

To: Heads of higher education institutions in Wales

Reference: W05/52HE

Date: 19th October 2005

Response By: 21 November 2005

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Monitoring institutional sustainability: an extension to strategic planning

Purpose

1. This circular letter follows up circular letter W05/42HE in requesting institutions to provide their *framework towards achieving long-term sustainability* and to verify the accuracy of *trigger metrics data* for the years 2001-02 to 2003-04.

Background

2. Circular letter W05/42HE provided institutions with advance notice and an explanation of the new arrangements which have been established by the Funders' Forum to monitor and evaluate the sustainability of the UK research base. Institutions were informed that there would be two elements to these monitoring arrangements: an institutional *framework towards achieving long-term sustainability* and a set of related *trigger metrics*.
3. The monitoring arrangements are being applied on a UK basis and the results, in the form of a summative report, will go to HM Treasury by 30 April 2006 and will inform in due course the next spending review. Thereafter, reporting to HM Treasury will be on a biennial basis.

Framework towards achieving long-term sustainability

4. You are asked to prepare a framework which sets out how long-term sustainability is being achieved. As indicated in circular letter W05/42HE, this is essentially an assessment, endorsed by the governing body, which sets out whether the leadership of the institution consider the institution to be on a sustainable trajectory. This assessment should be supported by relevant evidence and should reflect the trends in the trigger metrics (see below). You are encouraged to support the framework with any other performance measures which help to confirm the assessment. You are not restricted to the trigger metrics which are intended to be a core set of standard indicators rather than a comprehensive set of measures.
5. In preparing their frameworks, institutions should note that sustainability does not necessarily mean preserving all or any current activities. Instead, it means sustaining adaptive capacity, that is, managing key resources so as to at least maintain the current capacity of the institution to respond effectively to changing demands over, say, the next ten years. In TRAC volume III this is expressed as 'an institution is being managed in a sustainable basis if, taking one year with another, it is recovering its full economic costs across its activities as a whole, and is investing in its infrastructure (physical, human and intellectual) at a rate adequate to maintain its future productive capacity appropriate to the needs of its strategic plan and students', sponsors' and other customers' requirements.'
6. In feedback from the pilot stage of the exercise it was stressed that the framework must be prepared in the context of institutions' current strategic planning processes. We strongly support this principle. We also acknowledge that the timing of this request for the 'initial' framework might not coincide with your current planning timetable, in which case we ask that it be prepared as a supplement to the institution's main strategic plan.
7. Feedback from the pilot exercise also indicated that the Funding Councils should not be prescriptive in their guidance to institutions on the form and content of the framework, although some general guidance would be welcomed. In response, we have produced at Annex A broad guidance in the form of suggested headings with key questions which institutions may choose to consider in preparing their framework. However, institutions are encouraged to structure their framework in a way that best reflects their own particular circumstances.
8. In addition, the Funding Councils recognise that it is not necessarily very meaningful to seek to prepare a detailed strategy for a ten year period. Instead, the framework should set out why the institution considers that the human resource, infrastructure, academic and financial plans of the institution will ensure that it remains on a sustainable strategy over the next ten years or so.

9. The framework should be signed by the head of the institution on behalf of the governing body and sent to the Funding Council by **16 December 2005**. Given this timing, it may not be possible for the framework to be fully considered by the institution's governing body, in which case I would be grateful if you could provide a draft framework indicating when it is to be discussed by the governing body. A final version should then be sent to us as soon as is practicable.
10. I would remind you that frameworks produced in this first year will be considered indicative, recognising that institutions will need some time to embed this new requirement into their existing planning process.

Trigger metrics

11. The trigger metrics are intended to provide a standard set of data which, when set alongside an institution's framework, will provide a high level view of an institution's direction of travel. The metrics will also provide a basis for inter-institution benchmarking which, in the absence of quantifiable norms, will hopefully provide institutions with pointers towards good practice.
12. The proposed list of metrics provided with circular letter W05/42HE has been refined slightly in light of feedback received. One change which I am pleased to report is that the refinement of metric 7 (average age of permanent academic staff) means that all of the required data are already available to the Funding Council and therefore no additional data are required from institutions.
13. Annex B shows the data for your institution for 2001-02 to 2003-04 and I would be grateful if you could confirm these are accurate. To assist, Annex C provides details of the data sources. For a few institutions there are some gaps in the data provided from the Estates Management Statistics (EMS) and, if possible, I would be grateful if these could be filled. Confirmation of the accuracy of the data or proposed amendments should reach the Funding Council by **21 November 2005**.

