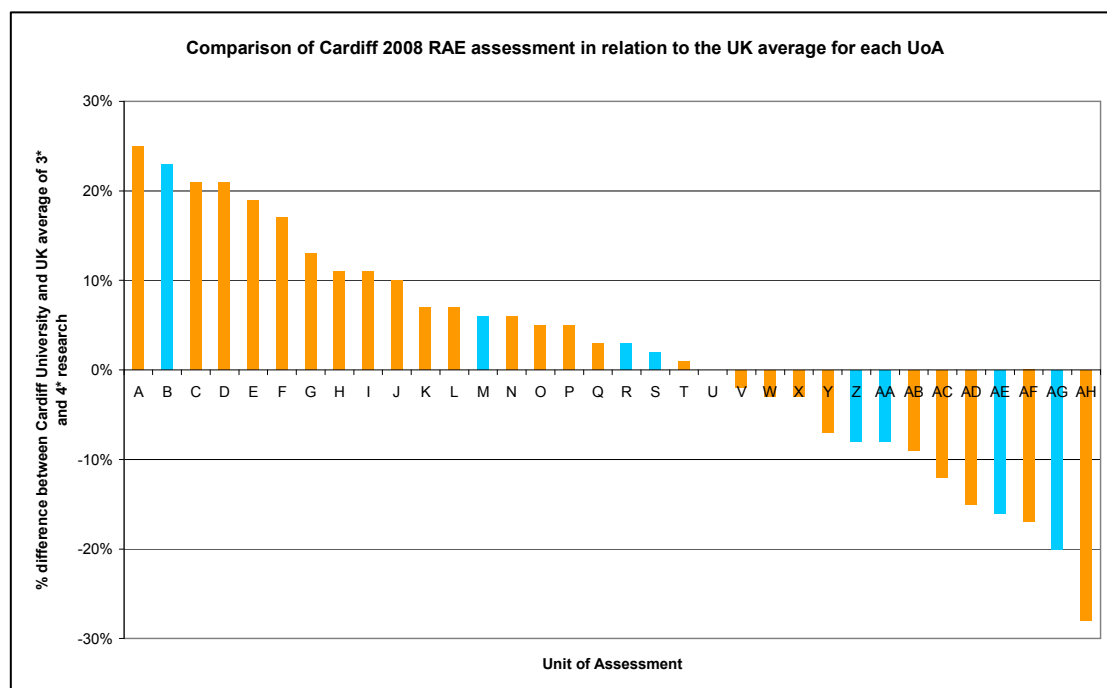
<b>Ref</b>	<b>Key Strategic Outcomes</b>	<b>Key Objectives</b>	<b>Outcomes/Comments (from the HEFCW Interim Review Report 2007)</b>	<b>Final Outcomes/Comments (April 2010)</b>
4.7	To ensure the University's mission and aims are underpinned by an effective and efficient structure.	Establish a unitary committee system with clear lines of accountability.	The initial review of the Committee structure was completed at the end of the 2004/05 session and is now under continuous rolling review. Objective therefore achieved on time and subject to continued development.	As a result of the review of the Committee structure a new Academic Strategy Committee was established which ensures integration in our consideration of research, learning & teaching and innovation & engagement issues.
		Reduce expenditure on overheads as a proportion of total expenditure.	The University believes that these objectives will be met. 2005/06 levels are: Admin at 6.02% against the planned 6.96%; premises at 6.33% against a planned 5.40%. In combination these figures are in line with the plan. The overrun on premises is entirely due to much higher than forecast energy costs.	Expenditure in 2008/09 on administration was 6.32% of total expenditure (merger target was reduction from 7.67% in 2002/03 to 6.4% in 2009/10 so ahead of target). Expenditure in 2008/09 on premises was 6.21% of total expenditure (merger target was reduction from 6.5% in 2002/03 to 4.8% in 2009/10 so not meeting target but this is due to huge increases in energy costs outside of the University's control).

## Appendix C. Analysis of Cardiff RAE 2008 by UoA

The figure below compares the outcomes of the 2008 RAE assessment to the UK average for each Unit of Assessment submitted by Cardiff<sup>20</sup>. The difference between the percentage of Cardiff submission achieving a 3\* or 4\* assessment compared to the average percentage of all UK institutions achieving the same is shown. The most positive comparisons are shown to the left, and the least positive to the right. UoA most relevant to the merger i.e. which would have previously been submitted by UWMC are shown in blue.