Comments on the monitoring arrangements

14. Circular letter W05/42HE outlined the approach adopted to develop these new monitoring arrangements, emphasising the importance being placed on them by HM Treasury. It also highlighted the Funders' Forum objective of developing arrangements which would be effective yet not overly-burdensome on institutions and which could operate at the UK level. While we think we have achieved this objective, your thoughts on how the monitoring arrangements might be further refined or improved are welcomed. Comments can be provided along with either the verification of the accuracy of your data or with the return of your framework.

Return dates

15. As this circular letter is issued later than trailed in W05/42HE, the planned return dates for both the data and the framework, or draft framework, have been extended to **21 November and 16 December 2005** respectively. Confirmation of the accuracy of the data, and your framework, should be sent electronically to Helen Bolton (e-mail helen.bolton@hefcw.ac.uk). In addition, a signed copy of the framework should be sent to Richard Hirst here.

16. Looking ahead, institutions will be asked annually to confirm the accuracy of the metrics data for the latest year and to update their frameworks at three yearly intervals.

Feedback to institutions

17. As indicated previously, feedback from our review of the frameworks and the trigger metrics data will be provided to institutions by the beginning of June 2006.

Further information

18. For further information please contact Richard Hirst on 02920 682253, e-mail richard.hirst@hefcw.ac.uk.

Yours sincerely

A handwritten signature in black ink that reads "Phil Gummert". The signature is written in a cursive style with a long horizontal line extending to the right.

**PROFESSOR PHILIP GUMMETT
CHIEF EXECUTIVE**

Framework towards achieving long-term sustainability

Guidance

Introduction

As indicated in the circular letter, the framework should assess and explain how and why the institution considers itself to be on a sustainable trajectory over the next ten years or so. It is intended to complement the strategic plan rather than be a mere summary of it. In particular, the Funders' Forum has concluded that adaptive capacity is largely related to the four key resource inputs of finance, staff, equipment and buildings and so the framework should assess how far the institution's plans for each of these can reasonably be expected to at least maintain adaptive capacity.

Provided below are some broad headings with key questions which might be covered by the institution's framework. However, these are suggestions and should not, unless you consider it appropriate, be considered as a template.

Money

- What is the evidence that the institution's financial management will ensure that it remains solvent and generates sufficient cash to finance, in an affordable way, the other three key resources over the next ten years?

People

- What is the evidence that the institution's HR management and general performance will enable it to attract and retain a staff with the right abilities and age profile to at least sustain, but preferably enhance, the current intellectual capacity of the institution over the next ten years?

Equipment

- What is the evidence that the institution is managing, maintaining, updating, renewing and/or enhancing its stock of and/or access to equipment so as to at least maintain its adaptive capacity over the next ten years?

Buildings

- What is the evidence that the institution is managing, maintaining, updating, renewing and/or enhancing its estate so as to at least maintain its adaptive capacity over the next ten years?

ABERYSTWYTH

MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING

No.	Metric	Provided By	2001-02	2002-03	2003-04
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-8,747	-9,375	-10,070
2	Underlying operating surplus/(deficit) (£000s)	Fin	1,936	1,629	1,039
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.35	0.30	0.07
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.17	0.21	0.33
5	Total income per academic FTE (£000s)	HF/Fin	155	155	157
6	Research income per academic FTE (£000s)	HF/Fin	33.61	35.83	31.93
7	Average age of permanent academic staff	RAH to Question	45	45	44
8	Total value of externally sponsored research (£000s)	Fin	9,980	10,103	8,574
9	Externally sponsored research as % of total income	Fin	14.5	14.3	11.7
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	2,160	2,199	1,432
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	65	60	41
12	Total expenditure on major and minor works (capital) (£000s)	CC	1,276	1,767	1,570
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	824	1,205	555
14	Proportion of building condition (%GIA) in condition C and D	CC	37.3	37.33	37.84
15	Cost of Updrade of building condition to condition B (£000s)	CC	4,683	11,200	11,200
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	9.77	9.76	9.61
17	Total GIA sq mtrs	CC	192078	196090	172402
18	Total income per square metre	CC	35.88	36.01	42.6

BANGOR						
MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING						
No.	Metric	Provided By	2001-02	2002-03	2003-04	
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-7,764	-8,139	-8,330	
2	Underlying operating surplus/(deficit) (£000s)	Fin	85	-50	-381	
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.50	0.47	0.44	
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.01	0.02	0.01	
5	Total income per academic FTE (£000s)	HF/Fin	131	132	132	
6	Research income per academic FTE (£000s)	HF/Fin	27.49	30.20	28.29	
7	Average age of permanent academic staff	RAH to Question	46	47	46	
8	Total value of externally sponsored research (£000s)	Fin	9,777	10,243	9,757	
9	Externally sponsored research as % of total income	Fin	13.0	13.2	12.0	
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	2,148	3,085	839	
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	82	75	25	
12	Total expenditure on major and minor works (capital) (£000s)	CC	823	1,720	6,380	
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	1,648	1,656	1,363	
14	Proportion of building condition (%GIA) in condition C and D	CC	78.07	78.39	73.88	
15	Cost of Upgrade of building condition to condition B	CC	54,839	56,484	23,978	
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	12.05	11.83	2.05	
17	Total GIA	CC	191321	188946	180966	
18	Total income per square metre	CC	39.32	41.13	44.96	

CARDIFF UNIVERSITY [figures include UWCM]

MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING

No.	Metric	Provided By	2001-02	2002-03	2003-04
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-19,974	-12,694	-19,721
2	Underlying operating surplus/(deficit) (£000s)	Fin	2,196	9,123	3,868
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.25	0.21	0.19
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.01	0.01	0.00
5	Total income per academic FTE (£000s)	HF/Fin	117	123	125
6	Research income per academic FTE (£000s)	HF/Fin	37.30	41.06	39.69
7	Average age of permanent academic staff	RAH to Question	47	47	47
8	Total value of externally sponsored research (£000s)	Fin	53,766	58,277	60,886
9	Externally sponsored research as % of total income	Fin	21.9	21.4	20.5
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	6,569	5,984	4,104
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	86	98	76
12	Total expenditure on major and minor works (capital) (£000s)	CC	21,738	27,720	8,714
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	6,912	4,321	6,421
14	Proportion of building condition (%GIA) in condition C and D	CC	7.25	9.76	13.07
15	Cost of Updrade of building condition to condition B (£000s)	CC	4,568	7,538	4,302
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	0	0	0
17	Total GIA	CC	345687	357057	366267
18	Total income per square metre	CC	70.95	76.20	80.9

UNIVERSITY OF GLAMORGAN

MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING

No.	Metric	Provided By	2001-02	2002-03	2003-04
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-2,202	-2,453	-689
2	Underlying operating surplus/(deficit) (£000s)	Fin	885	872	2,970
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.16	0.14	0.11
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.02	0.03	0.03
5	Total income per academic FTE (£000s)	HF/Fin	118	125	119
6	Research income per academic FTE (£000s)	HF/Fin	5.06	5.09	6.75
7	Average age of permanent academic staff	RAH to Question	45	46	46
8	Total value of externally sponsored research (£000s)	Fin	2,247	2,738	3,079
9	Externally sponsored research as % of total income	Fin	3.2	3.7	3.7
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	751	434	1,272
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	38	13	35
12	Total expenditure on major and minor works (capital) (£000s)	CC	3,949	2,092	2,078
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	2,188	1,861	2,136
14	Proportion of building condition (%GIA) in condition C and D	CC	27.31	26.06	28.34
15	Cost of Upgrade of building condition to condition B	CC	7,192	7,131	9,444
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	9.22	6.63	6.5
17	Total GIA	CC	87915	90940	93624
18	Total income per square metre	CC	80.14	81.94	88.24