A key is also shown allocating a letter code to each of the Units of Assessment. Those which would previously have been submitted by UWCM are shown in italics. The number of FTE Category A staff submitted for each UoA is also shown.

**Figure: Difference in percentage of Cardiff submissions achieving a 3\* or 4\* assessment in comparison to the UK average**



<sup>20</sup> Data has been drawn from an analysis of the 2008 RAE outcome provided by HEFCW (17). The original data was taken from: <http://www.rae.ac.uk/news/2008/results.asp>

<b>Key (areas most relevant to merger in italics)</b>	Code (FTE Category A staff submitted)
Psychology	A (59.35)
<i>Psychiatry, Neuroscience and Clinical Psychology</i>	B (21.30)
Allied Health Professions	C (21.70)
Communication, Cultural and Media Studies	D (16.50)
Civil Engineering	E (21.30)
Business and Management Studies	F (114.85)
Town and Country Planning	G (42.40)
Law	H (24.85)
Music	I (13.20)
European Studies	J (33.40)
Sociology	K (61.40)
Computer Science and Informatics	L (22.15)
<i>Primary Care and Other Community Based Clinical</i>	M (11.90)
Earth Systems and Environmental Sciences	N (37.00)
Architecture and Built Environment	O (23.30)
English Lang and Lit	P (44.20)
Mechanical, Aeronautical and Manufacturing	Q (25.60)
<i>Other Hospital Based Clinical Subjects</i>	R (31.42)
<i>Dentistry</i>	S (27.60)
Biological Sciences	T (53.90)
Pharmacy	U (26.87)
Celtic Studies	V (8.00)
Archaeology	W (21.33)
Chemistry	X (36.57)
Physics	Y (32.30)
<i>Cancer Studies</i>	Z (26.60)
<i>Nursing and Midwifery</i>	AA (11.50)
Electrical and Electronic Engineering	AB (18.26)
History	AC (29.00)
Theology	AD (12.00)
<i>Infection and Immunology</i>	AE (42.60)
Pure Mathematics	AF (30.45)
<i>Cardiovascular</i>	AG (19.40)
Philosophy	AH (8.00)

This shows that a relatively high performance (over 20% above the UK average for 3\* and 4\* assessment) was particularly observed in the following areas:

- Psychology
- Psychiatry, Neuroscience and Clinical Psychology
- Allied Health Professions

- Communication, Cultural and Media Studies

However the profile also indicates that there is a great deal of variation in terms of the level of quality of research submitted to the RAE undertaken at Cardiff University across the Units of Assessment.