LAMPETER					
MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING					
No.	Metric	Provided By	2001-02	2002-03	2003-04
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-1,509	-1,630	-1,628
2	Underlying operating surplus/(deficit) (£000s)	Fin	-262	-263	-423
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.20	0.18	0.16
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.08	0.09	0.08
5	Total income per academic FTE (£000s)	HF/Fin	113	127	120
6	Research income per academic FTE (£000s)	HF/Fin	13.26	16.52	16.54
7	Average age of permanent academic staff	RAH to Question	48	48	48
8	Total value of externally sponsored research (£000s)	Fin	265	306	298
9	Externally sponsored research as % of total income	Fin	2.7	2.9	2.9
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	460	423	0
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	55	44	0
12	Total expenditure on major and minor works (capital) (£000s)	CC	0	22	0
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	103	136	220
14	Proportion of building condition (%GIA) in condition C and D	CC	26.04	27.47	16.94
15	Cost of Upgrade of building condition to condition B	CC	0	0	0.00
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	1.48	1.51	1.25
17	Total GIA	CC	30012	30012	29,327.00
18	Total income per square metre	CC	32.79	35.11	35.41

UW, NEWPORT

MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING

No.	Metric	Provided By	2001-02	2002-03	2003-04
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	150	-1,204	-3,070
2	Underlying operating surplus/(deficit) (£000s)	Fin	2,000	766	30
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.00	0.00	0.00
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.03	0.02	0.03
5	Total income per academic FTE (£000s)	HF/Fin	184	158	129
6	Research income per academic FTE (£000s)	HF/Fin	2.82	2.51	3.65
7	Average age of permanent academic staff	RAH to Question	47	47	47
8	Total value of externally sponsored research (£000s)	Fin	121	142	304
9	Externally sponsored research as % of total income	Fin	0.4	0.5	0.9
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	845	732	918
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	42	39	47
12	Total expenditure on major and minor works (capital) (£000s)	CC	246	173	1,063
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	282	289	293
14	Proportion of building condition (%GIA) in condition C and D	CC	4.44	57.25	56.98
15	Cost of Upgrade of building condition to condition B	CC	0	9,772	9,772
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	2.22	0	0
17	Total GIA	CC	56287	53,283	53283
18	Total income per square metre	CC	49.36	56.86	60.33

NEWI						
MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING						
No.	Metric	Provided By	2001-02	2002-03	2003-04	
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-775	-1,129	-1,198	
2	Underlying operating surplus/(deficit) (£000s)	Fin	726	1,377	1,176	
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.43	0.30	0.00	
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.36	0.45	0.09	
5	Total income per academic FTE (£000s)	HF/Fin	126	135	123	
6	Research income per academic FTE (£000s)	HF/Fin	4.81	3.31	3.75	
7	Average age of permanent academic staff	RAH to Question	46	45	45	
8	Total value of externally sponsored research (£000s)	Fin	531	343	535	
9	Externally sponsored research as % of total income	Fin	2.6	1.5	2.2	
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	562	555	291	
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	103	71	38	
12	Total expenditure on major and minor works (capital) (£000s)	CC	446	676	302	
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	441	208	360	
14	Proportion of building condition (%GIA) in condition C and D	CC	3.71	4.01	3.15	
15	Cost of Updrade of building condition to condition B (000's)	CC	565	679	795	
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	2.57	3.71	3.28	
17	Total GIA	CC	44,961	43,044	43,044	
18	Total income per square metre	CC	46.10	51.86	56.19	

RWCM&D					
MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING					
No.	Metric	Provided By	2001-02	2002-03	2003-04
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-830	-783	-941
2	Underlying operating surplus/(deficit) (£000s)	Fin	-57	96	-66
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.00	0.00	0.00
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.00	0.00	0.00
5	Total income per academic FTE (£000s)	HF/Fin	204	160	107
6	Research income per academic FTE (£000s)	HF/Fin	0	0	0
7	Average age of permanent academic staff	RAH to Question	44	45	42
8	Total value of externally sponsored research (£000s)	Fin	0	0	0
9	Externally sponsored research as % of total income	Fin	0	0	0
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	505	231	365
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	48	23	34
12	Total expenditure on major and minor works (capital) (£000s)	CC	426	61	34
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	45	64	58
14	Proportion of building condition (%GIA) in condition C and D	CC	23	23	18
15	Cost of Upgrade of building condition to condition B (000'S)	CC	0	0	500
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	23	22	20
17	Total GIA	CC	10076	10076	10076
18	Total income per square metre	CC	65.81	69.17	69.84

SIHE					
MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING					
No.	Metric	Provided By	2001-02	2002-03	2003-04
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-562	-2,128	-12
2	Underlying operating surplus/(deficit) (£000s)	Fin	1,113	1,855	2,100
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.19	0.14	0.10
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.41	0.55	0.70
5	Total income per academic FTE (£000s)	HF/Fin	106	117	113
6	Research income per academic FTE (£000s)	HF/Fin	0.26	0.52	0.68
7	Average age of permanent academic staff	RAH to Question	47	47	47
8	Total value of externally sponsored research (£000s)	Fin	37	30	67
9	Externally sponsored research as % of total income	Fin	0.2	0.2	0.3
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	413	558	208
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	46	53	24
12	Total expenditure on major and minor works (capital) (£000s)	CC	30	64	499
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	703	611	685
14	Proportion of building condition (%GIA) in condition C and D	CC	65.82	65.82	55.75
15	Cost of Updrade of building condition to condition B	CC	2,497	2,497	2,349
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	0	0	0
17	Total GIA	CC	41254	41254	41254
18	Total income per square metre	CC	43.37	47.75	49.26

SWANSEA						
MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING						
No.	Metric	Provided By	2001-02	2002-03	2003-04	
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-4,527	-9,404	-6,579	
2	Underlying operating surplus/(deficit) (£000s)	Fin	955	686	3,436	
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.50	0.46	0.37	
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.23	0.19	0.15	
5	Total income per academic FTE (£000s)	HF/Fin	127	121	128	
6	Research income per academic FTE (£000s)	HF/Fin	25.68	26.28	26.57	
7	Average age of permanent academic staff	RAH to Question	47	47	46	
8	Total value of externally sponsored research (£000s)	Fin	10,295	12,407	12,259	
9	Externally sponsored research as % of total income	Fin	11.2	12.8	12.2	
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	0	4,587	2,886	
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	0	106	82	
12	Total expenditure on major and minor works (capital) (£000s)	CC	5,687	7,473	6,720	
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	2,407	3,027	2,600	
14	Proportion of building condition (%GIA) in condition C and D	CC	49.82	49.82	46.69	
15	Cost of Updrade of building condition to condition B (000's)	CC	29,086	27,431	26,059	
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	4.00	4.25	2.87	
17	Total GIA	CC	162537	162537	164357	
18	Total income per square metre	CC	56.34	59.67	61.32	

TRINITY					
MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING					
No.	Metric	Provided By	2001-02	2002-03	2003-04
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-1,120	-1,407	-992
2	Underlying operating surplus/(deficit) (£000s)	Fin	258	5	201
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	1.20	1.16	0.97
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.05	0.06	0.05
5	Total income per academic FTE (£000s)	HF/Fin	117	122	104
6	Research income per academic FTE (£000s)	HF/Fin	0.20	0.22	0.18
7	Average age of permanent academic staff	RAH to Question	42	43	44
8	Total value of externally sponsored research (£000s)	Fin	0	0	0
9	Externally sponsored research as % of total income	Fin	0	0	0
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	402	321	154
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	81	110	87
12	Total expenditure on major and minor works (capital) (£000s)	CC	60	0	301
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	216	271	161
14	Proportion of building condition (%GIA) in condition C and D	CC	24.56	0	24.56
15	Cost of Upgrade of building condition to condition B	CC	500	0	600
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	54.57	0	54.57
17	Total GIA	CC	27163	0	27163
18	Total income per square metre	CC	35.06	0	37.35

UWIC						
MONITORING SUSTAINABILITY FOR STRATEGIC PLANNING						
No.	Metric	Provided By	2001-02	2002-03	2003-04	
1	Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data (£000s)	HF	-6,368	-6,717	-7,966	
2	Underlying operating surplus/(deficit) (£000s)	Fin	-581	556	198	
3	Gearing ratio - total long-term borrowings/total general funds	HF/Fin	0.77	-4.94	43.70	
4	Liquidity ratio - cash divided by expenditure less depreciation	Fin	0.10	0.12	0.13	
5	Total income per academic FTE (£000s)	HF/Fin	132	140	135	
6	Research income per academic FTE (£000s)	HF/Fin	4.20	5.15	5.56	
7	Average age of permanent academic staff	RAH to Question	47	47	47	
8	Total value of externally sponsored research (£000s)	Fin	721	762	841	
9	Externally sponsored research as % of total income	Fin	1.6	1.5	1.6	
10	Total actual capitalised expenditure on equipment. (£000s)	HF/Fin	1,109	1,126	1,095	
11	Total actual capitalised expenditure on equipment as % of the balance sheet value of equipment. (%)	HF/Fin	34	33	33	
12	Total expenditure on major and minor works (capital) (£000s)	CC	1,820	1,477	1,098	
13	Total expenditure on repairs and maintenance (recurrent) (£000s)	CC	1,262	1,320	1,530	
14	Proportion of building condition (%GIA) in condition C and D	CC	31.58	25.47	25.65	
15	Cost of Upgrade of building condition to condition B	CC	9,500	8,750	8,000	
16	Proportion of buildings space (GIA) in poor functional condition (Grade 4)	CC	7.72	3.86	4.04	
17	Total GIA	CC	94206	94745	90704	
18	Total income per square metre	CC	48.43	53.12	57.78	