# Appendix D. Cardiff University: Research Awards and Research Income

Figure 4: Cardiff University: Research Income

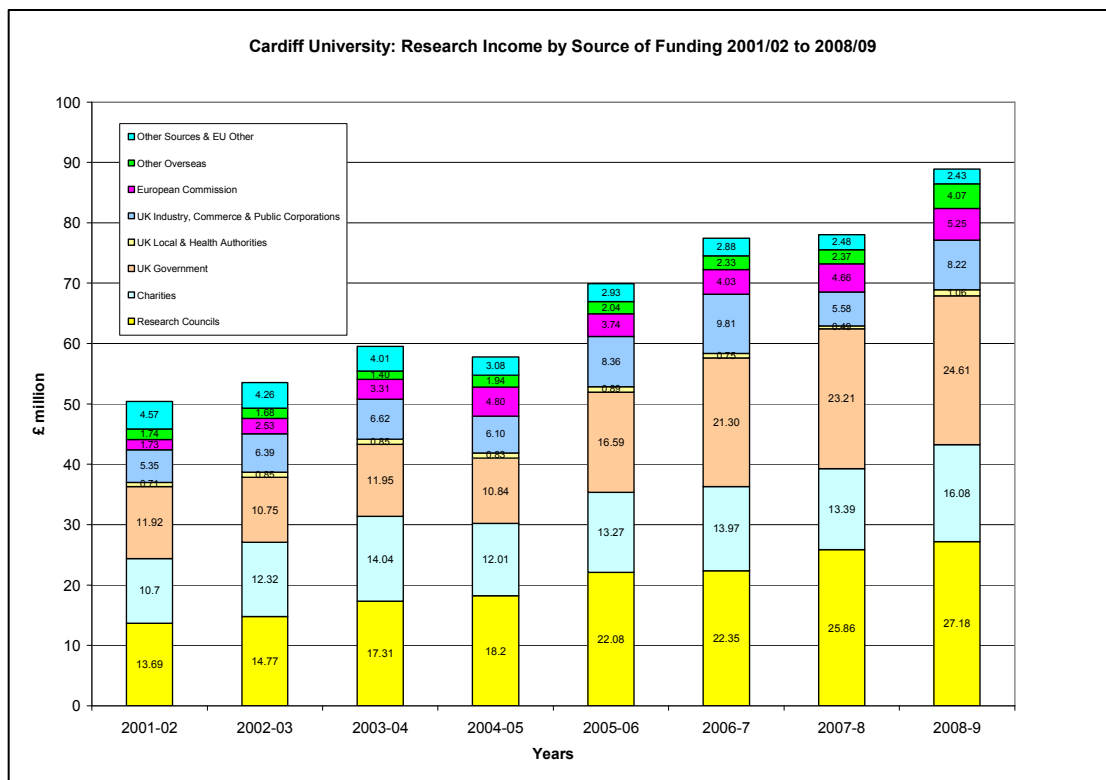
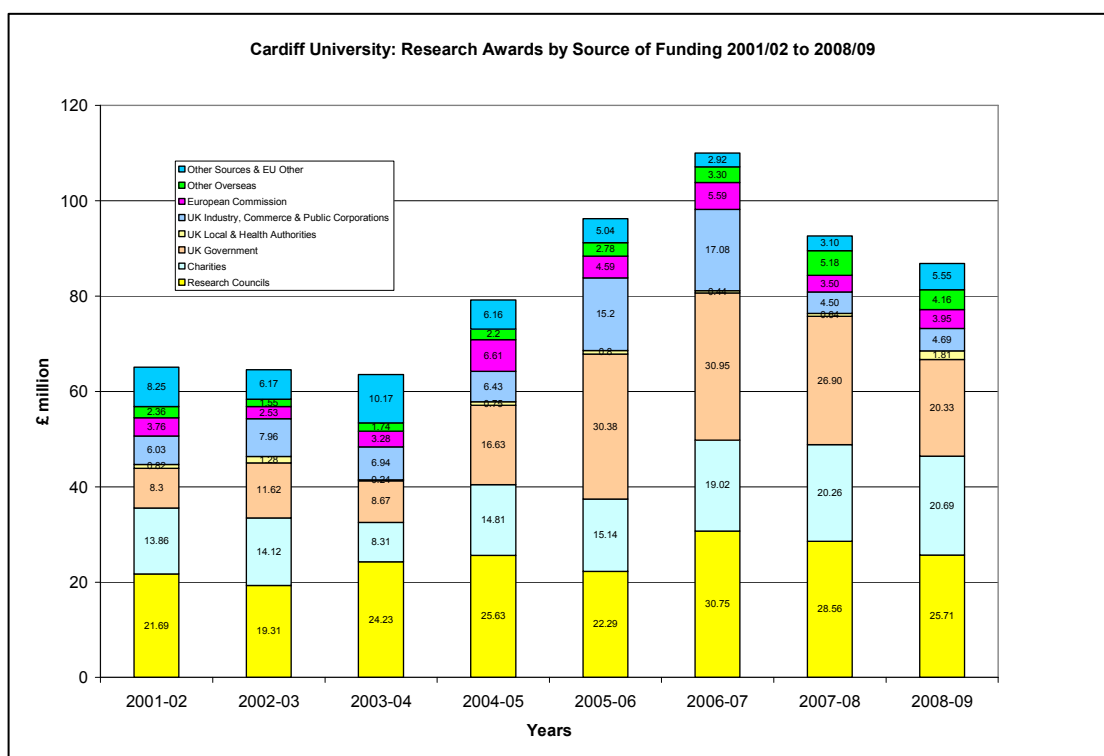