DATA SPECIFICATION FOR SUSTAINABILITY MONITORING METRICS 2001/02 TO 2003/04Metrics 1 to 13

In the following descriptions, table and item numbers refer to those on the HESA finance statistics record, unless otherwise indicated.

Metric 1 – Operating surplus/(deficit) adjusted by fEC net adjustment from TRAC data

Table 1, item 12 minus adjustments for infrastructure and cost of capital from annual transparency review return

Metric 2 – Underlying operating surplus/(deficit)

Table 1, item 14

Metric 3 – Gearing ratio – total long term borrowings/total general funds

Table 2, item 7ii divided by sum of Table 2, items 11ii and 12iv

Metric 4 – Liquidity ratio – cash divided by expenditure less depreciation

Table 2, item 3iv divided by Table 1 item 11 minus Table 1 item 9

Metric 5 – Total income per academic FTE

Table 1, item 6, divided by academic staff FTE taken from the HESA individualised staff record. (In 2001/02 and 2002/03 this consists of all academic staff with an FTE of 25% or more; for 2003/04 this consists of all academic staff.)

Metric 6 – Research income per academic FTE

Table 5b, sum of items 1a and 3, divided by academic staff FTE taken from the HESA individualised staff record. (In 2001/02 and 2002/03 this consists of all academic staff with an FTE of 25% or more; for 2003/04 this consists of all academic staff.)

Metric 7 – Average age of permanent academic staff

Data taken from the HESA individualised staff record. Age is at 31 August in the academic year. (In 2001/02 and 2002/03 this is based on permanent academic staff with an FTE of 25% or more; for 2003/04 this is based on all permanent academic staff.)

Metric 8 – Total value of externally sponsored research

Table 5b, item 3

Metric 9 – Externally sponsored research as a percentage of total income

Table 5b, item 3 divided by Table 1 item 6

Metric 10 – Total actual capitalised expenditure on equipment

Table 7, item 2c, column 1

Metric 11 – Total actual capitalised expenditure on equipment as a percentage of the balance sheet value of equipment

Table 7, item 2c, column 1, divided by balance sheet value of equipment taken from the annual accounts.

Metric 12 – Total expenditure on major and minor works (capital)

Table 7, sum of items 2a and 2b, column 1

Metric 13 – Total expenditure on repairs and maintenance (recurrent)

Table 6, item 4d, column 4

Metrics 14 to 18

In the following metrics data has been taken from the Estate Management Statistics Report 2004, unless otherwise indicated.

Metric 14 – % of buildings in condition C or D

D20a building condition % GIA condition C,&D C14(residential) multiplied by residential GIA (D11GIA C14) divided by total GIA (D11 GIA C1) plus
D20a building condition % GIA condition C&D C14 (non residential) multiplied by non residential GIA (D11 GIA C13) divided by total GIA .(D11 GIA C1)

Metric 15 – Cost to upgrade buildings to condition B

D20b building condition cost to upgrade from D to B & C to B C13 total non residential plus
D20b building condition cost to upgrade from D to B & C to B C 13 total residential

Metric 16 – % of buildings in functional condition 4

D21 functional suitability % GIA suitability grade 4 C13 total non residential multiplied by non residential GIA (D11 GIA C13)divided by total GIA (D11 GIA C1) plus
D21 functional suitability % GIA suitability grade 4 C13 total residential multiplied by residential GIA (D11GIA C14) divided by total GIA(D11 GIA C1)

Metric 17 – Total GIA

D11 GIA C1 total

Metric 18 – Total Income per square metre.

Total income taken from the HESA finance statistics record Table 1, item 6, divided by D11 GIA C1 total.