Figure 5: Cardiff University: Research Awards



**Table 1: Research awards, income, and forecast income (£m)<sup>21</sup>**

	2002-03	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10
Awards	£64.54	£63.58	£79.22	£96.22	£110.04	£92.64	£86.88	£84.20 <sup>22</sup>
Income	£53.55	£59.49	£57.80	£69.90	£77.43	£78.03	£88.90	Not available
SRIF/JIF	£4.72	£1.39	£8.24	£6.89	£2.73	£1.60	£0.24	Not available
Total income	£58.27	£60.88	£66.04	£76.79	£80.16	£79.63	£89.14	Not available
Forecast income	£54.97	£61.26	£68.38	£76.45	£87.92	£101.11	£116.27	£133.72
Variance	£3.30	-£0.38	-£2.34	£0.34	-£7.76	-£21.48	-£27.13	Not available

The above table shows the research income and awards for Cardiff University 2002/03 to 2009/10. The total income figure includes Science Research Investment Funding (SFIF)<sup>23</sup> and Joint Infrastructure Fund (JIF) funding.

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<sup>21</sup> Data provided by Cardiff University (28)

<sup>22</sup> Part year to 14/04/2010

<sup>23</sup> <http://www.rcuk.ac.uk/research/resinfra/srif.htm>

## Appendix E. Document Schedule

The following documents have been used to inform this report:

Doc Ref	Date	Issuing Org	Title	Comment
1	Mar-07	HW Corporate Finance	Review of the merger between Cardiff University and the University of Wales College of Medicine	Interim evaluation of the merger
2	Nov-09	Welsh Assembly Government	For our Future	Welsh Assembly Government Higher Education Strategy and Plan for Wales
3	Mar-10	Welsh Assembly Government	The 2010-11 HEFCW Remit Letter	Letter from the Minister for Children, Education and Lifelong Learning to HEFCW setting out remit of HEFCW.
4	Jan-09	Wales Audit Office	Collaboration between Higher Education Institutions	The 2009 report of the Wales Audit Office on Collaboration Between HEIs
5	2000 - 2003	HEFCW	Research Income Table for Welsh HEIs	Sources: HESA Resources for Institutions of Higher Education 2004/2005 (for all figures except recurrent research funding)
6	2004 - 2005	HEFCW	Research Income Table for Welsh HEIs	Sources: HESA Resources for Institutions of Higher Education 2004/2005 (for all figures except recurrent research funding)
7	2006 - 2007	HEFCW	Research Income Table for Welsh HEIs	Sources: HESA Resources for Institutions of Higher Education 2004/2005 (for all figures except recurrent research funding)
8	2008 - 2009	HEFCW	Research Income Table for Welsh HEIs	Sources: HESA Resources for Institutions of Higher Education 2004/2005 (for all figures except recurrent research funding)

Doc Ref	Date	Issuing Org	Title	Comment
9	Mar-09	HEFCW	2008 Research Assessment Exercise: Outcomes for the Welsh Higher Education Sector	2008 Research Assessment Exercise (RAE) results for Welsh HE Sector - internal Hefcw document synthesised from 2008 RAE outcomes: <a href="http://www.rae.ac.uk/news/2008/results.asp">http://www.rae.ac.uk/news/2008/results.asp</a>
10		HEFCW	2001 Research Assessment Exercise (RAE) results spreadsheet	
11	May-08	QAA	Cardiff University: Institution Review	Report of QAA Review of Cardiff University May 2008
12	Nov-09	General Medical Council	Cardiff Medical School Examination Mark Errors	General Medical Council paper relating to Medical School examination errors November 2009
13	Dec-09	Welsh Assembly Government	Report on the Citizen-centred Governance Review of the Higher Education Funding Council for Wales	Report of HEFCW Governance Review
14	2009	HEFCE (acting on behalf of the four funding councils)	National Student Survey results	<a href="http://www.unistats.com/">http://www.unistats.com/</a>
15	Dec-08	The Times Higher	Times Higher rankings	<a href="http://www.timeshighereducation.co.uk/story.asp?storycode=404786">http://www.timeshighereducation.co.uk/story.asp?storycode=404786</a>
16		HEFCW	Merger Strategic Outcomes	Summary of merger strategic outcomes and key objectives
17		HEFCW	2008 RAE outcome charts Wales vs UK average	Analysis of the outcomes of the 2008 RAE for Welsh HEIs in relation to the UK average.
18	Mar-04	HEFCW	RECONFIGURATION AND COLLABORATION FUND Merger of Cardiff University and University of Wales College of Medicine	The Funding letter in respect of the £15 million HEFCW support for the merger, including information on interim targets/deliverables and the draft outcomes.
19	Mar-02	Welsh Assembly Government	Reaching Higher	A strategy for the higher education sector in Wales

Doc Ref	Date	Issuing Org	Title	Comment
20	Mar-04	Welsh Assembly Government	Knowledge Economy Nexus: Role of Higher Education in Wales	Report of the Welsh Assembly Government's Higher Education and Economic Development Task and Finish Group
21	Jul-06	HEFCW	Correspondence re progress towards strategic outcomes June-July 2006	Correspondence from June-July 2006 re progress towards the achievement of the strategic outcomes for the merger.
22		HEFCW	expenditure plan summary SRIF 3	Plan summaries for how SRIF3 research infrastructure funding (2006/07 to 2007/08) was to be used.
23		HEFCW	expenditure plan summary SRIF2	Plan summaries for how SRIF2 research infrastructure funding (2004/05 to 2005/06) was to be used.
24	Feb-05	Cardiff University	Merger monitoring report February 2005	Report on merger progress to HEFCW
25	Mar-06	Cardiff University	Merger monitoring report March 2006	Report on merger progress to HEFCW
26	Sep-04	Cardiff University	Merger monitoring report September 2004	Report on merger progress to HEFCW
27	Sep-09	HEFCW	RC income 2008-09	Research Council income for Welsh HEIs in 2008/09 (including a breakdown for each of the Research Councils).
28	Apr-10	Cardiff University	Research Income and Awards 8 years to 2008-09	Data relating to research income and award values and sources.
29	Apr-10	Cardiff University	Merger Outcomes progress	Spreadsheet of statements relating to progress against stated outcomes of merger.
30	2009	Cardiff University	Cardiff University Strategy	Strategy documentation.
31		Cardiff University	Our Strategic Planning process	Document setting out the strategic planning process for Cardiff University.
32	May-09	Cardiff University	Strategic Aspects	Presentation provided by Cardiff University on the merger process.

Doc Ref	Date	Issuing Org	Title	Comment
33	2008	Oakleigh Consulting	HEFCW-Lampeter Background	Oakleigh document relating to HEFCW funding streams and Lampeter
34	Jun-09	Oakleigh Consulting	Joint Ventures: Background Research Paper	Oakleigh document relating to examples of collaboration between HEIs, and between HEIs and colleges.
35	Jul-07	J M Consulting	A new university for the arts in Cornwall	Merger plan by Dartington College of Arts and University College Falmouth
36		University of Manchester	Competition, Collaboration and Mergers: A Case Study Bringing together UMIST and the Victoria University of Manchester	A presentation created by Manchester University.
37	Oct-09	Ofsted	Summary review of further education provision in higher education 2003–09	
38	Mar-08	Analytica Social and Economic Research Ltd	Managing change in EU cross-border mergers and acquisitions	Online article relating to private sector mergers in Europe: <a href="http://www.eurofound.europa.eu/emcc/content/source/eu08005a.htm">http://www.eurofound.europa.eu/emcc/content/source/eu08005a.htm</a>
39	Sep-08	SFC	Guidance to Institutions Considering Merger	This letter gives guidance to colleges and universities considering merger. This refreshed guidance uses the experience gained from the assessment of merger proposals from colleges and universities and from post-merger evaluations in both sectors.
40	Apr-10	Cardiff University	Merger Finances	Spreadsheet data confirming that in the 5 years post merger, the institution has operated at an average of surplus of 2.92% of income.
41	2008	Cardiff University	Positive Working Environment Staff Attitude Survey 2008	
42	Sep-04	HEFCW	Review of the terminated merger discussions between UWIC and The University of Glamorgan	

<b>Doc Ref</b>	<b>Date</b>	<b>Issuing Org</b>	<b>Title</b>	<b>Comment</b>
43	Mar-10	Cardiff University	Link Chair Awards	Spreadsheet list of awards attributed to the work of each Link chair with associated values.
44		Cardiff University	Table Standard Grants Spend all RCs 2008-09	Analysis of Research Council standard grant spending – source data: <a href="http://www.rcuk.ac.uk/cmsweb/downloads/rcuk/documents/rcgrantspend.pdf">http://www.rcuk.ac.uk/cmsweb/downloads/rcuk/documents/rcgrantspend.pdf</a>

## Appendix F. Analysis of student satisfaction by subject area

The following table shows percentage data relating to the proportion of 2009 NSS respondents agreeing with the statement in question 22 'Overall, I am satisfied with the quality of the course'.

Cardiff University was in the lowest quartile for Medicine, Dentistry and Biology, but in the highest quartile for a wide range of subjects.

Subject	No. of institutions	Lower Quartile	Median	Upper Quartile	Overall satisfaction
<b>Cardiff University</b>					
(L3.01) Medicine	30	80%	87%	92%	<b>68%</b>
(L3.02) Dentistry	13	86%	92%	95%	<b>78%</b>
(L3.03) Anatomy, Physiology and Pathology	44	86%	92%	96%	96%
(L3.04) Pharmacology, Toxicology and Pharmacy	24	86%	91%	95%	96%
(L3.08) Ophthalmics	6	91%	95%	96%	98%
(L3.10) Medical Technology	23	83%	87%	91%	93%
(L3.12) Biology	54	83%	88%	94%	<b>80%</b>
(L3.14) Genetics	4	85%	90%	96%	100%
(L3.31) Physical Geography and Environmental Science	49	85%	90%	93%	97%
(L3.35) Computer Science	108	73%	80%	86%	92%
(L3.36) General Engineering	15	68%	79%	89%	89%
(L3.37) Mechanical, Production and Manufacturing Engineering	54	75%	82%	88%	92%
(L3.41) Civil Engineering	43	78%	83%	91%	95%
(L3.47) Architecture	39	70%	80%	85%	87%
(L3.55) Social Policy	24	66%	77%	86%	87%
(L3.57) Others in Social studies	19	73%	86%	90%	95%
(L3.74) Others in Mass Communications and Documentation	4	84%	90%	96%	97%
(L3.79) French studies	32	84%	89%	92%	95%
(L3.84) Linguistics	13	81%	88%	90%	97%
(L3.97) Music	59	69%	79%	85%	87%

## **Appendix G. Comparison of merger lessons across the sector**

In this section we undertake a high-level comparison of Cardiff's merger experience with a limited number of other UK higher education mergers. The 'lessons learnt' presented in section 7 are contrasted to lessons identified through a limited document review of reports available in the public domain (Appendix E).

### **Strong and aligned leadership is a foundation for success (7.2.1)**

The Cardiff merger was significantly driven through the initial agreement of the two respective Vice Chancellors that merger was essential, and should be driven forward. This is also reported as one of the major enabling factors for the merger of University College Falmouth and Dartington College of Arts in April 2008 (35). An investigation into the unsuccessful merger discussions between the University of Glamorgan and UWIC (42) recommends that a memorandum of understanding setting out the key issues and principles should be created once the governing bodies have concluded that detailed work should be commenced.

### **A strong strategic fit between institutions overcomes barriers (7.2.2)**

Prior to merger, Cardiff University was in a relatively strong financial position, however UWCM was in a less robust position. The case for merger involved the plan to attract more medical-related research funding to the new institution, producing a financially viable position for the merged institution. Again this is also reported as one of the major enabling factors for the merger of University College Falmouth and Dartington College of Arts in April 2008 (35).

In the case of the merger between Cardiff University and UWCM, there was minimal overlap in terms of taught provision and research between the two institutions. This meant that particular issues which might make merger 'difficult' were avoided, such as the need for academic and administrative staff redundancies, or reduction of the institution's estate. Curriculum compatibility is also reported as one of the major enabling factors for the merger of University College Falmouth and Dartington College of Arts in April 2008. This is not to say that merger between institutions with certain elements of overlap is not desirable, or insurmountable (35).

### **Careful communication is required during the pre-merger planning and negotiation stage (7.2.3)**

During the Cardiff merger, the amount of funding offered for merger by the Welsh Assembly Government was less than the institutions had identified was required. The decision around how much to offer was made at a 'late' point in the process, and a more iterative process would have avoided the resulting intense negotiation required (1). The investigation into the unsuccessful merger discussions between the University of Glamorgan and UWIC (42) recommends HEFCW should develop project plans with key milestones for its own involvement in merger processes.

### **Effective communication with staff is essential (7.2.4)**

Cardiff identifies that communication with staff prior to merger was essential. This involved 'roadshows' and an Alliance Seminar where staff from the two institutions

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could interact and generate ideas relating to the merger. Learning from the merger of UMIST and the Victoria University of Manchester (36) also reflects on the importance of staff owning the vision, and that there is a transparency surrounding the process – coupled with a strong message that decisions will be made at certain points, and what the outcomes of these decisions are i.e. that ‘the point of no return’ has been passed once this occurs. Guidance from the Scottish Funding Council (38) also highlights the importance of a robust two way communication plan and supporting process, and suggests that ‘communications links’ in the form of trained staff can be useful - particularly when a small institution is merging with a larger institution. This correlates to Cardiff’s observation that ‘academic champions’ within schools could have undertaken such a role. However we note and would draw attention to the fact that the university did establish a Staff Reference Group with 2-3 representatives from every School and Admin Division which met during the implementation stage of the merger in addition to which there was a dedicated merger website providing information for staff and students and a merger newsletter that went to all staff.

### **The unforeseeable can have a major impact (7.2.5)**

Two senior members of staff unfortunately passed away during the first year post-merger. While there are no particular lessons to be drawn from this very sad event, it should be recognised that such events can have an enormous impact on the management of the change programme in terms of people’s emotions and energy. No particular comparisons with this sad event have been identified through the comparative document review.

### **Recognise and respect the differences (7.2.6) and Supporting students through the transition is essential (7.2.7)**

The merger of Cardiff and UWCM resulted in the loss of the ‘UWCM’ name, and adoption of the name ‘Cardiff University’ for the merged institution. Merger with a larger institution did give rise to concerns amongst students around a loss of identity. Sensitivity to student, staff, and the wider community is referred to in guidance provided by the Scottish Funding Council (38), particularly suggesting care is taken to not lose positive associations with pre-merger brand.

### **Effective use of resources during organisational change management is essential (7.2.8)**

Cardiff University adopted the position of ‘Link Chairs’ as senior research academic staff specific responsibility for providing a network for the enhancement of interdisciplinary research. A studentship scheme also offers opportunities for PhD students to work full-time on interdisciplinary research projects at the university. Networks and training to support the development of researchers are also referred to in guidance provided by the Scottish Funding Council (38) as a mechanism to enhance research capacity – particularly if one of the merging institutions hasn’t historically undertaken much research.

The interim evaluation for the Cardiff-UWCM merger (1) identifies that the merger was supported by a robust project management framework; while an investigation into the unsuccessful merger of the University of Glamorgan and UWIC (42) recommends that a dispute resolution mechanism should be included within such a

framework. Learning from the merger of UMIST and the Victoria University of Manchester (36) also reflects the need for a strong project management structure with a focus on deliverables and timescales to ensure momentum.

During the interviews with Cardiff University, one interviewee commented that the merger benefited from the early determination of the new management structure for the merged institution, however the appointment of staff to the new structure presented a challenge for the institution which benefited from external facilitation. Learning from the merger of UMIST and the Victoria University of Manchester (36) also reflects on the importance of a transparent process for appointing staff to key positions. Guidance provided by the Scottish Funding Council (38) also suggests the importance of determining a senior manager structure at an early stage, determining the remaining tiers at subsequent defined stages.

### **Benefits can take time to deliver (7.2.9)**

Interviewees at Cardiff commented that several benefits of merger require ongoing and active management. This correlates to guidance provided by the Scottish Funding Council which draws on lessons from merger proposals and post-merger evaluations (38); that the timescales to achieve certain benefits of merger can be underestimated, for example to transfer all staff to one set of terms and conditions.